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Personnel Administration and Human Resource Management

UNIT 1-20

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UNIT-1 PERSONNEL ADMINISTRATION: MEANING, SCOPE AND SIGNIFICANCE

Structure

- 1.1 Introduction
- 1.2 Learning Objectives
- 1.3 Meaning and Importance
 - Self -Check Exercises-1
- 1.4 Scope of Personnel Administration
 - Self -Check Exercises-2
- 1.5 Emerging Role of Personnel Administration
 - Self -Check Exercises-3
- 1.6 Summary
- 1.7 Glossary
- 1.8 Answers to self-check exercises
- 1.9 References/Suggested Readings
- 1.10 Terminal Questions

1.1 INTRODUCTION

While the evolution and development of personnel administration in UK and USA was largely voluntary, in India personnel administration had to be prodded along by governmental intervention and coercion. While in the West the pioneering work in the field of personnel management was motivated by the managerial pre-occupation with the concept of welfare, in India a combination of the disquieting recruitment practices, growing labour unrest, resulting in strike and loss of production, and a consideration of numerous grievances initiated some interest in personnel management especially in the textile mills in the years prior to the Second World War. The evolution of personnel management in India, particularly in the textile industry, was shaped by employer-led initiatives and the Indian Institute of Personnel Management. Unlike other nations, where it grew from welfare programs, in India, it emerged from recruitment challenges and worker grievances.

Dissatisfaction with the traditional jobber-based hiring system led the Royal Commission on Labour to propose the appointment of labour officers. Their role was to address grievances,

prevent disputes, and foster better industrial relations. Although they were trusted by workers, they remained part of management, acting as a crucial link between employers and employees. This development laid the groundwork for modern personnel management in India.

Personnel management in India owes its origin to legal compulsions. Prior to the recommendations of the Royal Commission on Labour in 1931, the area concerning the management of people in an organization was either part financial management of a necessary appendage to the operations of a business. Thus, personnel management in India has a short history of about four decades

1.2 LEARNING OBJECTIVES

After going through this lesson, the student will be able to know

- 1.2.1 Meaning of Personnel Administration
- 1.2.2 The scope of Personnel Administration
- 1.2.3 The role of Personnel Administration in the organization

1.3 MEANING & IMPORTANCE

Personnel administration in the totality of concern with the human resources of body. It is one of the organization's major connections with its milieu. It applies in microcosm the values, the ethics, the of that environment, and it in turn influences the environment. To whatever extent this is true in any organisation, it is all the truer in the public service-simply because of its size and is that branch of administration which is responsible, on a staff basis for concentrating those aspects of operation which one primarily deals with the relationship of management to employees and employees to employees and with the development of individual and group. It is the process of attracting, holding and motivating people involving all managers-line and staff. Edward Flippo states: "Personnel Administration is the planning, organizing, directing, integration, maintenance and separation of much resources to the end that individual, organizations and societal objectives are accomplished."

Personnel administration is something of state of mind. It is an attitude compounded of understanding both the forces which shape manpower needs, supply, and problems and, at the same time, the importance of human will and personality. It is kind of continual educational

process for employer and employee alike. It is management's conscience as well as its privilege; it is employee's obligations as well as their right. It is enlightenment in the fusing of organisational goals with individual needs. Prof. Jucium has defined personnel administration as: "The field of management which has to do with planning, organising, directing and controlling various operative functions of procuring, developing, maintaining and utilising a labour force, such that the: (a) objectives, for which the organisation is established are attained economically and effectively (b) objectives of all kinds of personnel are served to the highest possible degree; and (c) objectives of the community are duly and served". According to this definition, personnel administration is concerned with the managerial (planning, organising, directing and controlling) and operative (procurement, development, maintenance and utilisation) functions, with a view to achieving the organisational goals frugally and effectively and consultation the discrete and community goals.

Personnel administration is basically concerned with people at work and their relationship with each other. The Institute of Personnel Management, UK. has defined personnel management as follows:

Personnel management is part of management function which is concerned with people at work and with their relationship within an enterprise. Its aim is to bring advance into an effective organisation the men and women who make up an enterprise and having regard to the well-being of an individual and of working groups, to enable to make their best contribution to its success.

Personnel examines what is, can be, or should be done to make people more productive and more satisfied with their work. The contributions of the Personnel functions to organisational effectiveness are in the objectives pursued by personnel specialised and departments

- To provide the enterprise with well-trained and well-motivated employees.
- To use the work force efficiently and effectively.
- To develop and maintain a quality of work life that makes employment in the enterprise a desirable personnel and social situation.
- Personnel consists of numerous activities, including
- Employment recruitment, selection, and orientation
- Career development and counselling, performance evaluation, and training and development
- Compensation and protection.

- Labour relations
- Equal Employment opportunity programmes
- Discipline, control and evaluation of the personnel function.

In particular, personnel administration is concerned with the development and application of policies governing the following factors

1. Manpower planning, selection, placement and terminations;
2. Education and training, and career development;
3. Terms of employment a methods and standard of remuneration:
4. Working conditions and employees service,
5. Formal and informal communication and consultation, both through the representatives of employer and both through the representatives of employer and employees and at all lends throughout the enterprises; and
6. Negotiation application of agreement on wages and working conditions.

Personnel administration in India, as it is interpreted, discusses and practiced is largely static, legalistic and ritualistic. Assisting top management in realising the last concept of states Manship is the central task and fundamental purpose of dynamic personal administration. There are three fundamental concepts of dynamic personnel administration recognised in contemporary time. First, is the concept of the development of people to their fullest potentialities. Personnel administration must assist individuals to grow in the business organisation to such an extent where they will have complete opportunities to rely their fullest potentialities. The second concept of dynamic personnel administration is to facilitate the working together of groups of people toward definite pre-determined ends. This third emerging concept is that personnel administration is a profit-growth engineering function.

Personnel administration is a live responsibility but also a staff function in administration. It is a basic management responsibility, permeating all levels and types of administration in all organisation, private or public. Personnel specialists help line managers by providing advice, counsel, services and various types of controls to help administration secure consistent administration of personnel policies which serve individual needs and further organisational objectives

- Self-Check Exercise-1

Q.1 What is the meaning of personnel administration?

Q.2 Discuss significance of personnel administration.

1.4 SCOPE OF PERSONNEL ADMINISTRATION

The Personnel function occupies a paradoxical position in public administration. The well-performed personnel function probably touches on or is involved in a wider range of activities, than any other organisational function. The hopes, aspirations, fears, problems and apathies, actions, balance, creativity and innovativeness of people determine the ultimate success or failure of the organisation. The basic functions of personnel administration in an organisation are as follows.

- 1.4.1 Placing the right man on the right job.
- 1.4.2 Starting new employees in the organisation
- 1.4.3 Training men for jobs that are new to him.
- 1.4.4 Improving job performance of each man
 - 1.4.5 Gaining creative co-operation and developing smooth working relationship.
- 1.4.6 Interpreting policies and procedures.
 - 1.4.7 Controlling labour costs.
 - 1.4.8 Creating and maintaining a high level of developmental morale
 - 1.4.9 Protecting health and physical condition of employees.

Personnel administration in India can now boast of sophisticated training courses including sensitivity and grid systems, management by objective system, performance appraisal techniques, the application of behavioural science and group dynamic, and knowledge of such other modern administration practices.

- Self-Check Exercise-2

Q.1 What is the scope of personnel administration?

Q.2 Discuss about the nature of personnel administration?

1.5 EMERGING ROLE OF PERSONNEL DEPARTMENT

In view of the imposing challenges confronting the human resources in organisation, a final challenge is axiomatic, increasing effectiveness of the human resources function in helping solve the people problems confronting business. The focus of the personnel function has to be on process helping evolve less formal process that line administration can use to better manage people Thrust is to be on process orientation. The personnel function has to assure

that human resources strategies are developed and that they are linked to and supportive of organizational goals and strategies.

➤ **Research Organisation**

This is to include:

- Audit of current practices and manpower utilisation.
- Experimentation of innovative ideas
- Evaluation of personnel programmes.
- Computerisation of manpower information system for increasing qualify and efficiency.

➤ **Developing Personnel Policies**

- Modification of human resources system to meet the growth and development expectation of employees.
- Policies to become more sensitive to organisation's internal needs and have long range perspective.
- Consistency and fairness in implementation and interpretation.

• **Self-Check Exercise-3**

Q.1 Discuss about the emerging role of Personnel Administration.

Q.2 Write a short note on developing personnel policies.

1.6. SUMMARY

Personnel Administration in India owes its origin to legal compulsion. Prior to the recommendation of the Royal Commission on Labour in 1931, the area concerning the management of people in an organization was either part of financial management or a necessary appendage to the operations of a business. Thus Personnel Management in India has a short history of about four decades.

1.7. GLOSSARY

Personnel Administration: it is the totality of concern with the HR of organization.

Human Resources: The term "human resources" typically refers to the individuals who constitute the workforce of an organization, business, or economy. These individuals contribute their skills, knowledge, experience, and labor towards the goals and objectives of the entity they work for(organization)

1.8. ANSWER TO SELF CHECK EXERCISES

Self-Check Exercise-1

Q.1 Refer to Section 1.3

Q.2 Refer to Section 1.3

Self-Check Exercise-2

Q.1 Refer to Section 1.4

Q.2 Refer to Section 1.4

Self-Check Exercise-3

Q.1 Refer to Section 1.5

Q.2 Refer to Section 1.5

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1.10. TERMINAL QUESTIONS:

1. What is Personnel Administration? Discuss the scope and significance of Personnel Administration
2. Analyses the role of Personnel Administration in India.

UNIT-2
CAREER SYSTEM- CONCEPT AND TYPE

Structure

- 2.1 Introduction
- 2.2 Learning Objective
- 2.3 Career Development Objectives
 - Self-Check Exercise-1
- 2.4 Steps for Career Development
 - Self-Check Exercise-2
- 2.5 Benefit of Career Development to the Individual
 - Self-Check Exercise-3
- 2.6 Benefit of Career Development to the organization
 - Self-Check Exercises-4
- 2.7 Summary
- 2.8 Glossary
- 2.9 Answer to the Self Check Exercise
- 2.10 References/Suggested Readings
- 2.11 Terminal Questions

2.1 INTRODUCTION

A career system is one in which a hierarchically organised group includes posts at different levels. The whole professional life of the employee under this system is utilized profitably from one level to another In contract or position system an official is recruited for a particular

job, which he/she will occupy throughout his/her stay in the organisation. Many commissions in different countries favored the adoption of the career system. *No civil service can hope to survive long if it fails to compensate adequately through reasonable career prospects those of its staff who have served u for long periods conscientiously and with dedication Career system is a guarantee of efficiency and integrity and a shield against patronage and political pressure*

In brief, career planning is an important instrument for motivation and development of employees in an organisation, if the concept of career planning is properly understood at all levels. It can then be used to the maximum advantage of both the employees and the organisation. For making the career plan work as an effective instrument, two important aspects have to be accepted. Firstly, a commitment on the part of the supervisor that his men and their growth is his primary responsibility and that his success should be judged in terms of men's career he has helped to build by his contribution and assistance. Secondly, the management as a whole should be committed to help the employees attain their full potential by training, job rotation and acceptance of greater challenges and responsibilities. This calls for imaginative planning and involvement of management at various levels. Thus, personnel policies are to be tailored to fit the needs of the Organisation and employees so that motivation is kept in a dynamic form

2.2 LEARNING OBJECTIVE

After going through this lesson, the student will be able to understand the

- The concept of Career System
- The objective laid down in Career development
- The steps for Career development
- The importance of Career development for the individual as well as for the organization

2.3 CAREER DEVELOPMENT OBJECTIVE

Career development encompasses the planning and management of a career system. Career planning and development are concepts which encompass the events-either happening to or initiated by individuals. which affect his progression or promotion, his widening and/or changing employment possibilities and his acquiring a different, and normally higher status, better conditions or increased satisfaction with the job. Career development means to provide

all conditions conducive to the development of the persons once recruited in the organisation so that they can occupy higher positions in the organization. Career management helps organizations meet their workforce needs by providing employees with growth opportunities. It focuses on developing their skills, knowledge, and potential through a structured approach, ensuring optimal use of human resources for long-term success.

Career planning refers to planned and systematized progression of events and development in the field of work or vocation of an individual during the employable periods of his life.

In essence, a career system may comprise careful selection of able young men with the requisite qualifications and necessary attributes of character and motivation. Such persons may be carefully trained later on in those aspects of the organisation which cannot be acquired before-hand and their attitudes continually tested by assigning them a variety of tasks during a period of probation, after which a candidate may be retained on a career basis or released. Moreover, forward planning of their assignments may be made to ensure the maximum utilisation and proper development of their aptitudes. Constant in service, training courses may be provided to keep them abreast of the latest developments and to prevent them from becoming stagnant. This may be followed by an open system of promotion, permitting the ablest officers to serve at the highest posts whether at headquarters or in the field. The career status should not prevent the management from releasing persons who prove ineffective or who lose their effectiveness.

Objectives

According to Bata K. Dey, the following are the objectives of career management:

1. To secure the right man at the right time in the right place. This has two facets:
 - positively, to make succession-planning smooth, painless and timely, and
 - negatively, to avoid a "square peg-in-a round-hole" in organisation
2. To ensure that the road to the top is open for all
3. To impart to the employee, maximum satisfaction, consistent with their qualifications, experience, competence, performance as well as individualistic need and expectation, leading to a harmonious balance between personal and organizational objectives.
4. To strengthen the organisation's manpower retention programme based on adequacy or career compensation and motivation management, insuring against possible dislocation, discontinuity and turnover in terms of human inputs. Hence, a successful career management programme ensures that the objectives of the

organisation are effectively and efficiently realised through a stable, committed and highly motivated staff. The process ensures a perpetual mutually enriching environment for the employees as well as the organisation. This provides the competitive edge over other organisations, which do not carry out a career management plan.

- Self-Check Exercise-1

Q.1 What is career development?

Q.2 What are the objectives of career development?

2.4. STEPS FOR CAREER DEVELOPMENT

The following steps need to be taken to implement the career development plan:

- 1) Selection on the basis of promise or potential for growth as well as of capacity to meet the changing needs and challenges of new functions in an organisation.
- 2) Training, to assist the person in timely preparation for changing work requirements, through the acquisition, improvement and adaptation of knowledge and skills, in order both to further organisational goals and to promote individual growth and job satisfaction.
- 3) Mobility to assist flexible development of personnel resources to meet organizational need, as well as to promote the self-actualization of individual staff and to enhance their value to the organisation through their progressive exposure to different facets of its work giving priorities in the filling of vacancies in the following order for promotion from within the organisation; transfer within the organisation, and outside recruitment.
- 4) Promotion by merit, to stimulate, to assist and to reward high quality performance and individual growth
- 5) Formulation of a uniform staff policy embracing all categories of staff. and experience
- 6) Implementation of a policy of systematic rotation of staff within units to provide training of all kinds and at various levels.
- 7) Realistically assessing the duties and responsibilities of posts with a view to ensuring their correct classification; ensuring full participation by representatives designated by the staff in all matters relating to training, promotion, reclassification of posts, recruitment, etc.

- Self-Check Exercise-2

Q.1 Discuss about the steps of career development.

Q.2 Write short note on training aspect of career development.

2.5. BENEFITS OF CAREER DEVELOPMENT TO THE INDIVIDUAL

- i. It helps the staff member to discover his/her own talents, needs and motives related to work (through performance appraisal, career counselling and planned work assignments and training);
- ii. It helps fulfil the individual's need to know what his/her position and future in the organisation will be (by providing realistic information and feedback related to career expectations);
- iii. It provides a sense of affiliation with the organisation and a feeling that the organisation is interested in the staff member's development;
- iv. It provides greater opportunity for the individual to obtain optimal return for his/her personal investment (contribution of talents, time, energy, etc.) in the organisation.
- v. It provides the individual with a greater awareness of his/her work environment and hence promotes more intelligent decision-making with respect to careers and avoids frustration caused by lack of career information
- vi. It helps fulfill the individual's need to retain a sense of control over his/her personal destiny in the increasingly complex and impersonalised modern industrial society,
- vii. It provides greater opportunities for change in the working environment that would otherwise lead to boredom,
- viii. It is conducive to job satisfaction by providing assignments most suited to the individual's needs and talents.
- ix. It leads to optimal personal development by developing abilities and aptitudes.

• Self-Check Exercise-3

Q.1 Discuss about the benefits of career development to the individual.

Q.2 Write short note on the career development.

2.6. BENEFITS OF CAREER DEVELOPMENT TO THE ORGANISATION

- a) It helps increase efficiency/productivity in jobs, and in turn, effectiveness in meeting the

organisation's objectives (through greater creativity, motivation and contribution of staff).

- b) It helps reduce the turnover of high potential staff and absenteeism of all staff.
- c) It facilitates staff mobility by planning assignments well enough in advance to avoid some of the obstacles which arise when staff are required to move at short notice,
- d) It helps provide greater assurance of an adequate supply of qualified personnel for future openings in managerial, technical and Other key positions
- e) It promotes continuity of organisational knowledge by drawing more upon internal personnel resources;
- f) It helps reduce pressure on job classification and another personnel system resulting from frustrated career
- g) It provides an added input in programme planning by offering more data on the capabilities of the work force which in turn permits a better judgment to be made of whether or in what manner proposed programme objectives can be accomplished:
- h) It prevents organisational chaos by helping to provide a more regulated, ordered and objective procedure for upward mobility of staff members, It promotes optimal utilisation of human resources both at present, by preventing instances of mismatched staff members (those having suitable qualifications for jobs other than those in which they are presently placed) and in the future by permitting longer-term planning of the development of the staff member's usefulness to the organisation, and contributes significantly to the reduction of cost.

- Self-Check Exercise-4

Q.1 Discuss about the development and its objectives.

Q.2 What are the benefits of Career Development to the organization?

2.7 SUMMARY

A Career System is one in which a hierarchically organised group includes posts at different levels The whole professional life of the employee under this system is utilized profitably from one to another In contract or position system an official is recruited for a particular job, he/she will occupy throughout his/her stay in the organization. Many commissions in different countries favoured the adoption of the career system, No civil service can hope to survive long if it fails to compensate adequately through reasonable career prospects, those of

its staff who have served it for long periods conscientiously and with dedication Career system is a guarantee of efficiency and integrity and a shield against patronage and political pressure

2.8 GLOSSARY

Career Development: It encompasses the planning and management of a career system Career Planning It refers to planned and systematized progression of events and development in the field of work

2.9 ANSWER TO SELF CHECK EXERCISES:

Self-Check Exercise-1

Q.1 Refer to section 2.3

Q.2 Refer to section 2.3

Self-Check Exercise-2

Q.1 Refer to section 2.4

Q.2 Refer to section 2.4

Self-Check Exercise-3

Q.1 Refer to section 2.5

Q.2 Refer to section 2.5

Self-Check Exercise-4

Q.1 Refer to section 2.6

Q.2 Refer to section 2.6

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2.11 TERMINAL QUESTION

1. Discuss Career Development. What are its benefits to individual as well as to the organization?

UNIT-3

POSITION CLASSIFICATION-CONCEPT AND BASE

Structure

3.1 Introduction

3.2 Learning Objectives

3.3 Advantages of Classification

Self -Check Exercise-1

3.4 Classification System in some selected countries especially in India, UK, USA.

Self -Check Exercise-2

3.5 Conclusion

3.6 Glossary

3.7 Answer to Self-Check Exercise

3.8 References/Suggested Readings

3.9 Terminal Question

3.1 INTRODUCTION

classification of jobs and standardization of staff are two of the most essential features of the personnel system. W.F. Willoughby has rightly stated, "Classification and standardization of public employment constitute, indeed, the starting point or the basis upon which the whole personnel structure must rest." A judicious classification system would help in sorting out easily the problems of pay line of promotion, duties and responsibilities. "Upon proper classification"

says Dr. H. Finer, "depends the efficiency of recruitment, the possibility of creating a rational promotional system, and equitable treatment of people working in different departments."? Before the introduction of such classification, hundreds of jobs had their pay, set individually in appropriation acts, and annually and biannually the appropriating bodies would be besieged by individual claims for increases. There was over-payment and under- payment and much discontent in the public services"

Personnel structure defines responsibilities, delegation, and the focus on organizational objectives. In classification, the smallest unit is a position, as defined by the American Classification Act of 1949, consisting of specific duties and responsibilities. A position may be occupied or vacant, with incumbents being permanent, temporary, probationary, or on deputation.

Similar positions form a class, sharing qualification criteria and salary scales. Stahl defines a class as a group of positions with comparable duties, warranting uniform employment treatment. These classes are further grouped into services (e.g., engineering, health, education). The Administrative Reforms Commission outlines service formation as:

1. Defining duties and required skills, grouping similar roles.
2. Ranking positions based on responsibilities.

3.2 LEARNING OBJECTIVES

After going through this lesson, the student will be able to know

- Meaning and concept of Classification Importance of Classification
- Classification System in Some selected countries mentioned in this lesson

3.3 ADVANTAGES OF CLASSIFICATION

A sound system of classification is indispensable for developing a rational system of personnel administration. Its merits are:

1. It helps in minimizing the influence of individual pressures, since within the same class all have to be paid alike. Besides, it eliminates the evil of specific salary legislation, which would be troublesome and dangerous in impanation.
2. It ensures the enforcement of the principle of equal pay for equal work.
3. It makes the task of budgetary sanctions easy and intelligible and ensures a meaningful control by the legislature on personnel issues.
4. It helps the employees in undertaking clearly defined duties and responsibilities and

removes confusion and promotes good management-staff relations. Besides, it provides the basis for good supervision

5. It promotes better understanding since a common terminology is adopted
6. It helps in avoiding duplication and inconsistencies in the work process.
7. It helps in objective evaluation of the performance of civil servants.
8. It facilitates the processes of recruitment, training, promotion and transfer

SYSTEMS OF CLASSIFICATION

There are two systems of classification

a) Position Classification

In position classification the most important is the duties and responsibilities attached to the job rather than the person discharging their duties. The salary and status of the civil servants depends upon the point in which he is assigned. By Milton stated that classification is meant the grouping of point in on the basis of similarity of duties and qualification requirement. Dimock defines it as "the systematic sorting and ranking of port in a hierarchical sequence according to comparative difficulty and responsibility. Experience has shown that a classification on the basis of duties and responsibilities is more suitable than any other arrangement. The International Civil Service Advisory Board supported this view when it stated: "It is a consensus of the organizations that the general level of duties and responsibilities constitute the only realistic basis for achieving a comparable classification of posts" The Board further considers that the following factors are relevant in determining a given level of duties and responsibilities

1. The importance, scope and complexity of the post.
2. The qualifications essentially required for the performance of the duties of the post.
3. The extent to which the work is supervised.
4. The extent and nature of the supervisory responsibilities, and
5. The extent and nature of the authority to take decisions.

There are four steps in the development of a position classification

1. Analysing and recording the duties and other distinctive characteristics of the positions to be classified (job analysis and description).

2. grouping the positions into classes upon the basis of their similarities;
3. writing such standards or specification for each class of positions as it will indicate its character, define its boundaries and serve as a guide in allocating individual positions to the class, in recruitment and examinations.
4. installation by allocating individual positions to the classes thus described.

The position classification has certain advantages, which are briefed as follows:

1. It provides a rational system for comparing the whole classes or groups of positions with common pay ranges. The demand for equal pay for equal work can be met by adopting position classification.
- 2 This system provides a basic structure for the personnel in the civil service. Recruitment and selection standards, promotions, transfers and other staff assignments, career development and training programs can be facilitated within the class structure.
3. It reduces numerous occupations and positions to manageable proportions.
4. The position classification permits an objective evaluation of the performance of civil servants.
5. It supplies job information, which helps in career development.
6. It provides a base for promoting harmonious relations between the employer and the employees
7. Finally, the position classification helps in such other things as budgetary procedures, organizational

planning, manpower planning, etc. The Administrative Reforms Commission, in its report on Personnel Administration, favoured its adoption. The Commission recommended, "The posts in the civil service should be grouped into grades so that all those which call for similar qualifications and similar difficult and possibilities are grouped in the same grade.

b). Rank Classification

In rank classification, a man's status and salary are determined with reference to the service he is assigned after recruitment. It does not depend upon the "position" he holds or the work he does. The Civil Service, as Roger Gregorie says, is not just the juxtaposition of all the beneficiaries in public employment at a given time, it is a pool of members, who are more or less are recruited for their personal qualities and gradually trained so that they can occupy to

the best of their ability, existing or future positions in some government department. A civil service is primarily a member of a corps, he is thus qualified to hold a series of positions classified in the same level, although the work may vary considerably with each of them. His assignment to one of these positions is a decision of a secondary importance which is quite separate from his appointment and should he be transferred from that position to another in the same grade, his situation will remain unchanged.

For example, a member of the All India Service may serve either in the secretariat or in the field or in a corporation or in a company, but he would go on drawing the same salary and holds the same status.

Similarly, a Director of Health posted as Officer on Special Duty would draw the same salary while the job performed is entirely different. Thus, salary and status are independent of posting. Rank classification has many merits:

- It is easy to understand and administer
- It encourages career opportunities and promotes mobility rather than to a position.
- It encourages loyalty to the civil service.
- It attracts competent people to the service

However, the rank-in-man classification suffers from many inherent limitations:

1. It is violating the principles of equal pay for equal work. It does not define the contents of any job in detail.
2. It does not describe what is expected of a post and consequently, the performance of its incumbent may not be rationally measured.
3. It is not conducive to the formulation of scientific standards on which selection of personnel, training, posting, transfer, promotion, career development, etc., may be organized. Since position classification is better suited.
4. It has been adopted in most of the countries of the world. Those countries, which were using rank classification.

• Self-Check Exercise-1

Q.1 What are the advantages of classification?

Q.2 Discuss about the systems of classification.

3.4 CLASSIFICATION SYSTEM IN SOME SELECTED COUNTRIES ESPECIALLY IN INDIA, U.K., USA.

a. The United Kingdom

In UK, the Civil Service was divided into a large number of classes, such as the administrative class, the executive class, the clerical class and the messengerial class. In addition, there were other classes such as the Work Group of Professionals, Economist and the Statistician, Scientific Officers and Medical Officers. The Fulton Committee recommended that classes as such should be abolished. In its view, "All civil servants should be organized, in a single grading structure in which there are an appropriate number of pay-levels matching different levels of skills and responsibility and the correct grading for each post is determined by an analysis of the job"

b. The United States

In the United States, the Federal Civil Service is divided into various occupational groups known as "series", comprising of positions at various levels. There are in all 18 grades to cover the range of different job levels.

c. France

All civil servants, whether technical-or non-technical, belong to the four general classes running through all classification is particularly important in fixing salaries on the basis of occupations, which fall under various categories of skilled and semi-skilled labour.

d. India

The Indian Civil Service classification system is based on the British model. Initially, during East India Company Rule the civil services were classified as covenanted services reserved for British appointed from the UK and the uncovenanted appointed from Indians for low category job. The Atchison Commission (1886) replaced the covenanted service with Imperial Civil Service of India. A local service in each province Provincial Civil Service was recommended. The third tier was the subordinate service. After the implementation of the Government of India Act, 1919, the imperial services were divided into two classes-Central Services and All India Services. The Central Services were divided into (i) Class I, (ii) Class II, (iii) Subordinates, and (iv) Inferior Services. The First Pay Commission (1946) replaced the subordinate and inferior services with Class III and Class IV Services.

At present, the Civil Services in India have been classified in Services, Groups and Grades. The Services are: All India Services, Central Services, Central Secretariat Services, State Civil Services. All these services are divided into four groups, ie, A, B, C, D. Each group has

a number of grades. The Second Central Pay Commission (1957-59) came to the conclusion that the existing classification of Civil Service did not serve any practical purpose and needed change because, "The lines of division run horizontally across the services, resulting in a grouping of services and posts on a non-departmental and non-occupational basis". However, this recommendation was not accepted. The Administrative Reforms Commission (1969) examined this question and observed. "The post in the Civil Service should be grouped into categories, so that all those which call for similar qualifications and involve similar difficulties and responsibilities fall in the same category. The same pay scale should be applied to all posts in the same category. It proposed that (1) the entire civil service should be brought into a framework of 20 to 25 grades (2) All the Class posts may be evaluated and assigned to nine common pay scales. These nine grades may be divided into three levels, namely, junior, middle and senior (3) The Department of Personnel should undertake urgently a detailed study for the purpose of determining the grades as well as the posts to which these should be attached. However, the Government of India did not take any action on the recommendations of this Commission.

- Self-Check Exercise-1

Q1. Discuss about the classification system in USA.

Q.2 Discuss about the classification system in U.K and India.

3.5 CONCLUSION

The Third Central Pay Commission (1973) recommended the classification of civil posts under the Central Government in four groups, ie, A, B, C, and D instead of four classes ie. I, II, III, and W. This recommendation has been accepted by the Government. The four-fold classification was based on pay range.

Like the Third commission, the Fourth Commission justified classification into four groups as it played a vital role in disciplinary matters. The Fourth Pay Commission recommended group-wise classification as follows:

- a. Not less than Rs. 4000
- b. Not less than Rs. 2900 but less than Rs 4000
- c. Over Rs. 1500 but less than Rs. 2900.
- d Rs 1500 or less.

They have opined that classification of posts as Groups A, B, C and D mainly served the purpose of disciplinary rules so as to regulate the appointing, reviewing and appellate

authority. It is precisely for this reason that the same was incorporated under the CCS (CCA) Rules, 1965. The classification had also been made use of, to regulate orders relating to Group Insurance, age of retirement, etc

3.6 GLOSSARY

Position Classification: In this the important is the duties and responsibilities attached to the job rather than the person discharge his duties. Rank Classification : In Rank Classification a man status and salary are determined with reference to the service he is assigned after recruitment

3.7 ANSWER TO SELF CHECK QUESTIONS

Self-Check Exercise-1

Q.1 Refer to section 3.3

Q.2 Refer to section 3.3

Self-Check Exercise-2

Q.1 Refer to section 3.4

Q.2 Refer to section 3.4

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3.9 TERMINAL QUESTION:

- What is position classification? What are its benefits to the organization?
- Discuss position classification system in some selected countries of the world

UNIT-4

HUMAN RESOURCE MANAGEMENT AND DEVELOPMENT CONCEPT, ELEMENTS AND ITS APPLICATION GOVERNMENT

Structure

- 4.1 Introduction
- 4.2 Learning Objectives
- 4.3 Meaning and Definition
 - Self-Check Exercises-1
- 4.4 Essential of Human Resource Management
 - Self-Check Exercises-2
- 4.5 Scope of HRM
 - Self-Check Exercises-3
- 4.6 HRM objectives and Functions
 - Self-Check Exercises-4
- 4.7 Human Resource Development
 - Self-Check Exercises-5
- 4.8 Conclusion
- 4.9 Glossary
- 4.10 Answer to Self-Check Exercise
- 4.11 References/Suggested Readings
- 4.12 Terminal questions

4.1 INTRODUCTION:

An organization is nothing without human resources, organizations exists because of individuals. Without individuals, industrials or business enterprises cannot be staffed and managed. Today, more than ever before, the challenges and excitement in the field of Human Resource Management, reach out across the globe and command the attention of practising managers. The direct and all-important nexus between effective people management and effective organization management has been incontrovertibly established. The changes in the world economy, the pressures on resources and the new concern for employment and human

rights have on all of us, and new agenda. With the liberalization of the Indian economy, and the structural adjustments that have necessarily accompanied it, the prospect of global competition looms large. Problems of productivity, quality of products and work life, environment safety and healthy will increasingly dominate the commercial view in the coming years. But people, after all, at the heart of issues of productivity, quality of work life, and legal compliance. Organizations that do a better job in managing their human resources are most likely to be more effective in dealing with them. Because the essence of HRM is managing people,

it plays a significant indeed a vital role, in determining which organizations will survive and flourish. Never before have our domestic business and industry faced the intense competition now presented by foreign and multinational corporations

4.2 LEARNING OBJECTIVES:

After going through this lesson, the students will be able to know the following:-

- 4.12.1 The concept of HRD and HRM.
- 4.12.2 Pre-requisite of HRD
- 4.12.3 Scope of HRM
- 4.12.4 The application of HRD techniques to the organisation

4.3 MEANING AND DEFINITION

Human source Management (HRM) is concerned with the "people" dimension in management. Since every organization is made up of people, acquiring their services, developing their skills, motivating them to high level of performance and ensuring that they continue to maintain their commitments to the organization are essential to achieving organizational objectives. This is true regardless of the type of organization-government, business, education, health, recreation or social action. Getting and keeping good people is critical to the success of every organization, whether profit or non-profit, public or private.

Those organizations that are able to acquire, develop, stimulate and keep outstanding workers will be both effective and efficient. Those organizations that are ineffective or inefficient risk the hazards of stagnating or going out of business. Survival of organizations requires competent managers and workers coordinating their efforts towards an ultimate goal. While successful coordination cannot guarantee success, organizations that are unsuccessful

in getting such coordination from managers and workers will ultimately fail. Simply put, Human Resource Management (HRM) is a management function that helps managers recruit, select, train and develop members for an organization, obviously, HRM is concerned with the people's dimension in organization.

- Self-Check Exercise-1

Q.1 What is the meaning of HRM?

Q.2 Discuss about the HRM definition.

4.4 ESSENTIAL OF HUMAN RESOURCE MANAGEMENT

1. Organizations are not mere bricks, mortar, machineries or inventories. They are people, it is the people who staff and manage organizations:

2 HRM involves the application of management functions and principles: The functions and principles are applied to acquisitioning, developing, maintaining, and remunerating employees in organizations

3. Decisions relating to employees must be integrated decisions on different aspects of employees must be consistent with other human resource (HR) decision.

4. Decisions made must influence the effectiveness of an organization. Effectiveness of an organization must result betterment of service to customers in the form of high quality products reasonable costs. supplied at

5. HRM functions are not confined to business establishments only.

They are applicable to non - business organizations too such as education, health care, recreating and the like. On the basis of five core points following are the definitions. Wendell French has evolved an apt definition "Human resource management is the systematic control of a network of interrelated process affecting and involving all members of an organization" Human resource management is concerned with the people dimension in management. Since every organizations is made up people acquiring their services, developing their skills, motivating them to higher levels of performance and ensuring that they continue to maintain their commitment to the organization are essential to achieving organizational objectives. This is true, regardless of the type of organization movement, business, education, health, recreation or social action. Human resource management is a series of integrated decision that form the employment relationship: their quality contributes to the ability of the organizations and the employees to achieve their objectives. Human

resource management is the planning, organizing, directing and controlling of the procurement, development compensation, integration, maintenance and separation of human resources to the end that individual organizational, and social objectives are accomplished. Thus, HRM refers to a set of programmes and activities designed and carried out in order to maximize both employee as well as organizational effectiveness.

Nature Human Resource Management is an approach based on four fundamental principles.

1. Human resources are the most important assets an organization has and their effective management is the key to its success;
2. This success is most likely to be achieved if the personnel policies and procedures of the enterprise are closely linked with, and make a major contribution to, the achievement of corporate objectives and strategic plans,
3. The corporate culture and the values, organizational climate and managerial behaviour that emanate from that culture will exert a major influence on the achievement of excellence; this culture must, therefore be managed.
4. Finally, HRM is concerned with integration-getting all the members of the organization involved and working together with a sense of common purpose.

The major components of HRM are today, widely recognized:

- a. Human Resource Planning.
- b. Recruitment Screening and Selection.
- c. Training and Development.
- d. Performance Appraisal and Promotion
- e. Job analysis and Design.
- f. Quality of works life, Safety and Health.
- g. Organizational Culture.
- h. Personnel Research and information Systems.
- i. Union/Labour Reflation's.
- j Employee Assistance.

The above said areas have been termed spokes of the wheel in that each area impacts on human resource outputs, quality of work, productivity, and the readiness for change.

- Self-Check Exercise-2

Q.1 What are the essentials of HRM?

Q.2 Discuss about the major components of HRM.

4.5 SCOPE OF HRM

The scope of HRM is indeed vast. All major activities in the working life of a worker form the time of his or her entry into an organization. Until he or she leaves come under the preview of HRM. Specially, the activities included are HR Planning Job analysis and design, recruitment, selection, orientation and placement, training and development, performance appraisal and job evaluation, employee and executive remuneration, motivation, communication, welfare, safety and health, industrial relation (IR) and the like. For the sake of convenience, we can categories all these functions into seven sections.

1. introduction to HRM.
2. employee hiring
3. employee and executive remuneration,
4. employee motivation
5. employee maintenance,
- 6 industrial relation
6. prospects of HRM

- Self-Check Exercise-3

Q.1 Discuss about the scope of HRM.

4.6 HRM: OBJECTIVES AND FUNCTIONS

Human resource management in contrast to disciplines like mathematics or philosophy has the intrinsic potential is grab students interest because of its relevance to their everyday lives. The primary objectives of HRM is to ensure the availability of a competent and willing workforce to an organization. Beyond this, there are other objectives too. Specially, HRM objectives are four fold-societal, organizational, functional and personal

Objective of HRM

a. Societal Objectives

Societal objectives To be ethically and socially responsible to the needs and challenges of the

society while minimizing the negative impact of such demands upon the organization. The failure of organizations to use their resources for the society's benefit in ethical way may lead to restrictions. For example, the society may limit HR decisions through laws that enforce reservation in hiring and laws that address discrimination, safety or other such areas of societal concern.

b. Organizational Objectives

To recognize the role of HRM in bringing about organizational effectiveness, HRM is not an end in itself. It is only a means to assist the organization with its primary objectives. Simply stated the department exists to serve the rest of the organization

c. Functional Objectives

To maintain the department's contribution at a level appropriate to the organization's needs. Resources are wasted when HRM is either more or less sophisticated to suit the organizations demands. The department's level of service must be tailored to fit the organization it serves

d. Personal Objectives

To assist employees in achieving their personal goals, at least insofar as these goals enhance the individual's contribution to the organization. Personal objectives of employees must be met if works are to be maintained, retained and motivated. Otherwise, employee performance and satisfaction may decline and employees may leave the organizations.

e. HRM: Functions

In order to realize the objectives stated above, HRM must perform certain functions. These functions have been stated while outlining the scope of HRM. Generally, it may be stated that there is correlations between the objectives and functions. In other words, some functions help realize specific objectives. For example, the organizational objectives sought to be met by discharging such function as HR Planning recruitment and selections, training and development, and performance appraisal, similarly, the personal objective is sought to be realized through such functions as remuneration, assessment and the like. HRM Objectives and Functions. To look at HRM more specifically, we suggest that it is a process consisting four functions-acquisition, development, motivation, and maintenance of human resources. It less academic terms, we might describe these four functions as getting people, preparing them, activating them, and keeping them.

f. Acquisition Function

The acquisition function begins with planning. Relative human resource requirement, we need to know where we are going and how we are going to get there. This includes the estimating of demands and supplies of labour. Acquisition also includes the recruitment, selection and specialization of employees.

g. Development Function

The development function can be viewed along, three dimensions. The first is employee training which emphasizes skill development and the changing of attitudes among works. The second is management development, which concerns itself primarily with knowledge acquisition and the enhancement of executive's conceptual abilities. The third is career development which is the continual effort to much long term individual and organizational needs.

h. Motivation Function

The motivation function begins with the recognition that individuals are unique and that motivation technique must reflect the needs of each individual. Within the motivation function, alienation, job satisfaction, performance appraisal, behavioural and structural techniques for stimulating, worker performance, the Importance of linking rewards to performance, compensation and benefits administration, and how to handle problem employees are reviewed

I. Maintenance Function

The final function is maintenance in contrast to the motivation function, which attempts to stimulate performance, function, the maintenance function is concerned with providing those working conditions that employees beliefs are necessary in order to maintain their commitment to the organization. Within the confines of the four functions-acquisition, development, motivation and maintenance, many changes have occurred over the years. What once was merely an activity to find a warm body to fill a vacancy has become a sophisticated process of finding, developing and retaining the best qualified person for the job. But this metamorphosis did not occur over night. It is the result of many changes in management thought, society and the worker themselves.

Apart from the above said functions there are some responsibilities which HRM should accept:-

1. Attraction:-identify job requirements. Estimating the people and skills mix requirement.
2. Retention: - Creating the conditions necessary for rewarding performance and providing a healthy conducive work environment.
3. Assessment: -Evaluation of behaviour, attitudes and performance.
4. Adjustment: - Activities intended to maintain compliance with culture and policies.

- Self-Check Exercise-4

Q.1 What is the objectives of HRM?

Q.2 Discuss about the functions of HRM.

4.7 HUMAN RESOURCE DEVELOPMENT

Human resources can be viewed as the sum of knowledge, skills, attitudes, commitment, values and the like. Development is acquisition of capabilities that are needed to do the present job, or the future expected job. Human Resources Development is a positive concept in human resources management. It aims at overall development of human resources in order to contribute to the well-being of the employees, organization and the society at large. Simply stated, HRD is the process of helping people, to acquire competencies. HRD has become a major subsystem of human resources management. HRD is the outcome of the problems faced by traditional personnel function. John Ingalls outlined the following problems.

1. Not being respected by members of management.
2. It has no unique technology to drive it forward.
3. It doesn't know how to appeal to new workers values.

Hence, he says the new concept which can solve the above problems is HRD. HRD enables employees to sharpen their capabilities and serve the organization in a more productive manner. Further human beings also have a need to develop themselves professionally. Development of their capabilities keeps them psychologically vital. This development needs to be mentioned in terms of making it with organizational requirements. According to Lippitt the HRD system depends on:

1. Work itself which generates a higher degree of responsibility for the employees
2. The individuals' personal and professional growth.

3. The improved quality output as a result of increased responsibility.
4. Organization as the open system.

In short HRD aims at helping people to acquire competencies required to perform all their functions effectively and make their organization do well. A responsive administration to provide effective, efficient and good governance will remain a dream unless it has motivated, trained and developed work force in the form of public servants. An immediate need, therefore is an appropriate HRD approach at the micro level with an in-built system of training, career development, job enrichment and employee participation to improve the quality of work life and in the process attain quality governance

- Self-Check Exercise-5

Q.1 Discuss about the Human Resource Development.

4.8 CONCLUSION

In any organization the most important input is the human element. The success or failure of a company very much depends on the persons who man organization. While it comes to managing individuals, all managers should be concerned, to certain degree, with the objectives and functions discussed earlier in the present lesson i.e, societal, organizational, functional and personal objectives. Apart from the above said objectives, the following functions ie attraction, selection, retention, development assessment and adjustment are also discussed. Planners in have to draw up a secular human development objective that we aspire to realize specially in education, health and technology through judicious investment in human capital.

4.9 GLOSSARY

HRM: HRM is concerned with the people dimensions in the organization. **HRD:** It can be viewed as sum total of knowledge, skills, competence, attitude of an individual to the person in an organization.

4.10 ANSWER TO SELF-CHECK EXERCISE

Self-Check Exercise-1

Q.1 Refer to section 4.3

Q.2 Refer to section 4.3

Self-Check Exercise-2

Q.1 Refer to section 4.4

Q.2 Refer to section 4.4

Self-Check Exercise-3

Q.1 Refer to section 4.5

Self-Check Exercise-4

Q.1 Refer to section 4.6

Q.2 Refer to section 4.6

Self-Check Exercise-5

Q.1 Refer to section 4.7

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4.11 TERMINAL QUESTIONS

Q.1 Discuss the essential of HRM. What is its scope? 2. How HRD techniques can be introduced in the organization.

UNIT-5

CONSTITUTIONAL PROVISIONS WITH REGARD TO CIVIL SERVICES IN INDIA

Structure

5.1 Introduction

5.2 Learning Objectives

5.3 All India Services

Self-Check exercises-1

5.4 Features of All India Services

Self-Check exercises-2

5.5 Justification of All India Services

Self-Check exercises-3

5.6 Recent development in All India Services

Self-Check exercises-4

5.7 Safeguard for All India Services

Self-Check exercises-5

5.8 Conclusion

5.9 Answer to self-Check exercises

5.10 References/Suggested Readings

5.11 Terminal questions

5.1 INTRODUCTION

The Secretariats of the Ministries and Departments of the Government of India together constitute the headquarters organization. With the expansion of the activities of Government in various fields, there has been a tremendous increase in the volume of business transacted in the headquarters organization, which is also called the Central Secretariat. To cope with the increased workload, the number of Ministries and Departments has gone up to 81 from 71 in 1986, 51 in 1973, 25 in 1957 and 18 in 1947. In the hierarchical set-up of a Ministry, below the Minister, Secretary/Additional Secretary is the administrative head of the Ministry. The business allocated to a Ministry/Department is generally divided into Wings, Divisions, Branches and Sections under the charge of a Joint Secretary, Deputy Secretary, Under-Secretary and Section Officer respectively. The administrative posts in the Secretariat are manned by officers from All India Services, Group 'A', Central Services on deputation and by members of Central Secretariat Service (CSS). Let us discuss all these services.

5.2 LEARNING OBJECTIVES

- After going through this lesson the student will be able to know:
- The concept of All India Services
- Characteristics of All India Services Justification of All India Services

- Recent development related to All India Service
- Protection to All India Services

5.3 ALL INDIA SERVICES

Like other federal polities, the Union (Center) and the Constituent States in India have their separate public services to administer their respective affairs-Union Services and State Services. A unique feature in this context is the creation of All India Services common to both Union and States. These serve at top positions in the Union and State Governments. The recruitment is made on an all India basis with common qualifications and uniform scales of pay. Notwithstanding their divisions among the states, each of these services forms a single service with the same rights and duties. Article 312 of the Constitution of India provides the procedure for the creation of one or more All India Services common to the Union and the States. The All-India Services Act, 1951, created two such services under Article 312, i.e., the Indian Administrative Service (IAS) and the Indian Police Service (IPS). This Act was amended in 1963 to provide for the creation of three more services in the fields of forestry, medicine and health and engineering. Out of the three, only one has been created with effect from 1 July, 1966. There is also a proposal to create All India Services for agriculture and education.

The Indian Administrative Service is controlled by the Ministry of Personnel, Public Grievance and Pensions, the Indian Forest Service is controlled by the Ministry of

Environment and Forests while the Indian Police Service is controlled by the Ministry of Home Affairs. It may be of interest to mention that the Drafting of the Constituent Assembly did not provide a constitutional status to the All India Services. However, the Constituent Assembly incorporated provisions for the creation of new All India Services, which were approved. Vallabhbhai Patel was the principal advocate of All India Services. As per the provisions of the All India Service (Conditions of Service- Residuary Matters) Rules, 1960, in respect of subjects for whom no specific rules have been made, All India Services officers serving in connection with the affairs of the Union are governed by the rules and regulations framed by the Central Government in respect of its group "A" officers. Officers serving in connection with affairs of the State Governments, for this purpose, are governed by the rules and regulations framed by the respective state governments in respect of their Class I officers, unless some specific exceptions or modifications are made by the Central Government in consultation with the State Governments. Pursuant to the enactment of the Madhya Pradesh Reorganization Act, 2000, the Uttar Pradesh Reorganization Act, 2000 and the Bihar

Reorganization Act, 2000, the New State of Chhattisgarh, Uttaranchal, and Jharkhand have come into existence with effect from 1st November, 2000, 9 November, 2000 and 15th November, 2000 respectively. Department of Personnel and Training has, accordingly, constituted the cadres of All India Services, i.e., IAS, IPS, IFS for the newly formed States of Chhattisgarh, Uttaranchal and Jharkhand, through the allocation of officers hitherto borne on the undivided cadres of Madhya Pradesh.

1. Uttar Pradesh and Bihar respectively. U.C. Agarwal, in an article, "Relevance and Role of All India Services in a Federal Policy".
2. Platinum Jubilee Souvenir (1926-2001) of Union Public Service Commission has observed.

- Self-Check Exercise-1

Q.1 Discuss about All India Services.

Q.2 Write a short note on All India Services.

5.4 FEATURES OF ALL INDIA SERVICES

Some basic features of the All-India Services considered useful for Centre-State cooperation are the following:

1. Recruitment on an All-India basis without any State quotas by the Union Public Service Commission.
 2. Allocation of the selected candidates to different State cadres by the Central Government.
 3. Common training to be organised by the Central Government at the National Academy of Administration
 4. All senior posts in the state administrations included in the relevant IAS/IPS cadres for being manned by the IAS/IPS Officers
- e. Each State cadre provided with 40% additional strength as "Central Deputation Reserve" for manning senior posts under the Government of India on tenure deputation basis-for the IAS in the Central Secretariat - and for the IPS in the Central Police Organisations.

- Self-Check Exercise-2

Q.1 Discuss about the features of All India Services.

5.5 JUSTIFICATION OF ALL INDIA SERVICES

1. Uniformity

India is federal in form but unitary in spirit. States have been created to deal effectively with many local problems. We want to preserve the unity of the country and the institution of All India Services is a right step in this direction. All India Services facilitate common action on the issues of common interest between the Union and the States. The Estimates Committee (93rd Report, Third Lok Sabha, 1966) observes that the organization of these services (All India Services) on an All India basis to administer the diverse and growing responsibilities of a Welfare State is of paramount importance. Their composition is indicative of the unity of India and encourages the development of a national point of view and more or less uniform standards of administration.

The, Estimates Committee of the Seventh Lok Sabha (April, 1984) went further and recommended the early creation of other All India Services like an Indian Service of Engineers, the Indian Medical and Health Service and Indian Service of Education. The Fourth Pay Commission also advocated the retention of All India Services as these provide valuable link between the Union and States.

2. Interchange of Experience

The progress of the country depends upon the progress achieved by the different states and union territories. This progress can be accelerated if the different states try to get the benefit of the expert ideas evolved in other states. This becomes possible through the interchange of experience. For example, there are different types of health schemes being experimented with, by different states to promote primary healthcare. The success of the scheme in a particular state can be transferred to other states through the Institution of All India Medical and Health Services (if created) and thus all states can be benefited by the ideas, which have been demonstrated to be successful.

3. Help to Deficient States

Many states are deficient in their manpower supply for filling posts at higher levels to promote efficiency and high standards. This can be through appointing and allocating of personnel of the All India Services to such states.

4. Setting-up of High Standards

The recruits to this category are competent since the recruitment standards are high and

exacting. Besides, the recruits are trained in top national institutions to develop competence, capability and capacity to discharge their duties. They are also exposed to training on-the-job to give them field experience. They can man strategic positions at the union and state levels: Dr. Ambedkar, while explaining the reasons for making this extraordinary provision for the creation of All India Services remarked

The Indian administration, through a dual polity, will have dual service, but with one exception. It is recognized that in every country there are certain posts in its administrative set-up which might be called strategic from the point of view of maintaining the standard of administration. There can be no doubt that the standard of administration depends upon the caliber of the civil servants who are appointed to these strategic posts. The Constitution provides that without depriving the States of their right to form their own civil services, there shall be an all India service recruited on all India basis with common qualifications; with uniform scales of pay and members of which alone could be appointed to those strategic posts throughout the Union.

Sardar Patel said about these services in the Constituent Assembly: "I wish to assure you that I have worked with them during this difficult period. am speaking with a sense of heavy responsibility and I must confess that in point of patriotism, in point of loyalty, in point of sincerity and in point of ability, you cannot have a substitute. They are as good as ourselves... I wish to place it on record in this House that if during the last two or three years, most of the members of services had not behaved patriotically and with loyalty, the Union would have collapsed.

5. Co-ordination among the Union and the States

The Union Government has no cadre for its top personnel. These are drawn from different states. The persons who serve in the Union Government help the Government to understand the true issues and problems of the State Governments. It is for this reason that the personnel are exchanged between the Union and State Governments so that they can understand the issues at the national and state levels.

6. Wide Horizon through Experience

Since these persons occupy key positions in the administrative system, they develop wide experience in the administration of the country. That is why Sardar Patel used to call this service the steel framework of India. The wide experience generates wide vision, initiative and confidence in them.

7. Fearlessness

Since the members of this service are appointed under the authority of the President, therefore, their services cannot be terminated by the State Governments where they work. It helps them in giving free and frank advice to the ministers in the State Governments.

8. All India Outlook

The members of this service are allocated and posted in the states but they are trained to develop an all India outlook in examining the issues and problems coming before them. This helps in checking the divisive tendencies, which take root in different states at different intervals of time.

- Self-Check Exercise-3
 - Q.1 Justification of All India Services: Critically examine.
 - Q.2 Argue in favor of All India Services.

5.6 RECENT DEVELOPMENTS IN ALL INDIA SERVICES

Maharaj Krishan Kaw, in an Article, "Role of the All-India Services in a Federal Polity" in Platinum Jubilee Souvenir (1926-2001) of Union Public Service Commission has observed:

1. The Unattractiveness of Central Deputation

Another noticeable trend is the reluctance of the All-India Service officers to come on deputation, to the Central Government. This has destroyed the entire concept of the All-India Services because there are no longer a sufficient number of officers with field experience available to the Central Government as there used to be in the past. This has come about by a systemic process in which the All-India Services have lost ground to Central Services in the manning of positions at the Centre. It has also happened because of the anomalous position with regard to the promotion policies, salaries, facilities and perquisites enjoyed by All-India Services officers in the Centre and the States. Some of the main factors could be itemised as under.

The major beneficiary of the recent trend has been the Central Secretariat Service. Recruitment to the CSS takes place at the level of Section Officers, a Group B post: The service is firmly entrenched in the Central Government and is ubiquitous in its presence. It is, therefore, able to influence policy in subtle and not-so-subtle ways. It has, for example, got a ruling in its favour that 100% of all posts of Under Secretaries and 33% of all posts of Deputy Secretaries will be filled in by the CSS. Members of the CSS can get in situ promotions even

when there are no vacant posts.

Experience shows that no All-India Services officer opts for a posting even at Deputy Secretary/ Director level in the Central Government. It has become increasingly difficult to get one's name approved by the Secretary and the Minister concerned. They do not get accommodation, except a one-room apartment. for years on end. There are no staff cars attached to them, unlike in the State Government nor do they get the services of a peon or orderly at home. Even at Joint Secretary level, the situation is dismal. The system of postings has become politicised. Many officers who are already in the Higher Administration Grade in the state, suffer a loss of salary if they move to the Centre, as there is no protection of salary drawn in the state government. In many Ministries, several Joint Secretaries have to share a staff car, and there is no peon/orderly even at this senior level, atleast to attend to the numerous phone calls that they receive at home.

2. Neutrality of the Civil Services

As far as the neutrality of the civil services is concerned, this has now become a casualty of the present situation. Some of the key factors have been the following:

Many postings at the Centre have been vouchsafed to AIS officers not because of their intrinsic merit or seniority but by their equation with the political masters at the Centre. They have rather been arrayed by powerful Chief Ministers for their favourites

In the past, if an officer faced undue pressures in the state, he could mostly give an option for service at the Centre and in a majority of cases he was allowed to migrate to the Centre, till the atmosphere cooled down in the state. This was a great safety valve, as the AIS officers had an escape route available. Increasingly, many state movements do not permit officers close to a previous regime to move with dignity to the Centre. They target them, humiliate them, place them in junior positions, strip them of authority and even suspend them or jail them. Thus, officers are more amenable to their dictates than ever before.

One of the most abominable features of the system is the extremely short tenures enjoyed by AIS officers in the state. Some years back, the Department of Personnel, Government of India surveyed the average tenure of District Magistrates in the country. It found that it came to less than 7 months. One can well imagine the contribution, which officers can make to any post if they are under constant threat of transfer. Many officers are prepared to do anything rather than suffer the agony, humiliation and hassles that a transfer entail.

Interestingly, transfer has become even more deadly in its consequences because the AIS

officers can no longer admit their children to good schools. In the private sector, companies buy seats in public schools with the result that children of comparatively junior executives just walk into a school at a new place of posting.

- Self-Check Exercise-4

Q.1 Discuss about the recent developments in All India Services.

Q.2 Write a short note on neutrality in civil services.

5.7 SAFEGUARDS FOR ALL-INDIA SERVICES

Having looked at some of the disturbing trends in the working of the AIS, let us think of ways and means by which the prestige and functional effectiveness of the AIS can be restored. Some of the steps that are crying to be initiated are the following:

There should be an amendment to the Constitution so that the Civil Services are recognised as a fifth estate in the polity. An independent, well-paid, satisfied, stable, secure, impartial and politically neutral civil service can be a great stabilising factor in a federal polity. The pre-eminent position of the IAS with reference to other services should be recognised. A corollary of the above would mean recognising the pre-eminence of the sub-divisional magistrate at the sub-divisional level, the district magistrate at the district level, the Divisional Commissioner at the divisional level and the Chief Secretary at the State Government level. Similarly, it would mean the pre-eminence of the Home Secretary over the DGP and that of the Forest Secretary over the Principal Chief Conservator of Forests.

AIS officers should be encouraged to come to the Central Government on deputation at all levels, including that of Under Secretary. The CSS should be kept within limits. Deputation of officers up to Director level should be within the discretion of the Secretary. AIS officers should be allowed to retain the salary drawn by them in the state as also given facilities like an attached staff car, orderly/peon at residence, immediate allotment of suitable residential accommodation, etc. If necessary, the Central and State Governments should ensure reservation of a certain percentage of seats in public schools for the children of transferable AIS and Central Services officers.

The Central Government should ensure, by a law, that some officers of the AIS in crucial positions enjoy a security of tenure once they are appointed to those posts. This can be done by appointing independent Civil Services Boards at the state level, the recommendation of which should be a mandatory pre-requisite for affecting a premature transfer.

5.7.1 An AIS officer should have the right to seek a posting at the Centre and the State

Government should not enjoy the option of denying him that right.

5.7.2 The State Government should not have the power to suspend an AIS officer: that power should vest only in the Central Government.

- Self-Check Exercise-5

Q.1 What are the safeguards provided for All India Services.

5.8 CONCLUSION

It may be stated that All-India Services can play a major role in preserving the integrity and unity of the country, in maintaining law and order, in preserving the environment, in ensuring coordinated and rapid development, and in giving free and frank advice to their political masters, provided that role is squarely recognised by all the stakeholders in the system.

5.9 SELF CHECK QUESTIONS:

- a). The features of All India Services.
- b). The problems and safeguard to All India Services.

5.10 GLOSSARY

Art. 312 of the Indian Constitution provide the procedure for the creation of All India Services.

Art. 308-309 of the Indian Constitution, provide the protection for the civil servants of the country.

5.10 ANSWER TO SELF CHECK EXERCISES

Self-Check Exercise-1

Q.1 5.3

Q.2 5.3

Self-Check Exercise-2

Q.1 5.4

Self-Check Exercise-3

Q.1 5.5

Q.2 5.5

Self-Check Exercise-4

Q.1 5.6

Q.2 5.6

Self-Check Exercise-5

Q.1 5.7

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5.12. TERMINAL QUESTION

1. Discuss the recent development relating to All India Services.
2. Discuss the protection to the civil services in India
3. Describe the justification of All India Services.

UNIT-6

RECRUITMENT, CONCEPTS, POSITION AND METHODS OF RECRUITMENT OF ALL INDIA SERVICES, RECRUITMENT PROCEDURE IN U.K. Structure

- 6.1 Introduction
- 6.2 Learning Objective
- 6.3 Recruitment: Concept policy
Self-Check Exercise-1
- 6.4 Recruitment Process
Self-Check Exercise-2
- 6.5 Methods of Recruitment
Self-Check Exercise-3
- 6.6 Forms of Recruitment

Self-Check Exercise-4

6.7 Adequacy of Recruitment Practice in All India Services Recruitment Reforms

Self-Check Exercise-5

6.8 Kothari Commission on Recruitment and Selection Method

Self-Check Exercise-6

6.9 Challenges to Recruitment System

Self-Check Exercise-7

6.10 Recruitment Reforms

Self-Check Exercise-8

6.11 Conclusion

6.12 Glossary

6.13 Answer to Self-Check Exercises

6.14 References/Suggested Readings

6.15 Terminal question

6.1 INTRODUCTION

Recruitment of personnel for The Civic Services is one of the crucial tasks of modern government and lies at the heart of problem of personnel administration. The main test of any machinery of recruitment

lies in the ability to recruit the right type of persons for the right jobs. Today every nation is paying more and more attention to the problem of recruitment of civil service personnel. There is a desire that only intelligent of civic service personnel. There is a desire that only intelligent, vigorous and persons with initiative and for-sightedness should be picked as civil servants. A very important problem of the public personnel is that of recruitment. Recruitment deals with efforts to find out and induce suitable candidates to compete for appointment to the Public Service. A bad policy of recruitment can week the entire personnel programme. Recruitment is selection by competent authority for trial appointment to a post in a service. Thus is perhaps the most important aspect of personnel administration.

6.2 LEARNING OBJECTIVES

After going through this lesson, the students will be able to understand:

- The Recruitment concept, meaning
- The process of Recruitment
- The method of Recruitment

- Kothari Commission Recruitment and selection
- Problems of Recruitment system
- The reforms in Recruitment system in India

6.3 Recruitment: Concept Policy:

Recruitment is of considerable importance to administrative form of advertising for large groups of employees or tracking out a highly skilled individual for specific work". The term 'Recruitment has no precise meaning. According to LD. White, it limited to the specific steps taken to attract suitable conditions to apply for examinations. In the words of J.D./Kirigsley, "Public recruitment may be defined as that process through which suitable candidates are induced to compete for appointments to the public service". For a common man recruitment means picking up persons for filling up vacant jobs in an office. Technical however, recruitment means no only making appointments but selecting proper and suitable candidates. Thus for a job there can be man candidates but no recruitment may but made. In the word of D. Waldo, "Public recruitment may be defined as that process through which suitable candidates are induced to compete for appointment to the public service". It is an effort to attract honest and qualified persons with a taste for serving the people. Recruitment system may be both negative and positive.

The basic elements of a positive recruitment policy according to Stahl are:

1. The discover and cultivation of the employment market for different posts in the public services;
2. use the publicity of attractive recruitment literature;
3. adoption of scientific tests for determining the abilities of candidates;
4. Investigation of capable candidates from within the services;
5. effective placement programmes, and
6. an efficient follow-up probationary programmes.

The increasingly technical nature of public service and growth of democratic ideas and institutions have made the problem of recruitment an selection much more important today than ever before. No aspect of public personnel administration is more important than recruiting. For unless the basic material is reasonably good, no amount of in-service training, supervision, an adequate staff of public employees. In short, recruitment is the first step in the employment programmes and it is regarded everywhere as the core of the personnel process.

- Self-Check Exercise-1

Q.1 Write a short note on recruitment concept.

Q.2 Critically examine the recruitment policy.

6.4 RECRUITMENT PROCESS

Recruitment of personnel for the civil services is one of the most crucial tasks of government. The increasing diversification of the nature of civil services functions and growth of democratic and qualitarian principles have largely determined the normative context of personnel recruitment in democratic countries. J D. Kingsley says, "Public recruitment may be defined as that process through which suitable candidates are included to compete for appoints to the public service. It is thus an integral part of a more inclusive process-selection-which also includes the process of examination and certification According to Piffiner and Presthus "Personnel recruitment for the second half of the Twentieth century will have to be geared to a nuclear physical world in which the solutions of human problems will demand the utmost in human competence. The emphasis will be not only on finding, but on building men who are capable of performing the complex task of co-ordinating institutions growing even more complex

The process of recruitment includes number of different steps which are as follows:

- 1) Announcement of examinations, through newspapers journals and other media
- 2) Holding of examination for testing determine the abilities of the recruits
- 3) Certification is the process of sending for an appointment
- 4) Selection is the act of choosing from eligible candidates.
- 5) Appointment is made by the competent authorities of selected recruits. Appointment may be permanent temporary provisional,
- 6) Placement refers to the putting of recruited persons in the right jobs.

- Self-Check Exercise-2

Q.1 Define recruitment process.

Q.2 Discuss about recruitment process and procedure.

6.5 Methods of Recruitment:

Recruitment from within or by promotion versus Recruitment from without or Direct

Recruitment When the recruitment to the higher posts is made from among those who are already working in the lower grades, it is called recruitment from within. But when the persons for higher jobs are recruited by open competition and those considered as the best are picked up, the system is called, that of the system from without. The former is called that of direct recruitment Each system has its own advantages and disadvantages

1. Merits of Within or Promotion System

The method of recruitment, in which employees already in the service are promoted to higher point has certain merits

1. Personnel have got experience of the government job, and this past experience helps them in performing new duties.
2. This method of recruitment provides ample opportunities for advancement to the employees.
3. It is a great incentive to the employees to work efficiently .
4. In the promotion system another advantage that there is already a personnel relationship between the officer and subordinate but in case of merit appointment there is no such link
5. The very expectation of promotion as a reward for faithful and zealous service is of immeasurable value for the working morale of the service.
6. The personnel are already trained and therefore they can be entrusted with the new job without any risk or difficulty.

2. Demerits of Promotion System

1. Under this system only those who are comparatively old and have lost much of their vigour and energy are provided an opportunity to hold high responsible officers.
2. Since it is a closed door system therefore it does not provide for fresh entry of the people in the service.
3. It narrows down the area of selection because recruitment is confined only to those who are already in the service.
4. When the area of Selection Recruited, It is likely that less capable persons may be recruited.
5. It leads to stagnation because there is no injection of new blood into service.

3. Director Recruitment System:

The principles of equality of opportunity is best served by the method of direct recruitment. Under the system the area of selection considerably widens and selection board gets an

opportunity to select the most capable and competent available persons in the market. The system is also in accordance with democratic principles which stands for equal opportunities for all. In the system, stress is laid on written examination and interviews.

4. Qualification of the Candidates

This factor is of enormous importance, for the efficiency of the service depends upon its qualifications required General/special.

General Qualifications:

Civil Status: Since the growth of nation-states it has become a universal practice to recruit only citizens
Residence: The domicile qualification is generally laid down in public services in countries with federal systems. In India domicile rules were prevalent till 1957 and have been discarded now

Sex: Previously public services were the monopoly of men, but not now. India, Article 116(1) of the Constitution lays down that "there shall be equality of opportunity for all citizens in matters relating to employment or appointment to an office under the state."

Age: Two practices are generally followed, some countries like India and Britain prefer Young people while the USA. employees more mature people. In India, young men women in 16-28 age group enter the services.

Special Qualifications:

Educational: In India every university graduates can sit for the civil service competitive examination and the subject are so broad based as to include the wide range of university subjects,

Technical Experience: This is an essential to fill up technical posts in public administration professionals like doctors, engineers and technicians etc.

5. Written Examination

Written tests may be either essay-type or objective types in forms. In India the purpose of these examinations is to know the general intelligence or superior mind of the candidates. The examination are held in the subjects. When are taught in the Universities and Colleges. Essay type are meant to examine the power and clarity of expression and the standard of logical thinking of the candidates. The objective type of usually employed to test the general knowledge and speed of thinking, written tests fall under the following main categories:

The ability tests: The main objective of this tests is to know the general mental ability.

candidates Aptitude tests: These tests used for recruitment in defence & other technical services.

Personality tests: These are highly complex psychiatric devices meant to test hidden traits of candidate.

6. Oral Test or Interview

Oral interviews are resorted to measure the personal characteristics of the candidates by a competent Board. Such tests are quite frequently held in India for making selection of candidates both by the departmental heads as well as public service commissions both in the states and at the Centre. The oral tests can be individual as well as in group.

- Self-Check Exercise-3

Q.1 What are the different methods of recruitment.

Q.2 Write a short note on challenges in recruitment.

6.6 Forms of Recruitment

There are three main forms of Civil Service Recruitment. They are as follows:

Cadet system: Under this system recruitment is made at a young age, usually between 16 and 20 years, followed by a long period institutional training.

General Mental Ability: Under this system the government seeks to recruit young men and women after graduation in the liberal arts of basic science between the age group of 21 and 26 years for broad educational attainments and mental ability. It is based on the concept of career civil service.

Expertise Ability : The Govt. recruits people with specific qualifications, technical knowledge or experience suited for the recruitments to various posts. This system has the same objectives as the "Internal entry system, under the which a certain quota is fixed for recruitment to the senior service posts. The age scale of recruitment varies from 18 to 45 years. The lateral entry system may be followed in recruitment on the basis of general mental ability.

7 Administrative Machinery for Determination of Qualifications:

Direct recruitment to administrative and most of executive services is made on the basis of a competitive examination conducted by the UPSC The scheme of examination is combination of three different views about what qualities need to be tested for entry into the administrative

services. These are:

Belief in the transferability of academic talent to government work; Object of selection is the assessment of the entire personality of the applicant and matching the selected one with the type of work in the Civil Services. To select persons possessing intellectual ability and training, but whose intellectual training has been in subject with provide the essential background.

Location Of the Recruitment Authority:

There are two views on the subject. One the elective system, this system provides that the recruitment power should vest in the electorates. All-important officers of the government should be elected. These officers should be elected for shorter period.

The system is open to criticism,

- (a) when it comes to election of a large number of officials, the electorate may not make a wise choice,
- (b) The electorate is likely to be swayed by personal considerations,
- (c) only a limited number of officials who have policy-determining functions need be under political control not all of them. Two only the chief executive and the member of the legislature should be elected and all other official be appointed by a system of recruitment.

- Self-Check Exercise-4
 - Q.1 Discuss about the forms of recruitment.
 - Q.2 Write a short note on recruitment authority.

6.7 ADEQUACY OF RECRUITMENT PRACTICE IN ALL INDIA SERVICE, RECRUITMENT REFORMS

A remarkable feature of the administrative system in federally governed India is the deliberate retention of the All India Services. The broad stories of services are three:

- (I) ALL India Services
- (ii) Central Services
- (iii) State Services.

The All India Services are changeable between the Central and the State Governments of the All India Services as provided in constitution are on Indian Administrative Service and Indian Police Service the success of services to the Indian Civil Services (ICS) and Indian Police Service (IPS). The All India Services constitute an administrative device peculiar to India and to Pakistan which was a part of the sub-continent prior to partition. Dr. Ambedkar, while explaining reasons for making this extraordinary provision for the creation of All India Services remarked. "The Indian Administration though a dual polity, will have dual services.

There shall be an All India Service recruited on All India basis with common qualifications, with uniform scale of pay and members of which alone could be appointed to these strategic posts throughout the Union. Historically the All India Services, then known as the Secretary of States services, were formed then India had a unitary centralised system of government. They were ideally suited to the requirements of that times as their members acquired experience in both the Central Government and with local and provincial levels. Recruitment by the Secretary of State for India and the control over conditions of service of the personnel who could be deployed in any part of the country were the essential attributes of the All India Services. Such a power was thought to hold the key to the exercises of British control over the country. because it guaranteed control over the whole administration. The British and as these officers were neither willing, nor was it expedient to compel them, to serve under Indian Control recruitment to and control over the op services of the Secretary of State was considered to be essential. The All India Services as an institution top: had strategic control of the framework law and order, which dependence of the imperial government on them became steady, more obvious as the popular desire for fully responsible government become more vocal and assertive.

The All India Services were not all crated at the same time. The oldest was the famous Indian Civil Service which owes its origin to the Macaulay Report submitted in 1854. The last to be added to the list was the Indian Agricultural Service Constituted in 1906, Before 1947 man times continuance of All India Services was opposed but at the time of Independence a conference was held on October 21-22, 1946 under the Chairmanship of Vallabhbhai Patel, the home member in the interim Government, made a strong plea for a All India Administrative system. The arguments advanced for this were the obvious reason for maintaining the highest possible standard of administration. The civil service experience at the case of efficiency and administrative experience of the service as a liaison between the provinces and the centre and of introducing both in the provinces and the centre, a

progressive and wide outlook and freshness and vigour of administration. The provinces generally made a distinction between recruitment and control; while a majority of them were in favour of recruitment of personnel on All India basis. There was a general inclination to favour retention of provincial control over such personnel. A Consensus, however, appeared in favour of an All India Administrative Service. All this was a magnificent victory for the centre and more truly, a personal triumph for Vallabhbhai Patel may rightly be acknowledged as the Father of All India Services.

The drafting committee of the Indian Constituent Assembly did not originally provide a constitutional base to the All-India Services. The draft constitution accordingly makes no mention of the All India Services. Yet the constitution which finally emerged from the Constituent Assembly not only embodies reference to it, but also includes provision for the creation of new All India Services.

Recruitment of All India Service, i.e., Indian Administrative Service, Indian Police Service and other Central Service is made by the Union Public Service Commission on the basis of a competitive written examination supplemented by a viva-voce test. To appear at the examination, a candidate must be between the age of 21 and 26. Till recently, the upper age for entry into public services was 26, but in 1979 it was raised to 28. The upper age has been reduced to 26 since 1986. Only a University graduate (one holding BA or B.Sc. or an equivalent degree) can appear at the examination. Engineering graduates are allowed to complete but medical graduates are not in the sense that subjects prescribed for medical graduates are not included in the competitive examination. The examination test by the Union Public Service Commission in the form of a personal interview. The former aims at judging the level of intelligence and academic learning and the latter attempts to take a measure of the qualities of personality and character. The examination system is modelled on the British 'general type rather than the American specialised type. Till 1978, there used to be a single competitive examination for the higher civil service and there was no screening test, whatever to judge that only those who showed some intellectual promise were to be allowed to write it. In the absence of any screening, a large number of candidates were being let loose on the written examination. By mid-seventies nearly 40,000 candidates were thus, taking the main test whereas the number of posts to be filled did not exceed 400. It was senseless to administer a competitive examination to such large numbers.

- Self-Check Exercise-5

Q.1 Discuss about adequacy of recruitment practices in India.

Q.2 Write a short note on All India Service.

6.8 KOTHARI COMMITTEE ON RECRUITMENT POLICY AND SELECTION METHODS

A realization like this induced the Union Public Service Commission to set up a Committee to examine the system of recruitment to the all Indian and central services and to recommend such changes in the scheme of examinations and in the selection methods as would give adequate emphasis to knowledge, skills and quality.

appropriate to the role and functions of the services in the context of tasks of national development. This Committee was set up in 1975 under the Chairmanship of D.S. Kothari and it submitted its Report in 1976.

The Kothari Committee recommended that for recruitment to the IAS and other class Central Services there should be a preliminary screening examination and a post-training test besides the main civil services examination (plus, an interview worth 300 marks). The suggestion for a preliminary objective test type to weed out candidates who are not competent enough to write the main examinations is unexceptionable. The Union Public Services Commission is at present more a rejecting body than a recruiting one. The screening test should be an objective type so that it is easy to identify those who have the requisite range and depth of knowledge.

The basic policy governing recruitment to civil service was first laid down in the year 1853, thanks to the Report on the Indian Civil Service, submitted by Macaulay and his colleagues. Even after over 120 years. Macaulay continues to dominate the system of public recruitment in India. Thus, viewed, the Kothari Committee Report may look more like a revised edition of the Macaulay Report reflecting the latter's spiritual philosophy but update it, primarily, to take care of the vast numbers who now offer themselves for public employment.

The Kothari Committee is a useful report but it must not be used to divert the nation's attention from the range of reforms necessary in the face of contemporary challenges. The Committee had limited terms of reference, and it did not, or could not, call into question the existing civil service system of the country. Outside the ambit of the Committee lie many basic question demanding resolution. Is the existing structure of the Civil Service rational and functional, Are Civil servants given the type of institutional and on the job training which in harmony with the nation professed goals? Are the performance appraisal and promotion system fair and objective? In the machinery for redressal of public grievances and complaints against maladministration adequate? This is only an illustrative its, personnel administration

includes many more facets, and personnel reform is necessarily to be broadly conceived designed and executed.

In December 1978, the Central Government accepted the scheme of examination as recommended by the Kothari Committee and, thus the competitive examination held by the Union Public Service Commission since 1979 marks a significant departure from the pattern hitherto followed. In other words, the competitive examination for the higher Civil Service held in 1979 and onward is based on the new scheme. The Civil Services Competitive examination comprises two success stages

Civil Services Preliminary Examination Objective type for the selection of candidates for main examination; and Civil Services Main Examination (Written and & Interview) for the selection of candidates for the various services. The preliminary Examination is held annually in May/June and the Main Examination in November/December.

The Preliminary Examination consists of two papers of objective type (multiple choice questions) and carry a maximum of 450 marks. This examination is meant to serve as a screening test only; the marks obtained in the Preliminary Examination by the candidates who are declared qualified for administration to the Main Examination will not be counted for determining their final order of merit. The number of candidates to be admitted to the Main Examination will be about twelve to thirteen times the total approximate number of vacancies to be filled in the year in the various services and posts. Only the second dates who are declared by the Commission to have qualified in the preliminary examination in a year will be eligible for admission to the Main Examination of that year. The Main Examination consists of a written examination and an interview test. The written examination will consist of a papers of conventional essay type each carrying 300 marks. Candidates who obtain such minimum qualifying marks in the written part of the Main Examination as may be fixed by the Commission shall be summoned for an interview for a personality test. However, the papers on Indian language and English will be of qualifying nature. The marks obtained in these papers will not be counted for ranking. The number of candidate to be summoned for interview will be about twice the number of vacancies to be filed. The interview will carry 250 marks (with no minimum qualifying marks). Marks thus obtained by the candidates in the main examination qualifying marks. Marks thus obtained by the candidates in the main examination (written part as well as interview) would determine their final ranking. Candidates allotted to the various services keeping in view their ranks in the examination and the preference expressed by them for the various services. The Preliminary Examination

consists of two papers one in general studies and the second in an optional subject, which students study at the graduate level. Both the papers are of objective type. The paper in General Studies carries 150 marks, and the paper in optional subject 300 marks. Only those who qualify in the Preliminary Examination are allowed to appear at the Main Examination. The Main Examination consists of two parts-the written examination and the interview. The written examination consists of 8 papers carrying 300 marks in the various subjects.

The detailed schemes is as follows:

Paper I

One of the Indian languages to be selected by the Candidates from the languages included in the English Schedule of the constitution.

Paper II

300 marks

English

300 marks

Paper III and IV

General Studies

300 marks for each paper Paper V, VI, VII & VIII Any two subjects to be selected from the list of optional subjects. 300 marks for each paper Each subject will have two papers. The paper or Indian language and English is of Matriculation or equivalent standard and of qualifying nature. Certain combinations of, various papers have been disallowed. Each paper is of three hours duration.

A major change in the medium of examination to be offered by the candidates has been that they now have the option to answer all the question papers, except the language papers viz.. Papers I and II above, in any of the language in the eighth schedule to the Constitution or English.

Interview Test: Candidates who obtained such minimum qualifying marks in the written part of the mains examination as may be fixed by the Commission for their discretion are called, by them for an interview for a Personality Test. The interview carries 250 marks with no minimum qualifying marks.

The interview test is intended to judge the mental caliber of a candidate e.g. balance of judgment variety and depth of interest, ability for social cohesion and leadership, intellectual and moral integrity. The marks obtained by candidate in the main examination, i.e. both the written part and the interview are added to determine the final ranking. Candidates are allotted to the various services keeping in view their ranks in the examination and the preferences expressed by them for the various services and posts

The candidates are allowed three chances for the civil services examination. The scheduled caste and Scheduled Tribe candidates are, however, allowed to take the examination without any restriction on the number of changes, of course, subject to the prescribed age limits. Such a system of examination has come in for a great deal of criticism. In the first place, doubts have been expressed as to the reliability of marks awarded at viva-vice, and it has to be admitted that there is considerable scope here for the elements of chance and luck. Much depends on the personnel of the interviewing Board, the passing for marks of examiners, the difference in the nature of questions put to different candidates, and so on. It is legitimately open to question whether 15 to 20 minutes desultory conversation on sundry matters can lead to a correct assessment of the qualities sought for in candidates, as for that matter, a comparative evaluation as between different candidate. However, this kind of drawback is by no means peculiar to India. One candidate put first by one Board means peculiar to India. One candidate put first by one Board was put 20th by another, and so on. Suggesting the replacement of the existing interview system in India by psychological tests, A.D. Gorewala points out: "The importance of psychological tests must be realised and they must gradually replace the viva- voce. A fifteen minutes conversation with laymment, although possessing the wide experience of the public service commissions, can be so substitute for an expert psychological examination designed to give a scientific insight who the candidates mental and emotional make up. The holding of such tests will, of course cost more, but if thereby the services get better material and there is no reason of suppose that they will not, the extra money will have been well spent. In India, so far the British House party or week-end' type of interview (which includes) a series of tests extended over a period of about forty eight hours) has not yet been adopted except for the selection of officers in the deference forces.

The written examination has also not escaped criticism. Pointing out the weakness of written examination Gorwala says, "There are also often complaints about the low standard of some of the papers set optional subjects have unfair advantage. This is inevitable, that part of the examination which is common to all candidates must form a larger proportion of the whole that at present on the general inadequacy of the system of recruitment. Appleby remarks: The criteria by which personnel are selected by the and appraising techniques are far from modern selection tends to be by one type of person, which naturally perpetuates its own type. Recruitment by experienced academic examiners, too little in terms of many other considerations as are highly important in public administration too little attention in selection is given to any but the most subjective and incidental' attention to capacity for growth

- Self-Check Exercise-6

Q.1 Write a short note on Kothari Commission.

Q.2 Discuss about Kothari Commission recommendations to the recruitment methods.

6.9 CHALLENGES TO RECRUITMENT SYSTEM

In addition to this the recruitment system of India suffers from many other problems such as:

- 6.9.1 Increase in the number of posts and applicants. It is becoming very difficult for the Public Service Commissions to cope with such increasing work judiciously and meticulously. It is suggested that the commissions should while the execution of the policy may be decentralized to the specially appointed offices.
- 6.9.2 Ineffective Probation System: It is not possible to guarantee the suitability of candidates through recruitment, as there is possibility of some unfit candidates entering the service. Therefore, the appointment should be in the first instance on probation. The object of the probationary period is give the appointing authority sufficient opportunity to observe and evaluate the ability, capacity and fitness of the employees to perform the duties satisfactorily. The probation period should be considered as an opportunity for the appointing authority to complete selection process. The new appointees should be carefully supervised and critical observation made of the work during the period of probation
- 6.9.3 Recruitment operations are protected and need stream lining: It takes a very long time betwe the advertisement of the job and the appointment. This creates great deals of inconvenience and harassment to the potential candidates as they cannot take up temporary employment for fear of tot being relieved in time. On the other hand, the government suffers from lack of competent people There is need to cut short delays by modifying and streamlining the recruitment procedures.

- 6.9.4 Ineffective publicity: At present, recruiting authorities only fulfill the formality of advertising the posts and never try to get the best persons to fulfill the job. So there is need of positive publicity to attract the best talent
- 6.9.5 Absence of recruitment rules: Absence of such rules result in corruption, favoritism and nepotism There is need to ensure laying down recruitment truly for every cadre of service and post.
- 6.9.6 Proper placements: An employee can give his best to the service only when he gets the proper opportunity to use his knowledge, skills and abilities Maximum utilization of employee's energy a possible only if the placement are made according to the capacities, aptitudes, inclinations and capabilities of the employees, so some efforts must be made in this direction.
- 6.9.7 Absence of public confidence in recruitment agencies and procedures Erosion of values.
- Self-Check Exercise-7
 - Q.1 What are the challenges to the recruitment system.
 - Q.2 Discuss ways to counter challenges.

6.10 RECRUITMENT REFORMS

Any serious study of the problem reveals that drawing up a long-term recruitment plan is not merely a matter of statistical forecasting. In fact, the adoption of any such plan entails laying down very precise standards and more important, choosing a personnel policy.

We shall now consider the long term programmes the stand point of

- (1) Statistical Forecasting
- (2) Standards,
- (3) the Choice of a policy

1. Statistical Forecasting: The objective of a long-term recruitment plan is to determine for a given period, several years in advance, the number and type of posts to be filled by recruitment. These requirements must be determined as precisely as possible with necessary to ascertain, in addition to the number of posts, the grade levels and to corresponding type of occupation. A number of objections may arise with regard to the feasibility forecasting The number and types of new posts will be created and the number and types of resignations and deaths

2. Standards: The idea of long term planning is incompatible with any vague system. The purpose of such planning is to determine what staff need to be recruited, by what date, with what qualifications at what age, and in what type of appointment. A precise system of calculation and classifications is therefore required the setting of the above objectives calls for the number of posts to be filled by external recruitment

3. The choice of a Policy: All the foregoing remarks point to the conclusion that recruitment to posts which are reserved in principle for filling by promotion should logically take place increasingly at the junior level. Posts to be filled by direct external recruitment at middle level should be increasingly reserved for experts possessing special qualification. Lastly, it seems necessary to note that the preparation of a long term recruitment plan should have two additional advantages that are by no means negligible. From the technical point of view, the preparation of detailed programme of the recruitment operations should make it possible to eliminate almost all the time lag which occurs between the occurrence of a vacancy and the appointment of a new staff member to fill it.

From the policy point of view, a knowledge, grade by grade, of the number of separations (retirements, expiry of appointments, etc.) may make it possible to calculate in advance the changes which will be made in the years ahead.

Administrative Reforms Commission recommended following:

1. For all services advance projections should be made of the requirements of personnel for five years at a time. Mid-term appraisal also should be made if circumstances warrant it and necessary corrective made on the basis of the appraisal.
2. Such projections should be made by cadre management committee.
3. The requirement to class Engineering posts should as far as possible, be made only through competitive examination, and the selection after a simple interview should be restricted to cases where some prior experience or special qualifications other than the basic degree are required or where new projects are to be undertaken at a short notice.
4. A committee should be set up to go into the questions of devising speedier methods of recruitment, in general of devising speedier methods of recruitment, in general of bringing down the proportion of candidates to post, of reducing the expenditure or publicity, and of revising the syllabus of the examinations for the higher services.
5. The total number of chances a candidate can take for the technical as well as the non-technical services should be restricted.
6. A special competitive examination for non-technical class services may be held for first

class graduates who have an aggregate of not less than 60 per cent marks either at the first degree or the Master's degree

7. Provision should be made for appointment to technical posts at the senior level of persons of proved competence from universities and industrial and commercial concerns etc; if the capabilities and expertise possessed by them are needed and are not available within the ranks of the civil service. Care should be taken to regulate the seniority of lateral entrants

8. Direct recruitment to class II posts of section officers may be stopped and these posts may be filled by promotion of assistants who direct recruitment, will continue.

9. Direct recruitment to class II posts whose incumbents perform duties similar to those allotted to junior class I officers may be abolished. Such posts may be filled entirely by promotion.

10. For recruitment to clerical and repetitive jobs not calling for any special skill, simple objective test may be devised and adopted in place of the essay type of examination or where no examinations are held at present.

11. There should be a provision for recruitment from the personnel of the state Governments for Central posts in organisations like the Secretariat and the Department of agriculture and education etc.

Recruitment Procedure in UK.

Historically, Great Britain always cherished an open competitive examination to recruit members of its old Administrative Class. While upholding merit, the government did not think it desirable to prescribe formal educational qualifications for entry into this top-class. What the Civil Service Commission laid down implied that the competitive examination was to be of an Honours Degree standard. It was not compulsory for an intending candidate to possess any academic degree even if in practice university graduates alone could, ordinarily, expect to qualify. This method of recruitment was later cherished as method 1. It consisted of a qualifying examination in prescribed subjects, followed by a written examination in certain papers that were selected from a fairly comprehensive list of academic subjects, the final order of merit of a candidate was decided on the basis of the examination and the subsequent interview members of Old Administrative Class were recruited.

But this normal recruitment to the Public Services was discontinued during the Second World War. The war also interrupted the formal education of many a young person. Therefore, when

recruitment to the Administrative Class was resumed 1945 a less academic method of recruitment through the well-known academic examination was revived but at the same time the less academic method in Vogue since 1945, was also retained. The latter one is called Method II and the traditional one as Method I. A person could choose either of the two, but method II was open only to those possessing an Honour - Degree. The latter method consisted of a qualifying examination, lasting one and a half days, consisting of an Essay, an English paper and General Papers.

The paper on Essay offered a choice of subject from the reel general topics and aimed at testing the candidates ability to write clearly and to develop ideas on a broad basis. The English paper contained a precise, in which candidate was required to summarise a long and complex passage to test his ability to comprehend, to get to the substance of the passage quickly, and to reproduce it clearly and consistly. A second compulsory question in the paper asked for comparative criticism of the ideas and representation in two pieces of given writing. Candidates had a choice between two further questions which offered scope to display powers of argument and orderly presentation. The general paper contained two compulsory papers of equal weight. The first required to candidates a comment on the soundness of reasoning in a few short given passages, it thus, tested their powers of logical analysis. The second question was designed to test a candidate's ability to see the broad implications of a set of figures or graphs, and to present conclusions that could be drawn from them in black and white.

Those who succeed in the examination were put to a series of tests and interviews lasting for two days. These were carried out at a country house (No. 9 stocked Abernon) by the Civil Service Selection Broad (C.S.S.B.). The function of the C.S.S.B. was to provide the Final Selection Broad with as much relevant information as possible on which form base its assessment.

The CS.SB. procedure has been described as a kind of an extended interview. The candidate was in fact assessed in a variety of situations including membership of a group. The C.S.S.B. draw it as its aim to get as complete and relevant a picture as possible of the candidate's ability and personality by combining what was observed in the group exercises with the individual performance in the other tests and interviews. Finally, in related all this evidence to the candidate's utilities, and assessment of his potentials for development. The emphasis of the process of assessment was on looking at the picture of the candidate as a whole. The C.S.S.B. procedure lasted for three days. Candidates attended tests and interviews on the first

two days on the third day i.e., after the candidates had gone the assessors discussed, then finding and wrote their reports. Assessors worked in terms consisting of a Chairman, a psychologist and an "observer". Each team deal exclusively with one group of candidates, consisting of five or, exceptionally, six candidates. For the sake of convenience of groups (were brought together for most of their written test).

The assessors were provided with the following information about candidates before the tests and interviews began

- a. an outline of the candidate's career, together with reports covering his record at school and university and, where appropriate, in the Armed Forces, on voluntary services overseas, and in civilian employment, personal references from two references of the candidate's choice;
- b. the marks obtained in the qualifying examination, the examiners' comments, and the script reader's report. The script themselves were available to members of the assessing staff but in practice assessors seldom had time-or felt the need-to study them;
- c. two forms which candidates completed early on the first morning. For "A" asked the candidate for additional biographical information and his provision choice of Department, leisure pursuits and three or four propositions of general or current interest for discussion at interview with the chairman and the observer. (The descriptive note about C.S.S.B. sent to candidates before and told them to prepare for this part of the procedure). These two assessors reserved by mutual agreement one or two of the proposition and any other points from Form "A" which they liked to discuss at interview. Form "B" consisted of a few questions (e.g, what people and events most influenced the candidate) designed to help the interviewers, particularly the psychologist, and asked to candidate to write descriptions of himself from the point of view of a discriminating critic and of an appreciative friend. About two-thirds then went forward to an interview lasting some 35 minutes before a Final Selection Board which make the appointments. Method I which grew out of the selection method of the Army, bore several distinguishing features was based on a 'creaming' process which sought to identify a limited number of outstanding persons among the masses of the candidates. Secondly, it dealt with young persons of high intelligence and exterededucatio Thirdly, it aimed at a rigorous assessment of overall intellectual and personal qualities. Fourthly, while it paid due regard to the concept of future potential it also assumed that the candidates needed to display quickly the qualities for which they could be chosen. Finally, it presumed that a relatively costly procedure was justified for recruitment to the Administrative class Method II, often referred to as the 'Country House Method' came into increasing

criticism from certain quarters As already mentioned, the candidates under this system were required to attend a series of tests and interviews organised in a country houses by the Civil Service Selection Board. Both the candidates and the assessing staff stayed in a country house for two days and were thus in close association. This was intended to enable them to know each other more completely and intimately, thus facilitating a procedure for a more rational recruitment of the candidate. But this arrangement was criticised on the ground that it nearly degenerated into merely assessing the social graces of the candidates. Nor was it correct, according to the critics, that the social atmosphere in the country house was always relaxes: none feels at ease in a contrived company of competitors and rivals

- Self-Check Exercise-8
 - Q.1 Discuss about the recruitment reforms.
 - Q.2 What is the recruitment procedure in U.K.

6.11 CONCLUSION

A very important problem of the public Personnel Administration is that of recruitment. It deals with efforts to find out and induce suitable candidates to compete for appointment to the public service. A bad policy of recruitment can wreck the entire personnel system Recruitment is selection by competent authority for final appointment. This is perhaps the most important aspect of personnel administration

6.12 GLOSSARY

- it means securing the right people for particular jobs.
- Recruitment Process it includes number of different steps. Like announcement, holding of examination, selection etc

6.13 ANSWER TO SELF-CHECK EXERCISE

Self-Check Exercise-1

Q.1 Refer to section 6.3

Q.2 Refer to section 6.3

Self-Check Exercise-2

Q.1 Refer to section 6.4

Q.2 Refer to section 6.4

Self-Check Exercise-3

Q.1 Refer to section 6.5

Q.2 Refer to section 6.5

Self-Check Exercise-4

Q.1 Refer to section 6.6

Q.2 Refer to section 6.6

Self-Check Exercise-5

Q.1 Refer to section 6.7

Q.2 Refer to section 6.7

Self-Check Exercise-6

Q.1 Refer to section 6.8

Q.2 Refer to section 6.8

Self-Check Exercise-7

Q.1 Refer to section 6.9

Q.2 Refer to section 6.9

Self-Check Exercise-8

Q.1 Refer to section 6.10

Q.2 Refer to section 6.10

6.14 REFERENCES/SUGGESTED READINGS:

1. S.R. Maheshwari "Indian Administration" 1988.
2. S.L. Goel, "Personnel Administration and Management" 1998
3. https://mis.alagappauniversity.ac.in/siteAdmin/dde-admin/uploads/2/PG_M.A._Personnel%20Management%20and%20Industrial%20Relations_308%2021_Public%20Personnel%20Administration.pdf
4. https://www.wbnsou.ac.in/online_services/SLM_UGC_DEB/UG/SOE/HED/2nd%20Year/CC-ED-05.pdf
5. https://shodhganga.inflibnet.ac.in/jspui/bitstream/10603/69750/9/09_chapter%203.pdf
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6.15 TERMINAL QUESTIONS:

1. Discuss the history of Recruitment to civil services in India.
2. What type of problems faced by recruitment system in India? Comment
3. Discuss Kothari Commission on Recruitment and selection process in India.

UNIT-7

RECRUITMENT AGENCIES AT UNION AND STATE LEVEL PROBLEM OF RECRUITMENT

Structure

7.1 Introduction

7.2 Learning Objectives

7.3 Union Public Service Commission

Self-Check Exercises-1

7.4 Composition of Union Public Service Commission

Self-Check Exercises-2

7.5 Annual Report

Self-Check Exercises-3

7.6 Summary

7.7 Glossary

7.8 Answer to self-check exercises

7.9 References/Suggested reading

7.10 Terminal questions

7.1 INTRODUCTION

Sound, recruitment policies and fair recruitment methods are of basic importance to personnel administration. The determination of recruitment authority as one of the essential features of the Personnel System. In order to eliminate the pressure of recruiting authorities being subjected to pressure by those in possession of executive power, the constitution of India provides for the setting up of Public Service Commission independent of the executive, at the Union and State Levels

The growth of Public Service Commission's independent bodies to advise the executive in service matters, like recruitment, discipline, promotion, etc. is of comparatively recent origin. The Commission shall be established in India to discharge, in regard to recruitment and control of the Public Services such functions as may be assigned to it by the Secretary of State-in-Council. The Public Service Commission came into existence for the first time in 1926 when the Central Public Service Commission was established under the Government of India Act, 1919. It was renamed as the Federal Public Service Commission after the 1 April, 1937, on the introduction of Government of India Act 1935. This Act had also made a provision for the creation of Provincial Public Service Commissions. The Federal Public Service Commission continued as such till 1950, when with the Constitution coming into

force, it was designated "The Union Public Service Commission". The Provincial Public Service Commission were designated "The Provincial

Public Service Commission. The Public Service Commissions in India have a constitutional status and are in a stronger position than the Civil Service Commissions in the USA and Britain. The U.S. Civil Service Commission was set up under a statute passed by the Congress in 1883, but was recently abolished, and replaced by the office of Personnel Management. The Civil Service Commission of United Kingdom owes itself to an order-in-council, and thus, does not have even a statutory have what is more, it has been made a part of the Civil Service Department and thus does not function as a separate body.

7.2 LEARNING OBJECTIVES

After going through this lesson, the student will be able to understand

7.2.1 The composition of UPSC

7.2.2 The function performed by UPSC

7.2.3 Submission of Annual Report

7.3 UNION PUBLIC SERVICE COMMISSION

In the Indian Constitution, Article 315 provides for the establishment of a Union Service Commission and State Public Service Commission but it also provides that if the legislatures of two or more states authorise the parliament by resolution, it may establish a Joint Commission for those states. Moreover, the Union Service Commission may also, if requested by the Governor of a state, agree with the approval of the President to perform the work of the State Commission.

- Self-Check Exercise-1

Q.1 Write a short note on UPSC.

7.4 COMPOSITION OF PUBLIC SERVICE COMMISSION

The number of members consisting the Union Public Service Commission or a Joint Public Service Commission and coordination's of their service are determined by the President of India and in the case of State Public Service Commission by the Governor of the state concerned by regulations. The Constitution has not fixed number of members of the Union or State Public Service Commissions but has left the matter to the discretion of the President or

the Governors as the case may be. It has been decided that there shall be seven to eight members of the Union Public Service Commission and usually 3-4 for State Public Service Commission. The members of UPSC and Joint PCS's are appointed by the President and those of State Public Service Commission by the Governor. It has been further provided that one half of the members of the Commission, Union or State, must have held office for at-least ten years either under the Government of India or the Government of a State. A member holds office for six years or until he attains, in case of the UPSC, of 60 years whichever is earlier. A member can be removed from office only by an order the President on the ground, of insolvency, infirmity of mind or body or engagement in paid employment outside the duties of his office. He may also be removed on the ground of misbehaviour, if, following a reference to an enquiry by the Supreme Court, the Court has upheld the cause of removal. The Constitution further provides that any concern or interest in any contract or agreement made by the Government of India or participation in any way in the profits these of will be sufficient proof of misbehaviour. The other conditions of service of the members are determined by the President, but those cannot be changed to the disadvantage of the members during their term of office. The entire expenses of the Commission, including the salaries of members, are charged to the Consolidated Fund of India. This means that they are not required to be submitted to vote of Parliament. In order to ensure the impartiality and independence of the members, the Constitution provides that, upon ceasing to be member is due time, the incumbent will be ineligible for any further appointment in the same office or in any office under the Government except a higher appointment in the same commission. The President of India determines the salary and other conditions of service of the member of the Commission through resolutions. The Chairman and members of the Commissions are paid the salary equivalent us the judges of Supreme Court in case of UPSC and judges of High Court in case of State PSC.

It is matter for concern that the procedure for the appointment of members has led to complaints that some State Governments have appointed as members, persons who are not competent. The Law Commission in its 1958 report, has also gone on record saying, that in the States, appointments to the membership of the Public Service Commissions have sometimes been made in groups of party and political affiliations and not consideration of merit. In Britain, the Civil Service Commission consists of Commoner (one of them designated as First Commission) appointed by the crown and holding office during good behaviour. Their number varied from time to time. Originally, in 1953 there were six of them of whom w were part time. In Britain there are special safeguards provided to protect the

security on independence the Civil Service Commissions, but long tradition and public opinion have done that elsewhere such safeguards are intended to achieve and the British Civil Service Commissions have worldwide reputation for their impartially and independence.

In the USA, The Federal Civil Service Commission consists of three commissions appointed by the President with the advice and consent of the senate for an indefinite term. The law requires the commission to be partisan which means that all its members cannot belong to the same political party In practice, of its three members, two belong to one political party and one to the other, the President is empowered to remove a commissioner at any time, but the vacancy must be filled with the concurrence of senate as usual. In its administrative work the commission is assisted by an Executive Director and Chief Examiner under whom there is a large staff to carry out the detailed work in connection with the Commission's activities. The US Civil Service Commission also enjoys a high reputation for integrity and fairness. States have their own Civil Service Commissions organized on similar lines.

The U.S.A. is a big country and its federal personnel is much larger than that of other federal countries like India where much of the federal work is entrusted for performance of state offices. Also, as will appear presently, the US. Civil Service Commission has to perform many more duties

in connection with classification, hearing of appeals, etc., that belong to their opposite numbers in UK, and India The U.S. Civil Service Commission has, therefore been obliged to develop a field organisation and to decentralise its work through it. Outside its mission has therefore, been obliged to develop a field organisation and to decentralise its work through it. Outside its mission has, therefore, been obliged to develop a field organisation headquarters at Washington, it has 13 district offices in the more important cities, 5,000 local examining boards and about 150 rating boards. Each district office is under a district manager who supervises the activities of the local examination boards and rating boards in his area. The local boards of certain federal employees serving in the field offices of the various departments. They act as representative of the commission in their respective areas and conduct examination and others connecting activities in that area The rating Boards are established at centres, which need a supply of skilled tradesman and mechanics and their function is to recruit and select these classes of employees. The supervision and check of the Commission over these bodies is maintained through the district manager who is an employee of its own. Same way, the classification work has been decentralised to departmental

personnel agencies. The commissions own staff lays down the standard and detailed specification or classification. The department agency does the classification. The department agency conformity with them is later tested by post audit or check.

The functions and duties of civil service commissions vary widely in different countries. Broadly speaking we may classify these functions into three classes:

- (1) the selection of candidates for appointment and duties incidental thereto, i.e., checking up health and character of successful candidates, their assignment to the different departments and sometimes confirmation of appointment after the probationary period;
- (2) promotion, disciplinary cases and hearing appeals, and
- (3) fixing of salaries and wages, classification of posts, conditions of service, negotiations with service associations, organisations and methods, and training and research into personnel problem.

- **Functions of the Public Service Commission:**

The functions of the Commission as prescribed in article 320 of the Constitution fall into two categories.

a) Administrative

b) Advisory

The administrative functions relate to recruitment to all Civil Service and posts under the Union Government or the State Government by written examination, or, and by interview. The advisory functions relate to advising the Government on all matters.

1. To advise the Government, on all matters relating to the method of recruitment and principles to be followed in making appointment to civil services either directly or by promotion
2. To conduct examinations for appointment to the All India and Union Services. Some of the important of these examinations are- The combined examination for the IFS, IAS, IPS, IAAS, and other central services, the Joint Services, Wing examination, the Engineering Service examinations, and the ministerial Services examination. For the various examinations conducted by it in 1981-82, there was a total of some 2,49,000 candidates, of those the Commission interviewed some 17656.
3. To interview candidates for requirement.

4. To advise the government on the suitability or candidates for promotion and transfer. Recommendation for such promotions are made by the concerned department, and the Commission is requested to rectify them. On the average the Commission handles about 4000 cases annually.

5. The Commission is also consulted on matters like temporary appointments for periods exceeding one year but not exceeding three years, grant of extension of services, and re-employment of certain retired servants. About 1,000 such cases came up every year.

6. To advise the government on disciplinary matters affecting civil servants. In 1982, the number of cases relating to promotion, disciplinary matters, seniority etc., was 31,059. On an average, the disciplinary cases 300 in a year.

7. The Commission is also, consulted on matters like regularization of appointments, claims for awards of pension, claims for reimbursement of legal expenses incurred by government servants, in defending legal proceeding instituted against them in respect of acts done in the execution of them official duties, claims for pension or compensation in respect of injuries sustained while on duty.

8. To advice, the government on any other matter specifically referred to it by the President. Moreover, under article 321 there is a provision in the Constitution authorizing Parliament to extend the functions of the Commission

Though it is obligatory on the part of the government to consult the Commission on these matters. however, failure to do so will not render the action invalid. The President has the authority to exclude posts, services and matters from the purview of the Commission. But all such regulations have to be laid down by him before each house of Parliament, as soon as possible, if not in session or repeal these regulators.

- Self-Check Exercise-2

Q.1 Describe the composition of UPSC

Q.2 What is the function of UPSC.

7.5 ANNUAL REPORT

The Constitution provides that, it is the duty of the UPSC and SPSC to present annually to the President or the Governor, as the case may be, report of its work. Immediately after the

receipt of such report the President or the Governor is required to lay it before each of Parliament or State Legislature together with a memorandum of the cases where the advice of the commission was not accepted and reasons for such non- acceptance. It must be remembered however, that the Commission is only an advisory body and its recommendations are not binding on the government. Yet it must be mentioned that by and large, the Commission's recommendations are accepted by the Government.

The working of the Union Public Service Commission as well as of the State Public Service Commission is increasing every year. Historically, the Public Service Commission emerged with a negative role-namely to keep the "[rascals' out. It is only after the rascals have been kept put that a more positive role came to be gradually evolved them. Talent hunting marks the second stage in the history of Public Service Commissions in the world. In India, the Public Service Commissions designed as to function in the first stage, for the Constitution in personnel administration. It is par excellence a recruiting servant with purely advisory role consulted also in certain disciplinary and other matters.

- Self-Check Exercise-3

Q.1 Discuss about the annual report of UPSC.

7.6 SUMMARY

The ARC report on personnel administration had made some recommendations with respect to the appointment of members of the UPSC/SPSCs on a uniform pattern. Welcoming the idea behind the suggestion of the study team on centre-state relationship that as far as possible one third of the members of SPSCs should consist of members belonging to another state, it recommended that it could be sufficient if provision was made for the appointment of at least one member of a State PSC from outside the state. It also recommended:

- (a) In making appointment to a State PSC, the Governor should consult the Chairman of the UPSC and the Chairman of State PSC. The latter may be consulted also with regard to the appointment of his own successor.
- (b) in making appointment to the UPSC the Chairman of the UPSC should invariably be consulted (even with regard to the appointment of his own successor). And
- (c) not less than two thirds of the membership of the UPSC should be drawn from among the Chairman and members of State PSCs.

It can be seen not these recommendation besides maintaining the standard in the appointment of the members of the commission, do at the same time, aim not the better coordination of their activities.

7.7 GLOSSARY

- **UPSC:** In the Indian Constitution Art.315 provides for the establishment of a UPSC and State PSC.
- **Function of UPSC:** The function of the commission as prescribed in Art. 320 of the Constitution fall into two categories

7.8 ANSWER TO SELF CHECK EXERCISES

Self-Check Exercise-1

Q.1 Refer to section 7.3

Self-Check Exercise-2

Q.1 Refer to section 7.4

Q.2 Refer to section 7.4

Self-Check Exercise-3

Q.1 Refer to section 7.5

7.9 SUGGESTED READING

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7.10 TERMINAL QUESTIONS

1. Discuss the History of UPSC in India, how this organization can be established.
2. Discuss in detail the function of UPSC in India.

UNIT-8

PROMOTION: METHODS OF PROMOTION. PROMOTION PROCEDURE FOR CIVIL SERVICES IN INDIA. PREFERENCES IN PROMOTION SYSTEM.

PROMOTION PROCEDURE FOR CIVIL SERVICES IN U.K.

Structure

8.1 Introduction

8.2 Learning Objectives

8.3 Promotion Policy-An Assessment

Self-Check Exercise-1

8.4 Essential of sound Promotion policy

Self-Check Exercise-2

8.5 Promotion Machinery

Self-Check Exercise-3

8.6 Reforms in Promotion system

Self-Check Exercise-4

8.7 Promotion procedure for civil services in U.K.

Self-Check Exercise-5

8.8 Summary

8.9 Glossary

8.10 Answer to self-check exercises

8.11 References/Suggested Readings

8.12 Terminal questions

8.1 INTRODUCTION

Promotion literally means to move forward to advance from a lower to higher; to elevate; to further the progress of, to exalt in station, rank or honour. Promotion is the advancement in rank and status, usually accompanied by an increase in emoluments. Promotion generally means allotting a person highest duties or higher responsibilities. This term has been well defined by Charlesworth, who remarks, "A promotion is a movement from a position or a status on a lower level of responsibility to a position or status or a higher level of responsibility". L.D. White has defined it differently from another angle. In his words, "It is, one of the means of holding in government service the best qualified promotion is of direct significance as a reward or possible reward. Actual promotion is a reward while the opportunity for promotion is a possible reward."

Promotion essentially means giving a person higher duties and responsibilities. The term finds its origin in Latin word. "Promoters" this means moving forward. It also means exalting a person in rank and to elevate him. Charles Worth says that, "A promotion is a movement from a position or status of a lower level of responsibility to some higher level". Promotion should not be confused with annual increase of salary of the employee. Every employee star

on a basic salary, and gets on annual increment, till he reaches the maximum of his pay scale. Thus, annual increment may be automatic or conditional, but in no case it is promotion. Real promotion means rise to a higher grade. “This change in duties and responsibilities is the essential characteristic of promotion process.”

Unless there is a regular and scientific promotion system the organisation may fail to attract competent persons and also may lose those who have already joined the service. The rationale of promotion spring from various factors. An organisation gets its personnel through recruitment; but it retains its personnel through promotion. Promotion is as much a need of the organizations as of the employee. It enables the organisation to fill its higher post with trained personnel who have acquired the required expertise through experience. Without proper promotional avenues there is bound to be dismay and low morality. Thus, a regular system of promotion is not only in morality. Thus, a regular system of promotion is not only in the interest of the employees but also that of the employer and also in the overall interests of the organisation. In brief, the need of a sound promotion system cannot be over emphasised the absence of it breeds discontent among the employees, thus having its ill effect on the working environment of the organization.

8.2 LEARNING OBJECTIVES

After going through this lesson, the student will be able to understand:

- The concept and meaning of Promotion
- The knowledge about Promotion policy in India
- Characteristics of Promotion policy
- About Promotion machinery

8.3 PROMOTION POLICY-AN ASSESSMENT

Promotion policy is significant from the point of view of bringing efficiency and effectiveness in the organisations. A well-developed promotion policy is very essential for the efficiency of the employees, Promotion is a continuous incentive to efficient working on the part of the employee. The basic idea of a promotion policy are as follows;

8.3.1 Efficiency in the working environment in the organisation,

8.3.2 rewards for efficient service

8.3.3 to attract more qualified and efficient people;

8.3.4 increase the capacity of work;

8.3.5 brings self-discipline among the employees

8.3.6 a sound promotion policy fosters a sense of belongingness of the organisation, assures continuity of politics and practices and helps to build up traditions

An unsound promotion policy would by pushing ahead unqualified or inexperienced hands breed discontent. impair incentive and demoralise the public service. It would worn off talent away from public service, drive, out competence from the administrative field. A sound promotion policy is therefore, the foundation of rational personnel administration.

- Self-Check Exercise-1

Q.1 Write a short note on promotion policy.

Q.2 Discuss assessment on promotion policy.

8.4 ESSENTIALS OF SOUND PROMOTION POLICY

Recruitment to public service the world over is same are or other on these methods:

8.4.1 Wholly by direct recruitment,

8.4.2 A give proportion by direct, recruitment and balance by promotion from lower cadres,

8.4.3 Exclusively by promotion from the lower grades,

8.4.4 Any of the above confined with deputation from other departments,

Promotion follow the various lives of promotion and are confined to the personnel of each service or department. They are made according to the cadre and recruitment rules. The requisites of a proper promotion policy have been described by several other authors also. The name of Willoughby may be mentioned in this respect. He has given six essentials of sound promotion policy. Firstly, he is in favour of setting standard specifications in which the qualification required for all promotions in the organisation. Secondly, he is of the opinion that all the promotions should be classified into distinct classes, grades and services. Thirdly, this type of classification should include all promotion except certain posts having practical work. Fourthly for higher posts the persons should be recruited from within. Fifthly, all the promotions should be based on merit policy. Sixthly, there should be adequate means to

judge the merit of the personnel

Promotion must be determined according to some principles. Promotion is essential for the efficiency of the Public Personnel, but only capable and fit men should be promoted. A wrong promotion system demoralises the whole working environment. The principles of any promotion systems should be equality, justice and fair-play.

Principles of Promotion:

1. Seniority system

Public Personnel are, for obvious reasons, staunch advocates of the principle of seniority as the basis of promotion. Seniority means the length of service of an employee in a particular grade. It is a system in which promotion from the lower to the higher position is on the basis of period of service put in by an employee in the department. The advantages of the system are that the organisation gets experienced persons and is not required to pay for the training of the employees working on the lower jobs. Further, it keeps the employees satisfied and provides an incentive to put in more labour. According to Dr. Finer. "It is automatic and avoids the needs for making invidious distinctions between one person and another, of placing young one the old, of measuring the responsibility for the result of promotion." Seniority principles:

- i. Simple process.
- ii. Automatic in operation.
- iii. Equity and justice,
- iv. Attract capable persons,
- v. Minimise political influence,
- vi. More promotional chances.

But seniority is not without its critics. This system has its own disadvantages. According to Brian Chapman, "The trouble with the seniority system is that it is so subjective that it fails to take any account of personal merit. As a system it is fair to every official except the best one; an official has nothing to win or lose provided he does not actually become so inefficient that disciplinary action has to be taken against him. Thus, although it is fair but it is heavy burden on the public and a great strain on the efficient handling of public business."

It has also been said that the system is based on certain wrong presumptions. It believes that all persons are fit for promotion which is not correct. It also resumes that all bone on seniority list will have a chance for promotion which again is no correct. There is also a danger of incompetent people being to man higher jobs the reputation and efficiency of the organisation will seniority is based on the following wrong assumptions.

1. It assumes that all members of the grade one fit for promotion.
2. It assumes that seniority list is arranged in an order more or less coincident, with the ages of the staff, so that all in due turn shall obtain an opportunity to serve in a higher post..
3. It assumes that the percentage of higher post to lower is high, so everyone shall get a change.
4. iv. It assumes that vacancies are arising in a reasonable flow.

Further, there is no guarantee of senior man being more efficient. So, seniority alone will not necessarily result in the promotion of the most competent. According to Phiffner, “A raising to supervisory and directing positions who have crank complexes”. Similarly, Dr. White says, “Consistent application of the rule of seniority up to the scale of supervisory and administrative position would in itself cause the registration of better man and thus invite progressive deterioration in the higher grades where special competence is particularly needed.” Hence, it is generally stressed that only seniority should not be taken as criterion for promotion in the organisation.

2. Merit System:

The principle of merit requires that promotion should be made on the basis of qualification and achievements of the public personnel. The methods generally employed, to assess suitability for promotion is on the basis of record, or a competitive examination or a competitive test. As against seniority system it is the merit system of promotion. Under this scheme it is not seniority alone which matters but there are several other considerations as well.

There should be some objective tests of merit. The first objective method of testing a candidate's ability is through promotional examinations. The second method to test merit is through service records or efficiency ratings. The judgement of the Head of the Department or Promotion Board is the third method of judging the merit of the candidate for promotion.

3. Examination System:

Competitive examination method is another criterion of judging fitness for promotion in the organisation. Such an examination, besides being an objective test of merit, eliminates extraneous considerations like bias, and favouritism and facilitates selection of the right fit. Those successful of the written examination may be called for an interview for the purpose of a personality test. It is said that, under this system chances of grudge and grumble are reduced to the minimum and all keep their knowledge most up-to-date so that they can compete with others in the examination. Further, Promotion on the basis of written examination eliminates chances of corruption, favouritisations and arbitrariness. However, this system of promotion is also not without defects. The system of written examination is not considered to be a sure of one's ability and quality. Due to these defects found in the examination system alternative methods of determining merit have been sought and the general trends is towards the adoption of a system of formalised reports by which each eligible employee is regularly assessed on a standard basis. According to Prof. LD. White, "A third type promotional test is the pass examination in which an individual is promoted by the departmental head subject to proof on minimum qualifications either by examination or submission of experience and education credentials."

4. Discretion of the Head of the Office

The most important factor in promotion is the personal opinion and judgement of the higher officials of the Department concerned. This system has great advantages, because the Head knows about each and everybody's efficiency and conduct in the organisation. The judgement based on personnel association is more valuable than any other system of judging the qualities of the employee. The importance and utility of the personal judgement of the Head of the Department will depend on three factors:

- i) the capacity to make good judgements:
- ii) the freedom of action; and
- iii) intention

But, the system has to be criticized, It is said that it is likely to encourage favouritism and nepotism. The employees oppose this method of promotion, they feel that promotions are based on favouritism and the system is undependable because the concept of quality and efficiency always differs from man to man.

“The above mentioned, defects can be removed by consisting Departmental Promotion Boards will be judged by the general efficiency of the organisation. All these various tests are employed to secure a sound policy of promotion in the organisation.

5. Efficiency Rating

It is the system under which efficiency of an employee is rated. This system is the product of Scientific management movement. This system is in vogue in USA. There are three major systems by efficiency rating

1. Production Record System.
2. Graphic Rating Scale System.
3. Personality Invention System.

The first type is helpful in case of mechanical type of work in which work can be evaluated. The second type include, finding out many types of qualities in an employee. Third type i.e. Personality Inventory system is the “Probst system devised by J.B. Probst; Chief examiner for the city of St. Paul in 1927. But the system of efficiency rating has been also criticised. It is said that it is likely to encourage favouritism, nepotism and is undependable because the concept of quality and efficiency. Thus, the efficiency rating cannot be made the exclusive factor in determining promotion. They are helpful as aids to the judgement of the promoting authority.

To make efficiency ratings useful training and supervision of the rating officers is essential. The rating officers should be thoroughly trained in the art of evaluating employees. Individual employees should also be given right to appeal if they feel that efficiency rating is wrong.

- Self-Check Exercise-2

Q.1 What are the essentials for sound promotion policy?

Q.2 What are the principles of promotion?

8.5 PROMOTION MACHINERY

The Constitution provides that the Union Public Service Commission shall be consulted on the principles to be followed in making promotion from one service to another, and on the suitability of candidates for such promotions. The various Departments have framed promotion rules, or issued orders, for the services under their control, and in the criteria they

laid down for promotion they diverge considerable. This generally provides for:

1. Promotion by merit; or
2. promotion by merit-cum seniority or seniority-cum-merit;
3. Promotion on the basis of seniority, subject to the rejection of the unfit.

Promotions are made by the Union and State Governments generally on the recommendations of the Heads of Departments, and sometimes with the aid of the advice of the concerned Public Service Commission confidential report, which are filled up every six months, are the basis for promotion. Such promotions are usually made in accordance with the principle of seniority. Promotions are made by a Department Promotion Committee or other selecting authority which first divides the promotion who should be considered for inclusion in the select list provided, however, that an officer of outstanding merit may be included in the list of eligible even when he is outside the normal field of choice. Promotions are normally made from this select list in order in which the names are finally arranged. The select list is periodically reviewed.

Promotion Procedure in India:

The promotion procedure is impartial and fair. The vacancies to be filled, by promotion are duly notified in advance for the information of the employees. The Selection List is based not on the judgement of single individual but of the Committee as a whole which takes all aspect into consideration and the UPSC SPSC are associated at every stage in the process of selection. There are duly constituted Department Promotion Committees (DPC) which assess the suitability and merit of the candidates for promotion t ‘Selection-Posts other than the Heads of Departments and Secretaries to the Government Government’s decision on promotion to Gazetted posts in the State Public Service Commission if final.

The existence of a proper promotion system is vital for attracting talented persons to public service and preventing them from migrating private ones. Lack of promotion system has a marked retroactive effect on all the processes of personnel administration. A good promotion is of direct significance a reward, or possible reward. Actual promotion is a reward, while the opportunity for promotion is a possible reward.

A proper promotion system helps in retaining the services of the most capable amongst its employees and also in giving them an impetus to improve their capacities and qualification. In view of the great importance of promotion system it is essential that it must be based on

sound lines. The inference of a good promotion system is all persuasive. It is an influence phase of a career service.

In India promotion system has its own history. The principle of seniority was announced in 1669. On taking over administrative functions in 1771, the East India Company modified seniority in favour of merit in the interest of integrity and competence. But the Charter Act of 1793 sanctioned the principle of seniority which remained in force till its repeal by the India Service Act of 1861. As long as in India there was no well-developed personnel system, there was no well-knit promotion system as well. In fact, till 1919, when all high jobs were denied to Indians, there was no question of any system of promotion for natives. After 1919, Indians were given limited chances of promotion which were virtually on the recommendations of the head of the departments. It was after the independence of the country when the question of high jobs and promotion to the Indians came to the fore-front. Normally promotions are made by three methods as

- a) Promotion by open competition
- b) Seniority-cum-merit or fitness-cum-seniority, and
- c) By Selection

Technically speaking the promotion making authority in India is the Head of the Department concerned, but promotions in higher posts are generally made in consultation with Public Service Commission both at Centre and in the states. It is provided in our Constitution that the Public Service Commission may be consulted on the principles to be followed making promotions, transfers from the service to another and on the suitability of the candidates for each appointments, promotions and transfers. The promotions to the highest administrative posts viz., Secretary, Joint Secretary, Deputy Secretary are made from a "Pool" which consists of such candidates as have been selected by a Selection Committee appointed by the Government in consultation with Public Service Commission.

Sometimes, selection for promotion from State Civil Service to the IAS is also made. It is done by a Special Committee for each State which consists of a Chairman of a member of the UPSC and some IAS senior-most officers of the State as members. The promotion system in India has its own problems. It has been criticized both by the services themselves and by the public in general/ the following are the basic defects in promotion system in India.

1. Firstly, it is argued that the Head of the Department has given too much direction in

recommending names out of which selection is to be made.

2. Secondly, the system of evaluating the efficiency of the employees is also not satisfactory. The entries made in their immediate officers are now shown to them except adverse remark.
3. Thirdly, promotion Boards or Committees do not exist in ever administrative department and in the absence of such a machinery, promotions are haphazard and arbitrary.
4. Fourthly, promotions are made within classes and often within cadres of a class which regular promotions are to be made. Sometimes, promotions are made by the departments on the basis of length of services or seniority, sometimes, on the basis of merit as adjudged by a departmental committee and at other times, through selection by the Public Service Commissions.

- Self-Check Exercise-3

Q.1 Discuss about the promotion machinery.

Q.2 Explain about the promotion procedure in India.

8.6 REFORMS IN PROMOTION SYSTEM

In India, the First Pay Commission (1947) recommended a judicious blend of both direct recruitment and promotion. It argued strongly for promotion because the civil service in India attracts over qualified staff. The commission recommended that at the higher level merit should be the basis whereas at the low level the basis for promotion should be seniority-cum-fitness Examination method should be adopted for technical jobs only. The Commission, while endorsing seniority-cum-merit demurred to the view that seniority shall prevail unless a person is declared unfit. The object of promotion is not primarily to give him more pay but to give him more responsible position with more extensive authority system of limited competitive examinations should also be encouraged. Confidential report should indicate general assessment and potentialities of an employee and that confidential reports should be scrutinised at efficiently high levels.

The Second Pay Commission (1957-59) made several recommendations on performance appraisal and promotions as follows:

- i. The annual confidential reports are not always objective assessments based on careful observations.

- ii. The Commission would prefer that the general grading is done at a higher level, preferable at the level where a whole cadre is considered from promotion in the interests of uniformity in the final assessment, and that the reports received at the higher level should, after scrutiny, be returned to the Reporting Officers for rectification, amplification or explanation whether called for.
- iii. There should be a system of promotion by a special limited competitive combination to provide young officers in class II and class III services an additional opportunity to enter any of the class I or Class II services to which there is direct recruitment by a competitive examination

The Estimate Committee on Public Services (1965-66) endorsed this suggestion that 10% of the vacancies in the All India and Central Services Class 1 be reserved to be filled through a limited competitive examination. This would give talented candidates an incentive for better and more developed service. The written examination may be supplemented by an interview

1. Recommendation of ARC

The Administrative Reforms Commission (ARC) recommended significant reforms in the promotion system in India as follows:

- i. They emphasised the importance of merit over seniority in promotion and suggested the elimination of the subjective element in determining merit of the eligible candidates for promotion:
- ii. They suggested the replacement of the existing system of confidential reports by that of Performance Records.

Administrative Reforms Commission also went through the present system of report writing of the employees. The procedure for preparing the Performance Records of each employee generally suggested is as follows:

- i. At the end of each year, the official reported upon should submit a brief resume not exceeding 300 words of the work-done by him bringing out any special achievement of his. While assessing the reporting officer should take note of the resume and after making his own comments and assessments submit the entire record to the next higher officer the receiving officer.
- ii. There should be three grading for the purpose of assessment, viz, (a) fit for promotion out of turn, (b) fit for promotion and (c) not yet fit for promotion. Both the reporting

officer and receiving officer should assess the official according to these grades.

- iii. The grading “Fit for Promotion out of turn” should be supported by specific mention of outstanding work that has been done.
- iv. Good work done during the year should receive prompt appreciation either on the file or in a tour or inspection note the officer concerned should quote this in his resume.
- v. Where merit equal, seniority should be decisive for promotion.

II. Estimates Committee Recommendations

The Estimate Committee in its 9th report, 1953-54, made the following suggestions in regard to promotions in the country:

- i. Promotion should be solely on the basis of merit regardless of the seniority of the persons concerned in service.
- ii. Persons should be judged for promotion by the people who have watched their work and conduct over a period
- iii. Promotions should be made on the recommendations of a Committee consisting of not less than 3 officers, one of whom at least is acquainted with the work of the person concerned.
- iv. In judging the person on the basis of the Confidential Report on him, it should be seen that he was warned in time of the defects noticed in his work and conduct and that if he did not show improvement he was warned again.
- v. If no warning has been given to a person, it should not be presumed that the reports on him are so good as to justify his promotion.

III. Policy Implications

- i. The system followed in the confidential reports on employees' performance should be remodelled to facilitate assessment of performance, personnel qualities of employees and identification of the true ability of the employees with as much objectivity as possible.
- ii. The system is now too heavily loaded in favour of seniority than merit system.
- iii. Promotion should be linked to training and professional expertise and should ensure

opportunities for development in career.

- iv. To avoid any kind of Subjectivity, Promotion boards should be established and take resource to a system of appeals where necessary.

- Self-Check Exercise-4

Q.1 Discuss about the reforms in promotion system.

Q.2 What are the Estimates Committee recommendations.

8.7 PROMOTION PROCEDURE FOR CIVIL SERVICES U.K.

England promotions are made on the basis of annual reports which are maintained by supervising officers. Promotion Boards exist in each Department. They include the chief official of the department. The Promotion Board weighs carefully the reports and other available information on the basis of which it assesses the merits of the eligible officer. The Board may also interview the candidates recommended for promotion. On the basis of services reports, it recommends the names of the candidates to the Head of the Department who passes the final orders. Seniority alone does not determine promotions. An aggrieved employee has a right to appeal against the decision of the Promotion Board. Thus, in England, promotions do not depend on the sweet will or judgement of a single individual but of a Board, and even the decision of the Board is appealable.

The method of Department Promotions as recommended by the Report of the Committee on Promotion of 1921 are as follows:

1. Where the staff of a department is so large that the Head of Department cannot be familiar with the qualities of every member of it, we consider that the institution of a promotion Board (or Boards) appointed by the Head of the Department as a recommending Body (or Bodies) will normally be required. In any case in which the institution of a promotion Board (or Boards) is considered by the Head of the Department to be unsuited to the circumstances of that Department an opportunity for full discussion of the subject should be afforded to the appropriate Whitley Body. Promotion to Post with salaries rising above pound 900 a year should be regarded as outside the scope of the machinery recommended by us.

2. A departmental Promotion Board should normally include the principal establishment officer or his duty, the Head of the sub-department in which the vacancy occurs, and one or more other depart officers of experience of standing nominated by the Head of the Department.

3. The Board would call for any evidence likely to be of assistance to it.
4. In order to provide for the due consideration of any information in the possession of the staff or any representations that they may desire to put forward, the staff or any representation that they may desire to put forward, the Promotion Board should like evidence from one, or in special cases more than one, representative nominated for the purpose by the staff side of the Departmental Whitley Council, or by the staff side of the District of Office Committee as may be appropriate in the particular case. It should be the duty of the Promotion Board to see that full opportunity is given to such representative or representatives of the staff to furnish any information in possession of the staff or to make any representations and full consideration should be given by the Promotion Board to such information and representations. It is contemplated that the Promotion Board will recall the staff side representative if the Board desires to hear further evidence from him before it reaches its conclusion.
5. The recommendation of the Promotion Board should be made in writing.
6. The adaptation of the machinery for making Promotions to the circumstances of different Departments is a matter that should be left to be dealt with departmentally, but the actual machinery adopted in a Department should be clearly set forth in an official document for the information of all serving in the Department.
7. In a department where no promotion Board is situated the staff should be given equivalent for making representations or furnishing information in their possession. opportunity
8. We recognise that in exceptional cases, in which the public interest makes it necessary, it will remain within the competence of the Head of the Department to make any promotion without following the normal procedure.
9. It is provided in the model Constitution for Department Whitley Council that "It shall be within the competence of the Council to discuss any promotion in regard to which it is represented by the staff side that the principles of promotion accepted by or with the sanction of the National Council have been violated." In addition to this we recommend that it should be open to any officer or officers to make representation to the Heads of the Departments in regard to any promotion that has been made affecting him or them. Such representations should be made within some definite period of the announcement of the promotion, the period to be determined departmentally. Representations of this nature should be considered by the Head of the Department who would

- (a) deal with the case himself, with or without assessors,
- (b) remit it to the promotion board for rehearing
- (c) refer it to some other advisory body for consideration.

Where the representations are based on the submission of need of evidence, the normal procedure will be to remit the case to the Promotion Board. There may be cases in which the circumstances render one of the alternatives suitable.

10. The report of the body considering such a representation should receive special consideration by the Promotions Board on the next filling of a vacancy, and in cases in which promotions are made in batches to a grade, the filling of a proportion of the vacancies should be deferred until after this opportunity for representation has been afforded.

11. An office making such representations should be permitted to associate with himself a representative of the staff side of the appropriate Whitley body or other member of the staff. In the event of his attending to make the representations at his own request he should pay his own expenses.

12. In all cases Early notification of the appointments made should be given, to the staffs concerned.

- Self-Check Exercise-5

Q.1 Discuss about the promotion procedure in civil services in U.K.

Q.2 Write a short note on civil services in U.K.

8.8 SUMMARY

Unless there is a regular promotion system organization may fail to attain competent person and also may lose who have already joined the services. An organization get its personnel through recruitment. Promotion is as much a need of the organization as of the employee. It enables the organization to fill its higher posts with trained personnel who have acquired the required expertise through experience. Thus, a regular system of promotion is not only in the interest of the employees but also of the employer and also the overall interest of the organization. In brief the need of a sound promotion system cannot be over emphasized the absence of it breed discontent among the employees thus having its ill effects on the working environment of the organization.

8.9 GLOSSARY

Promotion: - it literally means to move forwards to advance from lower to higher. **Principles of Promotion:** there are various types of promotion systems in India like merit system, seniority, examination, efficiency rating etc.

8.10 ANSWER TO SELF-CHECK EXERCISES

Self-Check Exercise-1

Q.1 Refer to section 8.3

Q.2 Refer to section 8.3

Self-Check Exercise-2

Q.1 Refer to section 8.4

Q.2 Refer to section 8.4

Self-Check Exercise-3

Q.1 Refer to section 8.5

Q.2 Refer to section 8.5

Self-Check Exercise-4

Q.1 Refer to section 8.6

Q.2 Refer to section 8.6

Self-Check Exercise-5

Q.1 Refer to section 8.7

Q.2 Refer to section 8.7

8.11 REFERENCES/SUGGESTED READING

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3. Goel, S.L., "Personnel Administration and Management"

8.12 TERMINAL QUESTIONS

1. What do you know by a sound promotion policy? Discuss the promotion machinery of the Government of India.

UNIT-9

TRAINING: OBJECTIVE OF TRAINING, TYPE OF TRAINING, METHODS, TRAINING INSTITUTE IN INDIA. TRAINING FOR CIVIL SERVICE IN INDIA WITH SEPCIAL REFERENCE TO ALL INDIA SERVICES. TRAINING OF CIVIL SERVICES IN U.K.

Structure

9.1 Introduction

9.2 Learning Objective

9.3 Importance of Training

Self-Check Exercise-1

9.4 Training in Developing Countries

Self-Check Exercise-2

9.5 Type of Training

Self-Check Exercise-3

9.6 Training Procedure in India and Training Institutions

Self-Check Exercise-4

9.7 Evaluation of Indian System of Training

Self-Check Exercise-5

9.8 Summary

9.9 Glossary

9.10 Answer to Self-Check Exercise

9.11 References/Suggested Reading

9.12 Terminal Questions

9.1 INTRODUCTION

In most of the countries, only well-educated, qualified and meritorious persons are recruited in the civil services. Most of them are graduates, post-graduates and degree/diploma holders. They have already obtained the minimum educational qualification required for entering the Government service. Their education is normally completed before they enter the civil service but the process of education continues even afterwards. However, they need a different type of education, which will “help them in their daily work, and improve their skills and efficiency in administration. This new type of work-education is called as training in the civil service. In modern times, the administration has become more and more complex and complicated and requires special knowledge and technical skills. Normal college and University education do not fulfil these requirements of modern administration. Therefore, there is an increasing need of training for the civil service. Training has now become an integral part of the modern personnel management. In almost all the countries including, elaborate arrangements are made to provide suitable and going to study and examine the importance of training for the development of employees, skills, objectives, needs, meaning types and techniques of training.

9.2 LEARNING OBJECTIVES

After going through this lesson students will be able to know

- The concept of Training, its importance and methods
- Type of Training and its objectives
- Training in India
- Training for Indian Administrative Services
- Evaluation of Indian System of Training

9.3 IMPORTANCE OF TRAINING

All over the world, training of civil servants has become an important aspect of modern personnel management. It has been recognized by all the modern government. It has been effective training programme for their civil servants is absolutely hand the functions of the Governments have increased and expanded rapidly and on the other, administration has become more and more complex, specialized and technical. It is true that the recruitment policies and programmes based on merit system try to select the best qualified and competent persons for the civil service most of the selected degree or diploma holders but the University degree or diploma is not enough to make them best administrators. It is necessary to have some knowledge and skill required for doing the actual work of administration. This practical knowledge is imparted through training, Training prepares an employee for the new administrative tasks. Training improves his skill and efficiency. Training prepares him for higher and higher responsibilities. In fact, the very induction of an employee in an organization needs training. An employee must know about the goals and objects of his organization; the nature of work he is expected to performing the organization; and the techniques plus skills and methods of doing his new administrative work. All the systematic and coherent training programme. Similarly, with the passage of time, the knowledge and skill acquired by an employee become out-dated. He needs new and up-to-date knowledge and through his training and orientation. We can, therefore, say that training is a continuous activity. Although the formal education of an employee is normally completed before the enters the civil service, but the process of education, in the form of training, continues even afterwards. Training is thus necessary before entering the civil service and even afterwards Like education training is also a lifelong process. But training has narrow and specific objectives as compared, to education is much wider than training. Education influences the entire process of the upbringing of an individual from the childhood, the formation of his

personality, characters habits, manners, attitudes, mental and physical capabilities etc. Education in general aims at broadening the mind. But training aims at improving the specific skill and knowledge required for some particular kind of work or profession. However, both education and training are, closely related to each other and many times they overlap each other.

Training for development of employee's Skills

When a brilliant young graduate from the University enters the civil service after successfully passing the written and oral examinations he does not know much of the practical administration. Nor does he have any knowledge of the actual work he is expected to perform in administration. At this entry-point itself an employee needs a pre-entry training. It is essential for the very induction of the new employee into the new organization. Unless he is given the essential information about the organisation, its objectives, his own role in the organization and the method of performing his own role effectively, he will not be able to make any real contribution and participate in the organisation's performance. Without effective individual participation the organizational efficiency cannot increase. At the same time, an employee cannot effectively participate unless he thoroughly knows the techniques and skills necessary for the performance of his task. These technical skills can be acquired by the employee through training.

Training aims at continuous and systematic development, among all the levels of civil servants, of that knowledge and those skills and attitudes which are necessary for their own advancement and for increasing the efficiency of administration. Training imparts that knowledge of facts which is essential for specialized and professional work of administration. It also teaches the techniques and skills necessary for doing the administrative work. It also helps in formation of good mental and physical habits and altitudes necessary to be a successful administrator.

Ultimately we can say that the main objectives of civil service training development of employees skills. improvement of his individual performance, and overall efficiency of his administrative organization. In the achievement of these objectives, training performs the following functions:

1. Training helps the employee to understand the goals of his organization and his own role in it.
2. It helps him in acquiring the personal ability, physical tools and mental capacity required

to promote these goals.

3. It helps him in acquiring the specialized and technical knowledge and professional skills required to perform his role effectively in the organization.
4. It helps him to know the most suitable and up-to-date methods and procedures to work.
5. It helps him to attain precision and clarity in his individual work.
6. It helps him in effectively dealing with the fellow workers and with general public.
7. It helps in making adjustments with the changing work, conditions and in adopting new outlook and new methods to new needs of new times.
8. It not only helps him to suitably adjust himself with the present work in his organizations and also prepared him for the future higher duties and responsibilities in the administration.
9. It helps him in keeping a high morale and gives him emotional lift by increasing his pride in his work.
10. It helps him in equipping himself with necessary capacities to perform his role as development administrators in a satisfactory manner.

The importance of civil service training has been recognised by most countries, including India. They have devised suitable training programmes for their civil servants and established many training institutions for implementing these programmes. However, these arrangements are inadequate and a great need of training is felt in many countries.

- Self-Check Exercise-1

Q.1 Write a short note on training in civil services.

Q.2 Discuss about the importance of training.

9.4 TRAINING IN DEVELOPING COUNTRIES

Training of civil servants is of basic importance in all countries but the need and importance of training is more urgently felt in developing countries. There are many factors responsible for this urgent need of training in developing countries. There are

1. There is generally a shortage of trained and qualified persons in most developing countries:
2. Training facilities and training institutions are inadequate in these countries:
3. Functions, of the Government have increased rapidly. They are called upon to perform

many new functions, which require highly skilled and technically trained personnel;

4. Administration has complex, technical and specialized functions.
5. Social economic conditions, in these countries are rapidly changing. In order to meet the challenge of these rapid changes, there is a need of innovation in administration.
6. There is public pressure on the Government to implement the development programme with extra- ordinary speed the development programmes with extra-ordinary speed and efficiency.

Because of the above-mentioned factors, the need for civil service training is more urgently felt in developing countries. In fact, we can say that in these countries, the entire success of the development policies depends upon chalking out systematic and suitable training programme and its timely implementation through the appropriate training institutions.

- **Objective of Training**

Following are some of the most important objectives of training of civil servants-

1. Firstly, the training improves the efficiency of the administration;
2. Secondly, training improves the occupational skill and knowledge of the employees, so that they can do their work effectively.
3. Thirdly, training inducts a new employee into the organization, and gives him knowledge of the goals and objects of the organization, his own role in the organization and techniques and methods of carrying out his duties. Consequently, the employees can best contribute in the attainment of organizational goals.
4. Fourthly, because their constant change in the goals and techniques of the organizations, training adjust the employees with the new organizational changes.
5. Fifthly, training makes up the differences of the newly recruited persons. Fresh University graduates are given necessary training to shape and mock them into the desired direction and make them suitable for the work of administration of the government.
6. Sixthly, training keeps the employee informal about the latest developments in his special field and thus, keeps his knowledge up-to-date.
7. Seventhly, training improves the integrity and morale of the employees. The very existence of the training process gives the trainees and added sense of the dignity and pride of their work and office.
8. Eighthly, training develops a sense of community service and belongingness in the employees. They realize that their work is an essential part of the organization and the

community. Therefore, they put more efforts in their work. This gives the employees a sense of pride and self-fulfilment in their work. It is therefore, said that everybody the civil service must get an opportunity of training or one kind or other.

9. Ninthly, training makes the employees, public oriented. It inculcates a basic principle in them, that they are public servants and not masters.

10. Tenthly, training prepares the employees for higher positions and greater responsibilities

11. Finally, training fosters homogeneity of outlook and broadens the vision and outlook of the employees.

- Self-Check Exercise-2

Q.1 Discuss about the training in developing countries.

Q.2 What are the objectives of training?

9.5 TYPES OF TRAINING

There are different types of training employed in different countries. Some of the major varieties of-training are as following

i Formal and Informal training

ii Short-term and Long-term training

iii Pre-entry and post-entry training

iv. Centralized and Departmental training

v. Skill training and background training

vi. Orientation training

I Formal and Informal Training

Informal training is training by experience, which an employee acquires during the course of this actual routine work in his acquires during the course of his actual routine work in his organization. No special efforts are necessary for informal training. This is a routine organizational activity. It does not require planned training programme, specialist/trainers or some training institutes. This kind of informal training neither prescribes a specific time period, not a group of trainees is especially selected for it. This has been the traditional method of training in public administration and is preferred even now by practical

administrators. But this process is a “very hard way of learning” and require a lot of

persistence and patience on the part of the employee. It is slow, ineffective and frustrating. Form attempting in free from these defects. That is why informal training is not very popular amongst most of the countries.

Formal training is that kind of training which is carefully planned, arranged and conducted under the expert supervision and guidance. Specialist trainers in a training institute or under the auspices of the Departmental training programme, impart the formal training to a specially selected group of trainees during a specific time-period. It consists of an actually course of study, with lectures, seminars, workshops, group discussions, conference, work projects and written reports etc. It may lead to award of a professional degree or a certificate of satisfactory completion of the training. It may be imparted before the entry into the service or during the probationary period of the career service. It may be full-time or part-time. It may be orientation course or it may be a course of general nature. The formal training has carefully defined objectives, pre- determined courses or topics, planned course of action and systematically chosen methods of techniques. It inculcates necessary administrative skills through well-defined courses conducted at appropriate stages during the career-service. As the need of improving the administrative efficiency is felt urgently everywhere, the system of the formal training is becoming more and more popular. In fact, the best way is to supplement informal training by formal training programmes. Both must be combined to give best results but the various training programmes adopted in different counties like pre-entry training, post-entry train, orientation training etc. normally rely on formal techniques of training only.

ii. Short-term and Long-term Training

These two types of training depend upon the duration of the training course. The duration of training depends on the subject matter of training course; the nature of the service: and the needs of the Government. If the training course is completed in a few weeks or a month or two it may be called as short-term training compared to the long-term training programmes conducted for a period ranging from six months to one year or two.

iii. Pre-entry and post-entry training

It is clear from the above names itself, that the training imported before entering the civil service is pre-entry training whereas that which is given after a person enters the service is called as post-entry training. Pre-entry prepares future recruits for the services. The college and university education and professional or technical education can be called as pre-entry training. In recent times many training institutions have been set up to provide training curse for administrative and managerial positions in the Glovemment. Similarly, there many

institution centres which provide training to the candidates appearing for competitive examinations. In some place practice of internship and apprenticeship is commonly employed for pre-entry training of the public potential recruits in the service. Practical administrative training is also provided in some Universities and Colleges a comprehensive pre-entry training programmes are there in the USA and many western countries.

Post-entry training is given after a person joins the service. Post-entry training is very common in many countries. It is also called as in-service training. The difference between the in-service training, it may be a combination of formal and informal methods and it is imparted at all levels in the service it helps in improving the efficiency and performance of the employees and makes them professionally more competent and able. Sometimes post-entry training is not directly concerned with the actual work of the employee but indirectly it is of much help to improve his general ability and organizational performance.

iv. Centralized and Department Training

When training programme is made within a department or office, its aims are limited to improve the specific knowledge and skill relating to the department and it is conducted only for its own employees then it is called as Departmental training. Such training is imparted by experienced officers of the department training is imparted by experienced officers of the department itself. Police training college is an example of this type of training. But when training to the officers of many department is provided by a central training agency it is called a centralized training. The training programme of the Lal Bahadur Shastri Academy of Administration is an example of centralized training system in India.

v. Skill Training and Background Training

Background training is of general nature. It provides knowledge of such subjects which help the trainee to understand the social, economic, political, administrative and constitutional background and conditions prevailing in the country. The purpose is to broaden the mind and knowledge of the employees' and to make them aware of the society and their own role in the society. But when it is intended to improve the skill of the employee in a particular kind of work, it is called as skill training. Skill training aims at providing employees with the knowledge of special skills, techniques, procedures, methods, crafts or complicated systems etc. necessary to carry out his specialized kind of work. Craftsmanship training, or income-tax officers training are examples of the skill training whereas the I.A.S. Entrant's training at

Lal Bahadur Shastri National Academy of Administration at Mussoorie is example of background training.

vi. Orientation Training

A new entrant must know about his organization, his work and his working situation and methods. He has to be introduced to his new organization. This is done through orientation training. Orientation training is planned effort to adjust and employee to his organization and his job. Basic objective of orientation training is to introduce an employee to the basic concept of his job, new work environment, aims and objects of his organization and his own place in the organization, Orientation training is also necessary to keep the civil servant up-to-date and attained to the new developments in his field. Orientation training is becoming important in India in recent years.

Training of civil servants is of prime importance in all countries. In order to make civil service more efficient and effective, everywhere, suitable training programmes are chalked out. Training is necessary not only to the new entrants but also to those who are already in the service. It may be of any type formal or informal, short-term or long-term, pre-entry or post-entry Training programme must i.e., planned according to the requirements of different services keeping in view the socio-political and administrative conditions prevailing in the country. However, we can conclude that, whatever may be its type, training is permanent need of public administration.

- **Methods of Training:**

There are many techniques of training followed in different countries. Some of the important methods are as follows:

I. Training by Experience on the Job

A person is posted on one job and allowed to learn from the experience gained by doing that job Then he is posted to another section/department to learn by experience about that new section. In this way an employee may be transferred from branch to branch section to section or department to department and allowed to learn by the experience of doing a job. Senior and experienced officers help the trainee in this process of leaning by giving necessary oral and written instruction and directions from aims to time. In order to give him wide experience of administration, a trainee is sometimes sent to work in an outside office or organizations. Short visits to other related officers, inter-departmental exchanges of study tours etc. are also arranged. This is like the method internship or apprenticeship commonly used in industrial

management training. This method is cheap and simple. With the passage of time a person learns the techniques of administration and improves his performance as an administrator. But this method is slow and time consuming. Many times it does not have clearly defined objectives and specific time-limit. However, this method trainings are extensively adopted in most of the countries.

ii. Training by Formal Instructions

In this method of training, formal instructions are given by the senior officers, to the trainees by arranging some lectures, or classes. Lectures of outside experts are also arranged. A specific course is planned and lectures, classes, group discussions, seminars, addressed or work-shops etc. are arranged for imparting the necessary training to the employees. Head of the office/department also-addressed the employees and gives them necessary instructions. This is arranged through an agency or institute of training. Now-a-days in most of the countries, this technique of training by formal instructions has been followed. Selected group of trainees are time of the formal training, necessary written institutions, information, documents, files and regulations etc. are also provided to the trainees. Films/Audio-Visual aids and computers are also used for this type of formal training.

iii. Conference Method of Training

This method of training has become very common now. A selected group of trainees from different departments are brought together to discuss various problems in a meeting or a conference. The trainees are the active participants in this method of training. Some specific cases are given for discussion in the conference.

All the participants express their views and opinions based on their own experiences. This method, called a case-analysis method of training provide the opportunity to learn from the experiences of others. In lecture method of trainees have the active ideas. The Chairman of the conference plays the role of a guide and instructor. His role is only to put the discussion on the right track, in USA. and many other countries and conference method has become very popular. In India, also this method is used for setting level short-term training of higher civil servants like L.A.S. etc.

In conclusion, we can say that all the Governments have to make training arrangements and establish suitable training organizations for the civil servants. While the broad objectives of

training are decided by the Governments, it is the duty of the training organizations to plan the training programmes and adopt suitable methods of training. No one method is best. Different methods may be combined to suit the requirements of the jobs and of the training programmes. Lectures and talks of the senior departmental officers or experts may be arranged. Seminars, conferences, workshops, group discussions, and field visits may be organized. Refresher or orientation courses may be conducted. Case-analysis method can be adopted. All these methods may be employed singly or in combination according to the needs and facilities available.

- Self-Check Exercise-3

Q.1 Discuss about the types on training.

Q.2 What are the methods of training?

9.6 TRAINING PROCEDURE IN INDIA AND TRAINING INSTITUTIONS

Civil Service Training is comparatively a new phenomenon in the modern world. In India, it began during the 18th Century British Raj itself. Today India is the leading developing country which has made elaborate training arrangements and established which has made elaborate training arrangements and established a number of training institutions for the civil servants. In this lesson we shall examine the India system of civil service training and make a critical evaluation of the present training arrangements in the country. After studying this lesson, you will be able to understand-

1. Historical development of the concept of civil service training:
2. evolution of Indian system of training:
3. discuss about the present system of training of civil servants in India and also about some important institutions of training in the country:
4. make a critical evaluation of the India system of training; and
5. make useful suggestions to improve the present Indian system of training.

9.6.1 Introduction:

Training of military recruits has been a regular practice even since ancient times. Craftsmanship and professional training have also been given through apprenticeship for thousands of years. After industrial revolution, skill training of industrial workers became

necessary. But civil service training is of comparatively recent origin. Only in the twentieth central civil service, training has assumed a great significance in the personnel management.

Training of higher civil servants was started during the days of East India Company in the 18th century itself. I.C.S. officers were provided with extensive entry-point training in England before sending them to India. The system of training evolved during the pre-independence period has been modified to suit the changed requirements after independence. Today India is the leading developing country which has made elaborate training arrangements and established a number of general and professional training institutions which provide up-to-date training for its civil servants. In this lesson we shall study the historical development of the concept of civil services training and critically examine the Indian system of training in all details.

Evolution of the Concept of Civil Service Training in General:

Although training of civil servants is comparatively a new phenomenon, the training of military personnel has been a regular feature of military administration for thousands of years. In ancient India, there was an institution called as Guru-Shishya Parampara (Teacher-pupil relationship) under which the student stayed away from his home in the Gurukul/Ashram, to learn the best of the knowledge, skills and arts from the Guru. Rulers, artists, artisans and even administrators were perfectly trained under the Gurukul system. But this arrangement was restricted to the upper strata of society. Ordinary citizen's profession was decided by his birth and caste and he used to get informal training of the family craft or profession from his family and caste group. Since the middle ages in Europe the craftsmen were trained by formal apprenticeship with experienced craftsmen. Conscious and systematic training began only after the industrial revolution in the field of private industry, business and management. Industrial expansion required skilled and expert workers to operate the intricate machines. Naturally the need of industrial and technical training of workers was felt urgently. In order to increase the efficiency and production of the industries they required trained managers and therefore the need of management training was also felt urgently. The training of employees, thus became necessary for the success of the industrial administration. But in the field of civil administration training was not considered of the necessity because the functions of the Governments were limited and administration was a simple activity. Civil servants were expected to learn by experience through a process of trial and error. This, method of the 'hard way of learning' was continued for a long time.

In Modern times, the social and political conditions have changed. Modern state has become

a welfare state. Functions of governments have tremendously increased. All governments have to promote the welfare of the people, plan for the socio-economic development and implement the development programmes efficiently, Scientific and technological developments have rapidly changed the lives of the people. After the Second World War, many new states have come into existence. In many of them democratic governments have been established. All these changes have made administration a very complex activity. We need highly skilled personnel to run modern administration. For this purpose, the need of planned and purposeful training for the civil and more attention is now being given to civil service training in many countries. In almost every country a national academy or its civil servants. There are also specialized training institutions in every country.

Historical Background of the Indian System of Training

History of civil service training in India can be traced back to the days of East India Company, which established Haileybury College in 1805 for the training of the young recruits to the concerned civil services. The Indian, Civil Service was manned by the products of the Haileybury College until 1855 when the first competitive examination was held the successful I.C.S. candidates were required to spend 1 to 2 years in the British University and learn subjects like Indian Law and Indian languages etc. During the Second World War, a camp school was set up at Debra Dun to impart training to the new entrants in the I.C.S. After Independence the Indian Civil Service was converted into Indian Administrative Service and to impart institutional training to the new recruits. Indian Administrative Service Training School was set up in 1947 in New Delhi.

In 1957 Indian Administrative Service Staff College was set up at Shimla to train senior official and recruits other than direct recruits, Both these institutions were subsequently merged and the national Academy of Administration was set up in September 1959 at Moussourie. The academy is now named as Lal Bahadur Shastri National Academy of Administration, which is the most important central institution of training of the higher civil service including the All-India Services.

During the British Raj it was believed that the education received before joining civil service was sufficient to qualify a person for the job. Formal training was not considered to be essential for the civil servants. Only the LCS. and technical personnel were provided with institutional training Police, Telegraph Railway, Income-tax. Accounts and Audit were the Departments which required training arrangements for their technical personnel. However, in spite of all these arrangements, government relied more on training by experience on the job

till independence

The problem of civil service training has assumed special significance only after independence with the changes in the social, political and constitutional conditions, the nature of government work has changed the functions and machinery of the government work has changed the functions and machinery of the government has expanded and many new services, have been constituted. As a result of all these rapid developments, it has become imperative for the Central and State Governments have been set up by the Central Government to plan and provide suitable training to their civil servants. Accordingly, a number of national Central Training Institutions have been set up by the Central Government. Similarly, in almost all, the States there are state level training institutions like Administrative staff Colleges and public training centres etc. Apart from these institutions many other academic bodies and Universities also provide training to civil servants

Objectives of Training in the Indian Context

After Independence the Civil Service training assumed special significance in India. The Planning Commission observed as early in 1954 itself that “next to recruitment the training of personnel was considerable bearing on administrative efficiency. Each type of work in the government requires a programme of training suited to it. In general, in all branches of administration; it is necessary to provide for the training of personnel at the commencement of service as well as at appropriate intervals in later years”. Following are the major goals of civil service training:

1. First and foremost goal of training is to improve the competence, skills and efficiency of the civil servants for the present job and also for the future.
2. Secondly, training should inculcate democratic attitude and respect for the traditions of parliamentary democracy in the minds of the civil servants. This is necessary because of authoritarian character of the British Administration in the past.
3. Thirdly, in a vast country like India, training should foster a national outlook amongst the administrators.
4. Fourthly, training must fill up the gap between the civil servants and the public. It should make them realize that they are not masters of the people as in the past but are essentially public servants.
5. Fifthly, training of civil servants should aim to make them aware of the realities of rural

India and give a rural-orientation to them in their work.

6. Sixthly, India's development requires successful implementation of Five Year Plans. It is therefore, necessary that training of civil servants should make them good planners and development administrators.

7. Seventhly training of civil servants must make them aware of latest developments in their field, so enable them to acquire knowledge of latest techniques tools and skills, necessary for successful administration.

- **Training For Indian Administrative Service:**

Indian system of the training of civil servants is largely conditioned on the British pattern. At the higher levels the emphasis is on a University degree. The principle of, 'catch them young' results in recruitment of persons who have no education or training of public administration. They are equally brilliant young men and women with a background of liberal University education. Before giving them new administrative responsibilities, they need a systematic training in the skills and techniques of administrations and in the total ethos modern democratic administration. Therefore, new entrants to the All India Services and highest Class 1 Central and State Services are provided with well-planned institutional training in India. But systematic arrangements for the training at middle levels of Class II, Class III and subordinate services do not exist in the country. They are largely expected to own staff colleges or training institutes, e.g. Railways, Central Excise Post and Telegraph etc. The Institutional like Central provides practical job-related training to the middle and subordinate level staff. However, for most of the services, at middle and lower levels, the training there is on the job training under expert supervision. There is too much emphasis on the training of higher civil services in India. The initial post-entry training is imparted in two different ways.

1. Institutional training (for Administrative, Police Audit and Accounts, Income Tax etc.).
2. Departmental Training under the guidance of senior, and experienced officers (for Defence, Accounts, Customs, Posts etc.)

Probationers of the All-India Services like I.A.S., IPS, IF.S. and Central Services Class I are given the institutional training in two phases

1. Foundational Course, and
2. Professional Course

1. Foundation Course

It is a combined course for the new entrants of the All-India Services like I.A.S., IPS, LES, etc. and Central Services Class I. The foundational course is of five months duration conducted by the Lal Bahadur Shastri National Academy of Administration at Mussoorie. In the foundational course emphasis is laid on the teaching of the subjects like Public Administration, Economics, Planning, Law, Political Theory, Indian Constitution Cultural who cannot read and write Hindi, special lessons are also given in Hindi.

The idea behind the foundational course is that the officers of the higher services in India should live together for five months and develop a spirit of belongingness to common public service; a feeling of comradeship and a broad common outlook. At the same time, the officers of higher services acquire an understanding of the constitutional economic, social, political and historical context within which the administrators have to function. The foundational course removes barriers between various senses. It can be called as a “National Course of training of higher services in India.

At the end of the five months, foundational course on examination is held in which all the probationers have to appear and all are expected to pass:

2. Professional Course

After the completion of the foundational course of five months at the National Academy, the second phase of training in professional course is given to the probationers. Those who belong to the LAS. continue to stay at the National Academy and a further professional training is given to them for a period of about two to three months. During this spell of professional training, they study in more detail the problems of public administration, district administration, revenue administration, development administration, Indian Penal Code, Criminal Procedure Code, Legal and Constitutional system, economic theory and economic planning etc. After completion of the first spell of professional training the I.A.S. probationers are sent to the State to which he/she has been allotted, for practical on the job training for one year. At the end of this year. I.A.S. probationers again come to the Academy for the second spell of problem oriented ‘professional training. Emphasis is placed on the discussion of particular administration problems. Case- analysis, and conference method of training is adopted. At the end of the appear at an examination conducted by the U.P.S C. For the training of the probationers of other, All India Services (like. I.P.S., L.F.S.) and Central

Services, the specialized and professional training institutions have been established. After the completion of the foundation course at the National Academy, they are sent to various specialized training institutions for further professional training. The I.P.S. probationers go to National Police Academy at Hyderabad to receive professional training in drill, handling of weapon, crime and criminology, law, combating techniques etc. The probationers of Indian Audit and Accounts Services receive professional training at IAS. Training School at Shimla. Similarly, Income Tax Training School at Shimla. Similarly, Income Tax Training School at (Nagpur). Railway Staff (New Delhi), national Forest Research Centre (Dehra Dun) etc. provide specialized professional training to the newly recruited personnel in the various services. The duration of professional training ranges from one to two years.

Training Methods

Four types of methods are involved in the entry point training of the fundamental and professional courses at the various training institutions described above.

1. Lectures on the subject matter of the course.
2. Assignments given to the trainees,
3. Case-analysis method,
4. Apprenticeship i.e. on the job training.

Refresher Courses

Apart from the foundational and professional courses conducted by the various training institutions for the new entrants to the various higher services, the refresher courses have also assumed great importance in the country. These refresher courses are short-term trained courses on the duration ranging from one week to four weeks. The senior and experienced civil servants are given the refresher courses-two to three times in their career. For the purpose of conducting these short-term training programmes, there are many institutions in the country.

For the S.A.S. officers apart from the intensive entry-point training of two years as discussed earlier, there are two new types of training programmes started recently in 1985-86.

1. Four Week's Training Programme-In general management and administration arranged two to four times in the career of an employee.
2. One week compulsory refresher programme for every IAS Officer every year.

Apart from IAS officers, other officers of higher civil services like 1.PS. LES.. Income Tax. Railways etc. also are given refresher training career. These refresher courses are conducted by the National Academy of Administration, or other institutions like

- (1) Indian Institute of Public Administration, New Delhi;
- (2) Administrative Staff College, Hyderabad:
- (3) National Police Training College, Mount Abu:
- (4) National Institute of Rural Development, Hyderabad and
- (5) Indian Institute of Management, Ahmadabad etc.

Various professional institutions in the field of various services like Police, Income-tax, Audit and Accounts, Railways, Tele-communication, Foreign Trade, Forests etc. also conducted the refresher courses for the senior offices of their respective services. A majority of state government have also established state training institutions in their respective states providing post-entry and in-service training to their employees. Besides, many University Departments of Public administration and Public Enterprises etc. also provide short-term training courses for the higher and middle level civil servants.

Institutions of Training in India

Compared to most of the developing countries, India has a long tradition of civil service training Ever since the days of East India Company, institutional training has been provided to the higher civil servants After Independence, the socio economic and political changes resulted into tremendous expansion in the government machinery and its functions. In order to meet the requirements of the rapid post-independence changes the need for systematic and up-to-date training of the civil servants was felt urgently. Training needs were emphasized by all efforts of the administrative reforms in the country. Today training of civil servants has become an integral part of the personnel policy of the Central as well as State Governments. A number of new training institutions have been set-up by the institutions provide both general and professional training to the civil servants at the entry-point and also during their career. The number of the training institutions is very large. Some of the most important institutions of civil service training are described below, in brief:

1. Lal Bahadur Shastri National Academy of Moussorie

Established in 1959, the academy is the most important training institution in the country. It provides the following:

1. Combined Foundational Course for all the probationers of the All-India Services like A.I.S. I.F.S, I.P.S. and of the Central Services Class 1.
2. Professional and problem oriented training for the new entrants of Indian Administrative Service.
3. Refresher Courses of four weeks for the senior L.A.S officers.
4. One week training programme for the L.A.S. Officers.

2. Central Police Training College, Mount Abu

Up to 1975-76 it provided entry point professional training for the new entrants to the Indian Police Service (it is now given at the National Police Academy at Hyderabad). Now this College provides refresher training and in-service courses to the middle and higher level senior police officers of both I.P.S. and of the State Police Service.

3. National Police Academy, Hyderabad (Est. 1976-77)

It provides professional training for the new entrants to the LP.S. It also conducts refresher courses for the senior I.P.S. officers.

4. Administrative Staff College, Hyderabad (Est. 1957)

It was established in 1957 on the model of the administrative Staff College Henley (England). It provides 4 months advance level training for the highly placed senior administrators and experienced executives drawn government, public sector, and private business and industries. Exchange of experiences and ideas groups discussions, syndicates and panels is the method emphasized for the training.

5. National Institute of Rural Development, Hyderabad (Established in 1955)

It organises regular orientation course for the higher a middle level civil servant engaged in the field of rural development administration. It is also engaged in research in the area of rural development.

6. Indian institute of Public Administration New Delhi (Established in 1953)

Apart from research in Public Administration, the IIPA organized short-term orientation and refresher courses for the senior and middle level servants of the central/state governments. These courses are regularly conducted for the benefit of senior and middle rank officials. These specialized professional courses heavily rely upon lectures by senior officers and experts in the subject. At the same time exchange of ideas and experiences in the group discussions and field visits are also arranged. The IIPA also organises a nine month educational programme for the senior and middle level civil servants. This is the only course of its kind in the whole country.

Many of the central services also have set up their own training institutions whole institutional training of professional nature is provided for their respective civil servants. Some of the leading training institutions are listed below.

1. Indian Institute of Management, Ahmedabad.
- 2 Income-tax Training School: Nagpur.
3. Railway Staff College, Baroda.
4. Institute Of Secretariat Training and Management, New Delhi.
5. National Forest Research Institute, Dehra Dun

6. Central Audit and Accounts Training School, Shimla

7. All India Institute of Local Self-Government, Bombay.

Most of the State Governments have also set up state training institutions in their respective states for providing post-entry and in-service training to their employees. Many Universities have Department of Public Administration, where short-term training is Organized for the civil servants in addition to regular teaching and research in public Administration.

- Self-Check Exercise-4

Q.1 Discuss about the training procedure in India.

Q.2 Briefly explain about the training institutions in India.

9.7 EVALUATION OF THE INDIAN SYSTEM OF TRAINING

Training of civil servants has assumed a great importance after independence. It has become an integral part of the Government's personnel policy. A number of new training institutions have been set up in country to provide both general and specialized training programmes. A large number of employees are benefited by these training arrangements in the country. In spite of this boon, the training system has not been able to fulfil the expectation from it. There have been many weaknesses of the Indian system of training,

Firstly, in the light of the vastness of the country and rapidly expanding sphere of the Government functions, the training arrangements are not adequate to meet our requirements. Only a small number of civil servants (one out of five) benefit from the present training facilities.

Secondly, too much emphasis is laid on entry-point and in service training of the higher civil services like All-India Services and Central and State Class Services. The training needs of the middle and lower level personnel is neglected. Up-to-date in-service training and Refresher Courses for lower level staff are not adequately planned, As a result, of this neglect, a vast majority of civil servants (80 to 90%) have an opportunity of training.

Thirdly, there is a general lack of seriousness on the part of the Government in the matter of civil service training in the country. Many times, wrong type of training programmes is planned and wrong methods are adopted. Selection of the trainees is not one carefully. An unwanted, separable' or 'favourable' person is selected in place of a right and appropriate person. In most of organizations, bureaucratic politics and patronage play an important role in

the selection of trainees. If at all a right person gets, by chance, selected, he may be sent to a training course which has no direct relation with his job. Serious thought is not given to utilize the raining opportunity after a trainee returns back to his organization

Fourthly, the content of the training programmes is not always relevant and meaningful for the trainees. There is no relationship between the training contents and actual placement of the trainees. Many training agencies do not have co-ordination between the training programmes and needs of systematic career development. Most training courses do not fulfil the requirements of democratic policy and development administration.

Fifthly, in most cases the training institutes follow traditional lecture-methods of training Up-to-date and modern methods of training are not easily adopted. Lecture method occupy almost 80% of the training in most institutions

Finally, training system is not linked with the education and research in the country and systematic evaluation of the training results and follow up of the effects of training on the efficiency in administration are not attempted.

Suggestions for Improvement

There is a lot of scope for the improvement of the Indian a stem of training in the years to come. Some of the suggestions improve it are discussed below-

1. Clear Objectives of Training

The objectives of civil service training at all levels, must be clearly laid down by the Government These objectives must include the following:

- a) Developing social economic and political awareness of employees;
- b) Developing functional and technical competence of the employees;
- c) Developing capacities to deal with the people and then problems at all levels;
- d) Making the employees democratic, responsive and development oriented;
- e) Making them aware of their moral and public responsibilities
- f) Developing a secular and national outlook among the employees.

2. Clear Training Policy

Government must lay down a clear and comprehensive training policy for its employees. It should become an integral part of the personnel Management of the Government. Needs of

various services and functions must be examined and various types and method of training must be related to these needs of the services.

3. New Techniques and Methods of Training

The training system must adopt and absorb new and modern techniques of training from time to time. Traditional methods must be replaced by modern method at regular intervals. It is necessary to maintain contact with well-known national and international training agencies for knowing the latest developments in the field of training. Prevailing training methods and their effective in the light of the result must be evaluated and examined from time to time and necessary changes must be incorporated in the light of the earlier experiences.

4. Link with the Educational System:

The training system must have a co-ordination with the University and educational system of the country. They will avoid a lot of unnecessary and unrealistic wastage of money and energy on the present training system in the country. Job-requirements, training contents and the educational system must be co-ordinated in such a way that together they provide the best administrators for the country.

In modern times, training of civil service has become an integral part of personnel management. As the functions of the government have increased the administration has become a complicated, complex and technical activity requiring specialized knowledge and skills. Systematic and coherent training of civil servants has, therefore, become absolutely necessary. In almost all the countries today elaborate training arrangements have been made and appropriate training institutions have been set up to provide suitable and effective training for the civil servants. India is not exception to this. In post-independence period, training of higher civil services has received very careful attention in the country. Both pre-entry or entry-point training as well as in-service training courses has been systematically planned and innumerable general and specialized training institutions have been set up in the country. An increasing number of civil servants are now receiving some kind of training at some point during their career.

In spite of this boon in the field of civil service training and proliferation of the training institutions in the country, in Indian system of training has not been able to fulfil the desired expectations from it. There are many weaknesses in it and a lot remains to be done to improve the Indian system of civil service training in the days to come.

In this lesson, we have examined the historical development of the concept of civil service

training in general and the rapid development of the Indian training system in particular. The present system of training in India has also been critically evaluated and some useful suggestions have been made to improve it.

Training Procedures and Institutes in India: Training of the I.A.S.

Objectives:

Indian Administrative Service (IAS) is the most important, prestigious and prosperous All India Service today. Some of the best men and women are recruited to the IAS. though the highest competitive examinations conducted at All Indian level by the Union Public Service Commission. After the selection, the IAS probationers are given elaborate foundational and professional training for more than two years. Even after posting their training continues on the job for a number of years. In addition to this, the IAS officers are given refresher courses for two to three times during their career. Recently it has been made compulsory for each and every L.A.S. officer to take a short one-week training every year. In this lesson, we are going to study the arrangements, procedures, institutions and contents of the various training courses for the Indian Administrative Service. After studying this lesson, you will be able to:

- a) Describe the historical revolution of the Indian Administrative Service and its training
- b) Understand the pre-service (entry-point) training procedure for the IAS probationers at the Lal Bahadur Shastri National Academy of Administration
- c) Explain the arrangements for the various short-term in-service training courses and refresher courses for the IAS officers during their career, and
- d) Critically evaluate the total training procedures for the LAS in the country.

Indian Civil Services (L.C.S.) established in 1854 was the backbone of the British Raj in India for more than hundred years. It was called as the steel-frame of the British Rule, which ruled over India before independence. Even after independence, the services of many L.C.S. officers were available to serve the nation. They served the nation, in the initial informative period with utmost efficiency and patriotism. A team of brilliant and best IAS officers worked under our leaders like Pandit Nehru and Sardar Patel to overcome and difficulties that arose due to participation, mass migration of people from Pakistan communal riots and the problem of integration of princely states immediately after independence. The LC.S. was succeeded by the Indian Administrative services (IAS) after independence. It has today become the most prestigious of the All India Services in the country. Some of the most

talented young men and women are recruited to the IAS through a very tough system of competitive examination conducted by the Union Public Service Commission (UPS.C.). Most of them have had a brilliant educational career and proved their ability in the general intelligence based competitive examinations. But they do not necessarily have adequate knowledge of the practical work of administration. It has, therefore been felt absolutely necessary to provide suitable training to the I.A.S. recruits. Elaborate training arrangements have been made in the country for the IAS. A National Academy of Administration has been set up to provide training to the IAS. And other All India Services also In this lesson we are going to study the historical background of the I.A.S. training and details of the present training arrangements and the procedures of I.A.S. training adopted by the Lal Bahadur Shastri National Historical Background of Indian Administrative Service training Academy of Administration. We shall also make a critical assessment of the present system of training of the Indian Administrative System and make some useful suggestions to improve it.

Historical Background of Indian Administrative Service training

During the British Raj in India the entire administration was dominated by one single All India Service called as Indian Civil Service: I.C.S. Officers occupied the most important key positions both at the Centre and in the Provinces. They were recruited since 1855 by an open competitive examination held in England by the British Civil Service Commission. After 1922, these examinations were held both in India and England. The successful candidates were required to spend one to two years in a British University, where the courses in Indian History, Indian Law, Indian Language etc. were taught to them. Those who were selected in England were required to spend one year on probation in London and those selected in India were to take the courses for two years. From 1940 onwards, the training of I.C.S. recruits were discontinued to World War II. From 1940 to 1943, a camp training school was temporarily set up to train the new entrants at Debra Dun. In 1946 the Indian Administrative Service succeeded the old Indian Civil Service and subsequently a number of service candidates were recruited into the IAS. The need of institutional training was, therefore urgently felt and Indian Administrative service training school was set up in Metcalf House in New Delhi.

I.A.S. Training School New Delhi

After selection, the I.A.S. Probationers were set for one year to the I.A.S. training school. New Delhi. The course at the school included subject like Constitution of India the Five Year

Plan, Indian Legal System, Penal Code, Criminal Procedure Code, Indian Evidence Act. social and political history of India, Principles of economics, Public Administration, Government institutions etc. Hindi and regional languages were also taught, at the school. The course was on the lines of LCS, Training only.

The basic objectives were to familiarize the L.A.S. probationers with the basic socio-political background and problems of Indian life. Emphasis was on the knowledge of law economic planning and machinery of Government in the country; Young graduates of different academic background were thus integrated into a common service. The training course provided them a common national framework in which they were to function in the future. To see the whole country side and understand its problems the I.A.S. probationers were sent for Bharat Darshan. Physical arms training was also a part of the training.

After completing this one-year training, the probationers had to appear for an examination conducted by the U.P.S.C. After passing this examination, they were confirmed in their service and sent to their allotted states for posting in the districts. This followed a further “on the job training” and the process of learning continues on the job till, their appointment as district collector or on other equal rank. This training arrangement for the newly selected I.A.S. recruits continued from 1947 to 1959 till the national Academy of Administration was established.

National Academy of Administration

In 1959, the two sister organizations i.e. LA.S. Training School, New Delhi and I.A.S. Staff College, Shimla, were amalgamated and a national Academy of Administration came into existence at Moussoori on 1st September 1959. It was named in 1972 as Lal Bahadur Shastri National Academy of Administration. There were many reasons for the establishment of the N.A.A. Firstly the number of LA S. recruits increased from 33 in 1949 to 120-130 in 1957 per year. Secondly, there was a growth of inter-services tensions and conflicts among the various higher civil services in India. Therefore, it was felt necessary to start a “co-ordinated” general courses for the entrants to various All In India Services. Thirdly, the facilities at the I.A.S. Training School were not enough to meet the needs of the increasing number of the recruits to the I.A.S. Fourthly, there was a need to provide refresher courses or orientation training to the senior I.A.S. officers after completing ten to fifteen years of service. This was necessary to make them aware of the up-to-date and latest development in the country and abroad.

Objectives of the N.A.A.

Originally, the Academy was established to provide the following courses:

- 1) A “Foundational Course” for direct recruits of the L.A.S. and other All India Services (like A.F.S., I.P.S.) and Central Class Services (like Audit and Accounts, Income Tax, Post, Railways, Defense Accounts, Customs and Excise etc.) for five months.
- 2) Professional Course to the direct recruits of the IAS. for seven months.
- 3) Refresher, orientation, re-orientation courses of short duration for I.A.S officers with 6 to 10 years of services.
- 4) Short-term courses, seminars, conference etc. for the benefit of senior officers.

The National Academy of Administration has become the most important national institution of Civil-Service Training in the country. Now it provides the following courses.

- 1) A combined foundational course of five months duration for the entrants of all the All India Services and the Central Service Class 1.
- 2) Professional Course in two spells for the directly recruited I.A.S probationers for a period of one year (divided in two spells of six months).
- 3) A four to six week Refresher Course for the L.A.S. officers of the seniority of 10 to 15 years.
- 4) One-week compulsory Refresher Courses for the I.A.S. offices every year.
- 5) Short-term Refresher Courses for the senior officers of other All India Services, Central and State Services.
- 6) Courses, Seminars, conferences etc. for the senior civil servants of the All India Central and State Service

The N.A.A. is located at Moussorie, a hill station in Uttarakhand geographically isolated from the rest of the country. Attempts to shift to into Delhi have not been successful and it continues to function at Moussoorie itself. It has a director and other teaching facility and non-teaching staff etc.

Training System for the I.A.S.

After selection through the All Indian competition all the new I.A.S. recruits, who are called as the Probationers, have to undergo a compulsory training course at Lal Bahadur Shastri National Academy of Administration at Moussoorie. This is in fact entry point training of the IAS. probationers for a duration of two years. It is called as ‘Sandwich’ course of training

‘Sandwich’ Course of Training for the I.A.S

The training programme for the IAS. has undergone a change since 1969. In 1969, the Central Government introduced which is called as ‘Sandwich’ course of training for the newly recruited members of the I.A.S. They are required to undergo two spells of training, with an interval of one year’s in-service training in the states.

1) First Stage - The first spell consists of the foundational course and professional training for the duration of six months. This is conducted at the national Academy of Administration. In the foundational course, the L.A.S. probationers join with all the probationers course, the I.A.S. probationers join with all the probationers of the other All India Services and the direct recruits to the Central Services Class 1. This course is for the duration of five months. After the completion of the foundational course, an examination is held. All the probationers have to appear in it and are expected to pass. After this is over the probationers of central services and all other All India Services like L.F.S.I.P.S. are sent to their respective specialized professional training centres for their further professional training. But the I.A.S. probationers stay at the Academy for further professional training.

The first spell of training thus includes-

I. Foundational Course and

II. Professional Course

I. Foundational Course - It is a combined course for the new entrants of the All India services like L.A.S., I.P.S, L.F.S. etc. and Central Services Class 1. The foundational course is of five month duration conducted by the Lal Bahadur Shastri National Academy of Administration of Moussoorie. In the foundational course emphasis is laid on the teaching of the subjects like Public Administration Economics, Planning, Law, Political Theory, Indian

Constitution, Cultural History of India the National Movement etc. For those entrants who cannot read and write Hindi, special lessons are also given in Hindi.

The idea behind the foundational course is that the officers of all the higher services in India should live together for five months and develop a spirit of belongingness to common public service a feeling of command ship and a broad common outlook. At the same time, the offices of higher services should acquire an understanding of the constitutional, economic, social, political and historical context within which the country's Administration has to function. The foundational course removes the barriers between the officers belonging to various services. In real sense it can be called as a "National Course" of training of high services in India.

At the end of the five months foundational course an examination is held in which all the probationers have to appear and all are expected to pass.

II. Professional Course-After the completion of the foundational course of five months at the national Academy, the second phase of training in professional course is given to the probationers. Those who belong to the I.A.S. continue to stay at the National Academy and a further professional training' is given to them for a period of about two to three months. During this spell of professional training, they study in more details the problems of public administration, district administration, revenue administration, development administration, Indian Penal Code, Criminal Procedure Code, Legal and Constitutional system, economic theory and economic planning etc.

Training Methods at the National Academy of Administration (N.A.A.)

Basically, four methods of training are adopted during foundational and professional course conducted by the National Academy of Administration. They are-

1. Lecture on the subject matter of the course;
2. Assignments given to the probationers:
3. Case-analysis and group discussion method;
4. Seminars and Conference etc.

The training at the N.A.A. is based primarily on lectures by experts or senior administrators. Guest lecturers are also arranged. Cyclostyled summaries of the lectures in compulsory. Probationers, are also divided into tutorial groups and study groups. The tutorial groups are

expected to discuss, the problems arising out of the lecture/topics. They also discuss other relevant topics. The emphasis is that each and every probationer must in-charge of a group. He initiates the discussion. Each and every probationer has to express his views freely. They are also given reading or writing assignments. They have to write papers on the assigned or specific aspect of his study theme. The performance of each participant in the group discussion and study group is judged by the in charge staff member. For the benefit of the trainees seminars on various topics are held and probationers present papers and participate in them. Experts from outside are invited to present papers and take part in these Seminars along with the probationers. Apart from the academic training the probationers are expected to learn many more things like habits, punctuality, neatness, politeness etiquettes etc. Entertainment programmes, films and sports are also organised for them. These activities are organized by the Officer's Club, Rifle Club, Fine Arts Association, Film Society, Mess Committee less which are managed by the participants themselves. Elections are mostly contested for the prestigious posts in those Organizing Committees -P.T. and horse-riding and swimming etc. are also included as a part of parcel of the probationers training at the N.A.A. Once in a month regular assembly of the participants is held. Director of the Academy address these assemblies. Probationers bring their difficulties to the notice of the Director and his staff. Normally, plenty of freedom of expression is given to the Probationers and there is healthy dialogue between the staff and the trainees

After completion of the first six months of the first spell of training in foundational course at the National Academy, the IAS. probationers are sent to the States to which they have been allotted for the practical on-the-job training. The second stage of training lasts for one year after completion of this one year on the job training they come back to the Academy for the final spell of problem training.

Second Stage of Training In the States

The second stage of training begins when the first spell for the training at N.A.A. is over. The I.A.S probationers go to their allotted status for one year's field training. This second stage of training is mainly divided into two phases

1. a purely on the job' training where they learn practical administration by doing:
2. and a mixture of institutional and practical on the job training

The condition of this second stage of training mostly depends upon the State Government. Many States have established regional training institutes but the overall situation is not satisfactory. The training arrangements varies from State to State. The field training is absolutely essential and relevant to the actual work during the first five years of the service of the IAS offices. There is no substitute to this kind of field training. It is an absolutely necessary. But this stage of practical training seems to be taken less seriously by the State Governments. The senior officers, with whom the probationers are posted, are either indifferent or too busy to give them sufficient time and attention. Some of them are not competent enough to train the young probationers. The administrative Reforms Commission, therefore, recommended that, during their training in the states the IAS. probationers should be assigned to carefully chosen senior Collectors, who are known for their interest in training and whose methods of work are considered worthy of emulation."

The practical training of the IAS probationers in the States does not have a nationally accepted common pattern. Each and every State has adopted a pattern suitable to its own local conditions. However, the second stage of training in the States, normally, consists of the following (with some variations)-

1. A short period in the State Government:
2. Work with a District Collector:
3. Work in treasury and Accounts;
4. Work in Development departments links. Agriculture, Cooperation. Irrigation, Community Development, Panchayats etc.
5. Magisterial and Judicial work.
6. Work in sub-divisional office

Many State Governments have their own training schools/institutes. The I.A.S. Probationers are sent to these institutes for a period of two/three months for imparting them training in the revenue administration of the state concerned. The probationers are also expected to study the organization and working of the various department of the State Government, discuss with the concerned officers about the broad features of the State departments, study some important files and cases of the concerned department and set and observe the functioning of

the inter-departmental committees and meetings. All the minute details are to be noted down by the probationers.

1. Work relating to Land Records and Settlements.
2. Work relating to Panchayati Raj bodies.
3. Work in Police Office.

During LA.S. probationer's training in the States they are in constant touch with a tutor at the N.A.A who guides him sets specific tasks exercises and writing of reports etc. The probationers have to keep diaries, which are scrutinized by the Collector. Periodical reports are sent to the Academy by the probationers through the Collector. They are, in some states, expected to work as B.D/O, VL W. or Patwari also. Such experience gives reality to the already acquired theoretical knowledge of the probationers. At this stage, more emphasis is on field training in the work of sub-divisional office and District on field training in the work of sub-divisional office and District Collector, More attention is given on specific cases arising in the routine district administration. At the end of this second stage of field training states, the I.A.S. probationers go back to the National Academy for the second spell of the professional training. Each and every probationer has to submit a detailed report of his one year's on the job training to the Director. The report should contain details of his practical training, his experience, his reactions to the methods of training and his suggestions, if any, for improvement.

Third Stage, Second Spell of Professional Training at the N.A.A.

In the third stage of the 'Sandwich' training programme, the LA.S. probationers come back to the National Academy after working of administration in the States, The Academy arranges a second spell of more problem-oriented professional training for a period of about six months. During this period of training emphasis is not on theoretical aspect of public administration but on practical/applied aspect of public administration. The experiences already gained by the probationers during their field training for one year in the States, has to be fruitfully related with their theoretical knowledge to solve the problems of administration. In fact, training during this period is entirely problem-oriented training. More and more emphasis are laid on discussing the specific cases arising out of the real administrative situations in the districts. Cases-studies are taken up. The syndicate method is employed and group discussion takes place in the light of the field experience gained by the participants. This stage of

training relies more on discussions, presentation of individual views and on participation of each and every probationer in the training. Everybody is provided with ample of opportunities to purposefully express his opinions upon the various aspects of his training in the districts, and upon the assignment prepared by him and also upon the information gathered by him during the course of training. Exchange of views, opinions and experience through open discussion and free participation is the essence of training at this stage in the National Academy.

At the end of this final phase of the training the L.A.S. probationers have to appear in the Probationer's Final Examination. The Academy conducts the examination in accordance with the L.A.S. (Probationer's Final Examination) Regulation of 1955 (amended from time to time).

Language problem is solved by requiring every L.A.S. probationer, as described above has been borrowed from the French system of training. The trainees of the highest civil services in France, spend three years at the National School of Administration in Paris. During the first year, they are attached to the Office of a Perfect (district/departmental officer) to get practical experience in administration. In the second year, they return to Ecole National, (i.e. National School) at Paris for general academic training. In the third year, they are given training in specialized/professional course related to the Ministry to which they are assigned. The introduction of the Sandwich course for the L.A.S. has made the entire training system more realistic and action-oriented. Since its adoption in 1969, many significant and useful changes have been introduced, on the recommendations of the various Committees, especially on the basis of the recommendations of the Administrative Reforms Commission to improve the system of L.A.S. training at the National Academy.

Further Training of L.A.S. Officers

After the second spell of professional training at the National Academy, the L.A.S. probationers are sent back to their respective States for posting. They are posted in charge of sub-divisions to begin with. In order to enrich and diversify the administrative experience of an L.A.S. officer, he is transferred from district to district after every two years stay. He is also sent to work in the State Secretariat as Under-Secretary, for nearly eighteen months. All this is, to prepare him to be posted as a District Collector. This is, therefore, a type of in-service training of the concerned officer, to give him a variety of experience before he becomes perfectly ready for a senior post after about six or seven years of service. L.A.S. cadre is primarily meant to provide senior level officers. Their appointment is on junior

positions is basically intended to train them for higher positions. But this in-service training of young L.A.S. officers is not uniform in different States and leaves much scope for improvement. It has to be taken more seriously.

Refresher courses For the L.A.S. Officers

The rapidly changes in the field of administration, requires continuous changes in the ideas, attitudes and temperament of administrators. The world of knowledge is expanding so fast that every existing skill and knowledge becomes out-dated after a few years. The Civil Servants, therefore, need a continuous doze off in services training, refresher or orientation courses to be periodically provided formally or informally

After a spell of five to seven years of service, it is absolutely necessary for the officers to get together to exchange views and them to keep abreast and up-to-date about the latest thinking on various problems facing the administration with the type of dynamic administration, democratic polity and socio- economic problems we have, it is still more necessary that senior and responsible officers should come together and acquire fresh understanding of the problems and new ways to solve them. Refresher or orientation training also becomes necessary for securing a balance between democratic process and responsive administration on the one hand and modern management techniques and administrative efficiency on the other. The expansion of the activities of the State has thrown up a host of new social, economic and human problems before the administration, and posed new challenges before the administrators. The role of LAS Officers in this situation does assume a sensitive and critical dimension. The country needs a new demonstrative culture, high quality of services and result-oriented techniques to ensure an effective delivery system to suit the policies of the Government and aspirations of the people.

Apart from the intensive entry-point training for two years, imparted to the IAS. probationers at the National Academy, there are several Refreshers or Orientation courses for the senior LAS officers These courses are of the duration ranging from one weak to six or eight weeks. On an average, it is expected, that each and every L.A.S. officer receives some kind of Refresher/Orientation courses at least three to four times during his career. These courses are conducted by various training institutions or even Universities. Some of them are-

1. I.B.S. National Academy of administration, Mussoorie
2. Indian Institute of Public Administration, New Delhi
3. Administrative Staff College, Hyderabad.

4. Indian Institute of Management, Hyderabad

5. National Institute of Rural Development, Hyderabad

Recently the Ministry of Personnel, Public Grievances and Pensions, (Government of India) has drawn a new plan of action for the refresher course for the I.A.S. officers. The main features of the scheme are-

1. A One Week-Compulsory refresher course for all the LA.S. officers every year with vertical

participation in which junior, middle level and senior officers would attend the same course

2. Four Weeks-Orientation training in general management, and administration, arranged in three stages viz 6 to 9 years' service, 10 to 16 years' service and 17 to 20 years of service. Subject like Development Administration, project programming, decision making, management techniques. problems solving skills, organizational performance and policy planning and analysis are included in the four-weeks refresher courses.

The Government has identified 43 training institutes for imparting the above mentioned one week refresher course and four week training to the I.A.S. Officers. They include a central institute, 18 national training institutes, 13 state training centres, and 11 other centres (Universities etc.) These institutions have already started conducting these courses for the senior and experienced I.A.S. officers in the country.

Critical Appraisal of the LA.S. Training

I.A.S. is the most prestigious and powerful All India Service in the country today. The officers of the I.A.S. are occupying the most important administrative posts both in the Centre and in all the States. They are dominating not only at the higher levels in all the States. They are dominating not only at the higher levels of administration (in the districts also), they are also in the public undertakings of the States and the Centre. Due to this crucial and important role assigned to the I.A.S. both the training of the LA.S. probationers and also of the senior LA.S. officers has also occupied the most important place in the training system of

the country. Elaborate and extensive arrangements are done for their training both at the National Academy and in several other training institutes. However, it is true that no system is completely full-proof and perfect. There are several drawbacks and shortcomings of the present system of L.A.S. training in the country. Lot of efforts have been done to improve it but still a lot remains to be done to make it suitable for the changing socio-economic and political conditions in the country. The dynamic development administration will always need dynamic, resourceful, brilliant, highly knowledgeable and skilled administrators of integrity and character. The training system has to struggle hard and improve itself to achieve these aims of the dynamic development administration in the future. This is a continuous process. However, a few important points must be mentioned. They are-

Firstly, the I.A.S. is a generalist cadre. This L.A.S officers are not specialists but are generalise they can be posted in Central, State, local governments: in public undertakings in training institution, at the higher levels or at the middle levels of administration, in the Secretariat or in the districts. Their works of general administrative nature. Due to this, it is often difficult to relate the training course with the nature of their work. Training for generalist' administration is difficult than specialized training for the specialist "services". Course contents of the L.A.S. training many times sound to be irrelevant and meaningless. It is difficult to relate the training with their future job post of the trainees to relate the training with their future boom. Most of the trainees feel disinterested in the training at the N.A.A. because they have doubts about the relevance and utility of the training for their future career. But to solve this problem we may have to change the entire basic structure of the civil services in the country.

Secondly, the foundational course of the national Academy has not succeeded in integrating different higher services. Still there are inter-service rivalries and conflicts the LAS. superiority has continued even now and, therefore, it is necessary to establish an integrated and unfilled higher civil service for the country.

Thirdly, during the process of implementation of the foundational course, the time duration has been reduced to about 16 weeks only. During this period, also a lot of probationer's time is consumed in the activities like clubs societies, hiking, trekking, outing etc. As a result, the class-room activities have less impact of them. The academic activities, therefore, suffer during the course of training at the Academy.

Fourthly, it has been reported that there is lack of seriousness on the part of the Government while appointing Director of the Academy. It has also been, often reported that there is lack of coordination and understanding between the directional staff and the teaching staff in the National Academy for Administration. This adversely affects the effective training of the probationers. The internal politics in the Academy should be avoided and teaching faculty should regain their due honour and respect.

Fifthly, the training methods adopted at the National Academy have to be modified to suit the new requirements of the services. More involvement and participation of the trainees in discussion and dialogue has to be encouraged.

Sixthly, there is a controversy about the very location of the national Academy at Moussoorie. It was to be shifted at New Delhi in 1973. But it still continues to function at Moussoorie only. This problem has to be finally settled by the Governmental once for all.

•Training For Civil Service In U.K.

The selected candidates are formally inducted into the civil service designated as “Administration Trainees and continue as such up-to four years. But the probationary period is of two years on completion of which they are confirmed.

After their selection the Administration Trainees (ATs) are required to undergo an extended training which is both institutional and on the job. It may be more appropriate to describe it as a ‘Sandwich Training Programme.

The training of the AT’s is conducted at the London Centre of Civil Service College. The first phase consists of 10 weeks’ institutional training. During this, the ATs study Public Administration, statistics, law, economics etc. At the end of this period they returned to the individual assigned Departments to spend two this, begins the second spell of Institutional training, lasting 10 weeks, at the London Centre of the Civil Service College. In this phase, the AT’s learn social environment of Public Administration, personnel management, police formation etc.

The second phase of their syllabus is so designed that knowledge of subjects acquired in the first phase enable them in making more rational decisions. This phase of training is sometimes referred to as corrective education which of course, it certainly is, afterward they return to their respective departments to work for another two years which is the second spell of on-the-job training.

It is at this stage that a decision which vitally affects the career of the AT's is made. AT's whose annual intake is around 300 now get 'streamed by their departments. In other words, they are classified into two groups. Those, who in the judgement of the concerned departments show competence and promise are put into "fast stream", which implies that they are earmarked for rapid promotions, and are "high fliers'. The remaining ones constitute the normal Administration Group. Roughly speaking, nearly two thirds of the AT's qualify into the "Fast Stream group. They are the class of British mandarins or the Administrative Brahmins of Great Britain. It is to be noted that streaming' is done exclusively on the basis of performance shown in the Department and is completely independent of the training programme at the civil service college.

Afterwards, there is a final round of Institutional training at the London centre for those- and only those who are placed in the fast stream. The ones left out of it are to undergo departmental training and subject based training which is imparted in the civil service college. The stage III training which is of three weeks' duration is tailored to the individual needs and requirements of the AT's.

- Self-Check Exercise-5

Q.1 Discuss about the Indian System of Training.

Q.2 Explain briefly about the training system in U.K.

9.8 SUMMARY

It needs to be noted, that there is no examination of the AT's at any stage of their Institutional Training, nor does apparently, anything hinge on the outcome of this training. Yet surprisingly, majority of the AT's take their instructions seriously, although, a small minority invariably prove not as serious as they were in the universities. In this, context it is worth recalling that the Fulton Committee on the civil service had envisaged a 30 weeks training programme for the ATs (which is full academic session in Great Britain). It was a pursuance of this recommendation that the earlier two courses, each of 15 week duration, were organised. But they proved unpopular, necessitating a curtailment in their duration. At present, the total period of an AT's institutional training lasts 23 weeks, his on-the-job training complete in 4 years.

An AT's is subsequently, posted as higher executive officer (A), and around 30 years age become the principal, the actually by-passes the guide of Senior Executive officer.

9.9 GLOSSARY

I.A.S: Indian Administrative Services

Foundation Course:

it is a combined course for the new entrants of All India Services and Central Service Class 1

Professional course:

After the completion of the foundation course the next step is professional course of five months at the National Academy.

9.10 ANSWER TO SELF CHECK EXERCISES

Self-Check Exercise-1

Q.1 Refer to section 9.3

Q.2 Refer to section 9.3

Self-Check Exercise-2

Q.1 Refer to section 9.4

Q.2 Refer to section 9.4

Self-Check Exercise-3

Q.1 Refer to section 9.5

Q.2 Refer to section 9.5

Self-Check Exercise-4

Q.1 Refer to section 9.6

Q.2 Refer to section 9.6

Self-Check Exercise-5

Q.1 Refer to section 9.7

Q.2 Refer to section 9.7

9.11 REFERENCES/SUGGESTED READINGS

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2. S.L. Goel “Personnel Administration & Management” New Delhi.
3. <https://mu.ac.in/wp-content/uploads/2022/07/SYBA-SEM-4-Paper-3-Indian-Administration.pdf>
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9.12 TERMINAL QUESTION:

1. What is training? What are the methods of training for All India Services?
2. Critically evaluate the procedure of training for the Indian Administrative Services.

UNIT-10 ADMINISTRATIVE

ETHICS, CODE OF CONDUCT

Structure

10.1 Introduction

10.2 Learning objectives

10.3 A code of ethics for Public Administration

Self-Check Exercise-1

10.4 Main Area of Administrative ethics

Self-Check Exercise-2

10.5 Conclusion

10.6 Glossary

10.7 Answer to self-check exercises

10.8 References/Suggested Readings

10.9 Terminal questions

10.1 INTRODUCTION

The word ethics derives from ethos, the Greek term for the particular character or disposition of a people, society, or culture. In contemporary English usage, it refers, at least in the context that concerns us to moral rules. To say that an act is ethical, therefore, is to say that it is morally defensible. In general, we make determinations about the morality of an act by holding it up to a general standard such as “Taking the life of another human being is wrong” or “You should never tell a lie.” Some of these standards may be codified in civil or criminal law, in which case everyone in society is required to observe them. Other ethical standards may be rooted in general social mores, violations of which lead to disapprobation but not legal penalty. In American society, for instance, it is widely considered unethical to take advantage of someone in a business transaction, even when doing so is not strictly illegal. Still other ethical standards may pertain only to specific social groups; in some religious and moral traditions, for example, it is thought to be unethical to slaughter animals for food in other than a prescribed manner, while others disdain eating meat altogether.

Such group-specific ethics have also evolved in many established professions and occupations as law, medicine, and journalism. Legal ethics, for instance, proscribe attorneys from representing someone involved in an adversarial proceeding with an individual who is already a client of that attorney. Medical ethics guide physicians’ decisions on administering life-prolonging drugs to terminally ill patients. Professional ethics forbid

journalists from revealing confidential news sources. In cases such as these, whatever sanctions there may be against violators of professional ethics are levied, at least in the first instance, by the profession itself.

10.2 Learning objectives

After going through this lesson, the students will be able to know:

- 10.2.1 The concept of ethics and code of conduct
- 10.2.2 The Ethics for Public Administration
- 10.2.3 The area of Administrative Ethics

10.3 A CODE OF ETHICS FOR PUBLIC ADMINISTRATION

The American Society for Public Administration exists to advance the science, processes, and art of public administration. The Society affirms its responsibility to develop the spirit of professionalism within its membership and to increase public awareness of moral standards in public service by its example. To this end, we, the members of the Society, commit ourselves to the following principles:

1. Service to the public is beyond service to oneself.
2. The people are sovereign and those in public service are ultimately responsible to them.
3. Laws govern all actions of the public service. Where laws or regulations are ambiguous, leave discretion, or require change, we will seek to serve the best interests of the public.
4. Efficient and effective management is basic to public administration. Subversion through misuse of influence, fraud, waste, or abuse is intolerable. Employees who responsibly call attention to wrongdoing will be encouraged.
5. The merit system, equal opportunity, and affirmative action principles will be supported, implemented, and promoted.
6. Safeguarding the public trust is paramount. Conflicts of interest, bribes, gifts, or favours that subordinate public positions to private gains are unacceptable.
7. Service to the public creates demands for special sensitivity to the qualities of justice, courage, honesty, equity, competence, and compassion. We esteem these qualities, and we will actively promote them.
8. Conscience performs a critical role in choosing among courses of action. It takes into

account the moral ambiguities of life and the necessity to examine value priorities: good ends never justify immoral means.

9. Public administrators are not engaged merely in preventing wrong, but in pursuing right through timely and energetic execution of their responsibilities.

- Self-Check Exercise-1

Q.1 Write a short note on ethics.

Q.2 Discuss about the code of ethics in public administration.

10.4 MAIN AREAS OF ADMINISTRATIVE ETHICS

1. Necessity for building administrative ethics as a (sub) discipline

Administrative ethics implies applying general moral rules to specific sphere of human relations, that is to say administrative relations. Some of the most important areas of applied ethics today concern the ethics of administration. In spite of the fact that public administration is very old institution, administrative ethics is still undeveloped and it longs for specific moral rules that cover maybe the most important area of human relations - administrative relations. But it is the same with other kinds of applied ethics such as business ethics, medical ethics etc. Not earlier than twenty years ago it has been started organized and methodical discussion about ethical questions in the work of public administration. For this reason, administrative ethics has not been built yet like a particular discipline of applied ethics. There are few law schools in the world which have administrative ethics in their curricula. Ethical themes are most often discussed within the parts of administrative law or philosophy of law.

Where is the necessity for building administrative ethics from? Sporadic treatment of ethical questions that occur in the work of public administration (read: government, the state) does not meet the expectations of the citizens today. They wish government to be ethical one just they expect from any other kind of business. Endeavours to make analogy between government and business (looking at the government like a big business) impose the question whether administrative ethics is the same like business ethics or something else? If we accept congruence between administrative ethics and business ethics then we shall ignore the main difference between the world of government and the world of business. It is said for administrative relations that affected parts do not enjoy same rights-public official is always entitled to enforce the law and citizen is always obliged to do what is commanded. Parts in

business relations are equal regarding their rights and duties. State and civil society are two different spheres of life at least since French revolution. But organizing principle for the both has been the same: bureaucracy. That organizational similarity between the world of government and the world of business misted the fact that administrative relations were and still are imperious. Only this feature of administrative relations is enough to justify development of administrative ethics as an applied ethics sui generis. Of course, there are similarities between administrative ethics and business ethics but the differences are so expressive that prevail the first.

The other reason that justifies establishment of administrative ethics as an applied ethics in generis is importance of public administration for modern man. Practically there isn't a segment of man's life covered by public administration that longs for ethical solutions. Modern state is not only Leviathan who keeps the order and supervise the economy. On the contrary, more than ever it has an active role in our lives-making them better. And it must do that, indeed,

2. Theoretical foundations of the state-citizens ethical relations

The whole political philosophy has been an attempt for solving the basic question of human existence: coordination problem. Is the state (and therefore-public administration) necessary for human condition? If it is so, what kind of state is the most plausible? Before all, administrative ethics has to answer to these questions. It must lend the solutions from political philosophy. In all likelihood, central question of political philosophy could be reduced to the following: what is the essence of the state-civil society relation? For the ancient Greeks the answer was obvious. They thought *res private* and *rex publica* were the same thing. The break came afterwards. Modern age made an effort to re-establish broken unity between state and civil society. Rousseau bashfully and Kant and Hegel explicitly were the torchbearers of the new age. For Hegel, an individual is nothing without the whole organized by reason. The whole (the state) makes an end to the individual in his/her individuality enabling him/her to become real individuum within the same wholeness. The state is, both in philosophical and existential sense, necessary part or aspect of human nature. An individual couldn't be conceived without state, he/she finds his/her perfection in the state. The state is the only association that allows individuals to redeem their humanity and has moral superiority over them. Socialist and communist revolutions didn't realize promised unity of the state and civil society. They only led to nomenclature which was striking example of mentioned disunity. Moreover, postmodernism argues that the whole system

sinks into indeterminism, whole reality is being absorbed by hyperreality of the code and simulation. All great humanistic criteria of value, criteria of the whole civilization regarding morality are being deleted in our system of pictures and symbols. These are tough questions and administrative ethics has to deal with them if it is aimed at philosophical dignity.

3. Standards and values in public administration

Standards and values in public administration have to be consistent with standards and values in wider environment. These are not often created by public officials themselves. Most frequently these are created by political bodies and public administration is only a medium or agency for their implementation. In many cases values are not explicitly given and public officials have a difficult task to recognize and to enforce them. Discretion of public officials means that they are entitled to look for the purpose of the law. Law itself has a lot of emptiness that allows public officials to have active role in determining its purpose. Sometimes the purpose of the law is not clear and there is a need for interpretation. All these activities of public officials are not value free but involve biases of one or another kind.

It is to be noted, that not all standards and values in public administration are ethical. Some of them are unethical and the task of administrative ethics is to make clear distinction between right and wrong standards and values. For better understanding of these it is useful to employ Van Wart's scheme of the five value sources used in decision making in the public sector. He suggested five major sources of values as following:

1) individual values (integrity, i.e., honesty, consistency, coherence and reciprocity). These are aimed to “urge public officials to demonstrate the highest standards in all activities to inspire public confidence and trust in public service”;

2) professional values which are directed to “strengthen individual capacities and encourage the professional development of others”;

3) organizational values which encourage public officials to “strengthen organizational capabilities to apply ethics, efficiency, and effectiveness in serving the public”;

4) legal values can be broadly defined as the Constitution; the federal, state, and local laws; the rules and regulations that articulate the laws; judicial rulings interpreting laws; and the ethics that celebrates the state as a *Reich der Zwicker* and holds due process as a basic human, as well as political, value. These are aimed to encourage public officials to “respect, support, and study government constitutions and laws that define responsibilities of public agencies, employees, and citizens”;

5) public interest values go far beyond mere compliance to the politically determined will. There is disagreement about just what the public interest is. In public sector employment it is honourable for public officials to “serve the public, beyond serving oneself. This is the point that hides the unimagined possibilities of administrative ethics. Perhaps the main task of administrative ethics is to define what the public interest is in any particular situation.

Perhaps the most interesting area of administrative ethics should be moral development of public officials. It is notorious that bureaucracy doesn’t allow people to grow up or that it makes persons of mature years to behave immaturely. Can employees in public administration reach full moral development according to Kohlberg’s scheme

Public administration as a bureaucratic organization par excellence has its own personality: that is to say, it is capable to learn, to memorize, to be conscious and to have conscience. In other words, public administration represents a milieu in which people can be socialized. Moral development of public officials must become an obsession of public administration: the new paradigm of moral development must be established to offer a new design and programme for public officials and functionaries in moral education through public administration ethical socialization. Functionaries in public administration have to define clearly basic problems in value system and ought to be in continuous contact with

organizational conscience. Through discussions with colleagues and subordinates they have to direct organizational reflexiveness and evaluate consistence of public administration ethical image with its own value system as well as with its own operative versions of general ethical principles. Special attention must be devoted to projection of public administration ethical image that ought to keep it on right direction through management of corresponding symbolic pictures for the sake of reaching minimal ethical consistence.

In this regard, functionaries in public administration ought to choose adequate ethical symbols that reflect its policy as well as activities through which its ethical conduct will be expressed and its image will be made more acceptable. For this purpose, theory of impressionistic management or leadership is at their disposal.

5. Ethical conduct of public officials

Public administration is usually evaluated according to ethical or unethical conduct of public officials. Requested impartiality and disinterestedness of public officials isn’t enough anymore. The real question for administrative ethics must be the following: is it enough for public officials today to accept only Weber’s principle *et studio* or they must apply more moral rule than Weber’s cold and impersonal one? Even the golden rule is not enough for the

citizens' needs today. May be its positive interpretation would be plausible not only for the ethical relations between public officials themselves but for the ethical relations between public officials and citizens. In any case.

commitment and devotion of public officials must be more universalistic if the state is going to be real *res publica*. Especially in the case where public officials have a lot of discretion to enforce the law by their own will. What criteria will they use? There are hidden dangers in golden rule and ethical theory and practice proved that very well. (Remarkable example is conduct of new appointed public officials in so called transitional states who changed golden rule for the talion principle, especially towards the members of former socialist or communist parties. Lustration has been legalized in Serbian parliament recently and public officials who were or still are the members of socialist party, in spite of their professionalism, will be moved [read: fired] from their positions in public administration.) The old wise saying that the law is for the enemies and not for us proved its validity once more again. Cynics would say it is not ethical but it is practical. Administrative ethics has a difficult task to eradicate egoism from public officials and transform *amour-propre* in *amour de soi* so we want state to be ethical in Kantian and Hegelian sense.

6. Ethical attitude toward the nature and the wild world

Due to work of Peter Singer, ethics doesn't concern for the human relations only but for the relations between the man and the nature too. Public administration has an enormous responsibility to prevent devastation of the nature and the wild world, especially regarding implementation of the laws prohibiting pollution of the nature. What quantities of harmful materials are allowed to leak out? The spirit of the law must have priority in such cases. And public officials are the first who are invited to go beyond the letter of the law. One more task for administrative ethics.

- Self-Check Exercise-2

Q.1 What are the main area of administrative ethics?

Q.2 Write a short note on ethical conduct of public officials.

10.5 CONCLUSION

These gross modo thrown ideas about the main areas of administrative ethics say that there is a room for administrative ethics. Some well - known themes that make an unavoidable part of administrative ethics (like bribery, corruption, sexual harassment etc.) have been neglected

deliberately. Maybe these days are the genuine ones for starting thinking about global administrative ethics principles.

10.6 GLOSSARY

Ethics. : It refers, in the context that concern us to moral rules.

Code of Conduct: The discipline and the ethics to be performed by the employees in the organisation.

10.7 ANSWER TO SELF CHECK

EXERCISES

Self-Check Exercise-1

- Q.1 Refer to section 10.3
Q.2 Refer to section 10.3

Self-Check Exercise-2

- Q.1 Refer to section 10.4
Q.2 Refer to section 10.4

10.8 REFERENCES/SUGGESTED READINGS

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10.9 TERMINAL QUESTIONS

1. Discuss the Code of Ethics for Public Administration.
2. What are the main areas of Code of Ethics for Public Administration

UNIT-11

EMPLOYEES - EMPLOYER RELATIONS, RIGHT TO FORM ASSOCIATION UNIONS, INSTITUTIONS ARRANGEMENT FOR SETTLEMENT OF DISPUTE IN INDIA AND UK

Structure

11.0 Learning Objective

11.1 Introduction

11.2 Right to Organise

11.3 Right to Strike

11.4 Negotiation, Consultation and Settlement of Dispute

11.5 Employer-Employees Relations in UK and India

11.6 Conclusion

11.7 Self Check Exercise

11.8 Glossary

11.9 Answer to Self-Check Exercise

11.10 Terminal Questions

11.0 LEARNING OBJECTIVE:

After learning this lesson, the student will be able to know

- Concept of Employees and employer
- Right to organise or to form association
- The Right of the strike
- Negotiation and Settlement of Dispute between employees and employer
- Whitley council in United Kingdom

11.1 INTRODUCTION

With the dawn of democratic idea's, the employer-employee relations in public service underwent a sea-change. Traditionally the civil servants were treated as the soldiers who should have unquestionable obedience to the order of the Government of the day. Pay, allowances and service conditions of the employees were fixed without consulting them. In the private sector, the employees organized themselves and adopted the militant methods. Employees organized themselves and adopted the militant methods of getting better service conditions. They were successful in getting better emoluments and service conditions. This led to

thinking in the public employees also that in order to ensure improvement in their service conditions, they should organize themselves and make joint and united efforts.

Development of employer-employee relations and labour-management relations in India has taken place because of certain historical reasons. Government of India intervened in the private sector to ensure better service conditions to the employees. Naturally, the Government, thus, could not deny the same rights and facilities to its own employees. The words like “collective bargaining” and “joint consultation”, also came in use in public

employment after their use private employment. In the collective bargaining the parties are expected to reach an agreement on wages and other conditions of employment and the terms of agreement are put into effect. The discussions in joint consultative bodies usually relate to the exchange of information and the consideration of the suggestions for improving safety, health and welfare and increasing productive efficiency. The finds to such discussions generally take the shape of recommendations leaving the final decision to the management.

With the above introduction on employer employee relations, the whole problem can under the following heads:

- (1) Right to Organize,
- (2) Right to Strike, and
- (3) negotiation. Consultation and Settlement of Disputes.

Above heads can be discussed as follows:

Right to Organize:

Public employees in many countries have demanded the right to organize, to form associations, to participate in public affairs even to the extent of contesting elections and canvassing for the candidates of their choice during elections. They demanded better service conditions and all the freedom as granted to an ordinary citizen.

In public organizations we find highly formalized relations between the employees and the government. Civil services unions make it difficult for the government to adopt dictatorial means with respect to the matters which affect the employees' interests.

Government have recognised many benefits from the employee's unions. According to O. Glenn Stahl these benefits are:

- (1) The Union makes it possible for employees to express their point of view to the legislative

branch and the management as a whole.

(ii) The convenience a union provides when management honestly wants to secure the real opinion of employees as a group rather than to rely wholly to the faculty distillation of opinion that slowly filters through the supervisory lines.

(iii) It provides a feeling of identification with the securing of certain personnel objectives that is not present when the solution to personnel policies-even when they are highly acceptable is handed to workers by management. Even employees want to do something for themselves, no matter how enlightened an organization's personnel administration is.

(iv) A voluntary employees organization provides an outlet for natural social aspirations of employees.

The other two important dimensions of right to organize civil services association and (b) Right of the civil servants to join 'a political party. We would like to discuss these dimensions with reference to the actual position and practice in different countries.

United Kingdom: Civil Servants in United Kingdom are free to form their own associations (civil service associations can also seek affiliation with the trade unions. In fact, Association representing postal, clerical and similar other workers are affiliated to the trade unions. However, Association representing professional, executive and administrative civil servants have not affiliated with the trade unions. As far joining a political party is concerned, the civil service unions have been forbidden to use any general fund for political purposes. Civil service unions procedure. In actual practice, only the Union of Post Office Workers is affiliated to the Labour Party. No other union is affiliated to any other political party.

United States of America

In the U.S.A., the federal employees can become member of any employees organizations which does not impose upon them the duty to go on strike. The restriction of their right to associate has been imposed by the Lloyd La Follet Act of 1912 as amended subsequently. However, as a matter of practice, the civil servants have their own associations comprising of well-defined categories of workers. Some of the examples of these categories skilled workers; (b) different occupational groups within the postal service, such as, better-carriers, clerks and postal supervisors; and (c), the federal white collar workers. However, these unions are affiliated to the American Federation of Labour (A.F.L.)

India

In India, the civil servants can form associations. However, they cannot become member nor continue to the members of any association which has not been recognised by the Government within six months of its formation of the recognition to which has been refused or withdrawn. Government has laid down following conditions for recognition:

- (I) No person, who is not a Government servant, should be connected with affairs of the Association,
- (ii) The executive Association should be appointed from amongst members only,
- (iii) The Association should not expose or support the cause of Individual Government servant; and
- (iv) The Association shall not maintain any political fund or propagate me view of any political party or politician.

However, the mines regarding non-railway industrial staffs and railway staffs (consisting 70 per cent of the total staffs under the Central Government) are more liberal. Their Associations are not prohibited from maintaining a political fund.

However, in India a lot of difference can be observed in what has been practised and what has been prescribed. In actual practice many Associations which have not been recognised by the Central Government or by State Governments are working with the same case as those which have been duly recognized by the Central Government or State Government. There are many factions in the Association and some leaders do organize parallel associations on their own names. Though an association do not maintain political funds for any political party, the employees especially their leaders are highly political party, the employees especially their leaders are highly politicising. They do support certain political parties and some of them almost openly canvass for and against certain political parties or candidates during elections.

11.3 RIGHT TO STRIKE

The question of right to strike especially in the public organization is perhaps the most controversial one in employer-employee relations different views have been expressed on this issue. Some are in favour of allowing the right to strike to the public servants. They are of the opinion that the public servants should ex be treated as dumb bounded labourers. They should have full right to demonstrate against the highly intolerable conditions of service and thereby enlist public co-operation and sympathy. Second view by the public servant because of their

special status and responsibilities. Third view is that strike in the service vital to the very existence of the community, should be totally banned. All the above mentioned three views can be discussed as follows;

The first view has been supported by following eminent writers:

According to W F. Mosher, “the prohibition of strike to civil service regulations cannot be justified either in logic or in political philosophy. To deny to any group of employees the right to strike against intolerable conditions is to reduce them to a form of slavery”.

Supporting the right to strike by employees. Awasthi and Maheshwari have expressed the opinion that “the employees should have the right to demonstrate in order to arouse public their redress, and they should have ultimate sanction of a worker to withdraw his labour. It is, thus, argued that there is no valid reason why Government servants should not have all the rights of other employees and the Government the limitations of other employees. A distinction should be made between the State as an employer and the State as sovereign body.”

Sterling D. Spero has advanced following reasons for allowing the Government employees the right to strike:

1. Mere denial of the right to strike will not by itself prevent strikes, if the employees believe their grievances to be so great, as to assume risks.
2. The danger of complicating the otherwise simple problems of employer-employee relations as major issues, calling for drastic discipline and use of repressive methods.
3. The alternative to the vastly enhanced power of expanding government is a free trade union movement.

PA James and V. Bhaskar Rao have also observed that “The experience of the past has amply proved that prohibition of strike was not only unpalatable to the employees, but it was in sense a guarantee that government would be in a position to solve the problems leading to strike adequately.” Equally powerful arguments have been given by those who oppose the right to strike.

According to B. Shiva Rao, “A general strike of Government employees, however, it might be described by its leader, is a political weapon. Its success must mean the collapse of the administration and that no Government can permit.”

Similarly, according the Awasthi and Maheshwari. “A strike by civil servants is a piston

aimed at the very people whom they are supposed to serve.!!

Government employee are already a privileged class. A strike by them, therefore cannot be justified.

Moreover, such militant means of resorting to strike to not behave civil servants.

President Franklin Roosevelt of U.S.A. was of the view, “particularly I want to emphasize my conviction that militant tactics have no place in the functions of any organization of government employees. Upon employees in the Federal Service rests the obligation to serve the show people, whose interests and welfare require orderliness and continuity in the conduct of government activities. The obligation is paramount. Since their own services have to do with the functioning of the government until their demands are satisfied. Such action, looking towards the paralysis of government by those who have sworn to support it, is unthinkable and intolerable.”

The Administrative Reforms Commission (1966-70), set up by the Government of India also recommended: “We wish to record as our considered view that strikes are out of place in government departments. A government servant holds a special position in society in that he is a part of the machinery the administration on whose uninterrupted and efficient functioning depends the wellbeing of society, nay its very survival. In whatever situation he may be functioning, his work and conduct have a direct effect on the people. This places him in a privileged position from which he exercises power and commands respect Society can, therefore, rightly expect of him in return to behave an action of his, in these days, when the effect of Government activities is au pervasive, a stoppage thereof, been it even for a short period, will cause widespread distress to the community. So, whatever grievances a government servant may have, either as an individual or as a member of a group of government servant’s redress must be sought invariably through a suitable machinery for negotiation and in no case through resource to coercive measures that disrupt the smooth functioning of the administration.”

Then we have their view about the strike according to which the strike should not be allowed in public utility and strategic services. However, in other service, the right to strike may be allowed. L.D. White has expressed this view when he said. “A strike that would bring direct, immediate, certain and serious damage to a primary interest of the community should be prohibited by law, with adequate sanctions, but also with adequate means to secure full public consideration and solution of the issues involved. In other cases, the law should remain silent. The criterion of distinction is, therefore, the consequence of a strike upon the public interest,

not the status of the employer.”

There is one more view about the right to strike, that is, if the government and the people want to maintain a peaceful and “no strike philosophy” for the civil servants, it is considered necessary to treat the employees as first class citizens.” Otherwise no amount of strike prohibition is going to be effective.

O. Glenn Stahl has further added that public employees should have a right to expect:

1. An affirmative right to organize and be represented in collective negotiations with government authorities.
2. Pay and benefits to be comparable to those for equivalent employment in the general community.
3. A reasonable method for impartial settlement of grievances.
4. A reasonable method for resolution of disputes that cannot be settled by negotiation, with the final arbitrating authority vested in an impartial governmental body, superior to the administrative entity involved in the dispute,

Right to strike can further be discussed with reference to the position prevalent in the different countries.

United Kingdom

Strike is not prohibited by law in the United Kingdom. If a civil servant goes on a strike, he commits no penal offence. However, a strike is considered as a disciplinary offence and whether a civil servant goes on a strike, a disciplinary action can be taken by the Government according to the gravity of the situation. In actual practice, the civil servants do not frequently go on strike. However, the strikes in coal mines and public transport are more frequent in U.K.

United States of America

Strikes by the civil servants have been prohibited by law. Strike by any employee of the Government by United States of America or any of its agencies or public corporation has been made unlawful by the Labour Management Relations (Taft Harley) Act 1947. This act has imposed following penalties for those who violate the provision by resorting to strike; discharge from employment, forfeiture of civil service status, and ineligibility for re-

employment in government service for three years. Ban on strike has further been made stringent by Public Law 330-48th Congress, enacted in 1955. According to this law “no person shall accept or hold office or employment in the Government in the United States or any agency thereof, including wholly owned Government Corporation, who participate in any strike, or asserts the right to strike against the Government of the United States or such agency, or is a member of an organization of Government employees that asserts the right to such strike.”

India - Position in India is similar to that in the United Kingdom. Like the United Kingdom, strike has both been prohibited by law. It is only a branch of discipline. The Central Civil Service (Conduct) Rules, 1955, now 1964, forbid a Government servant from participating in any demonstration or resorting to any form a strike in connection with any matter pertaining non-industrial staff which is about 30 per cent of the total strength of Central Government employees. No such restriction is applicable to industrial staffs, except those in the Railways, both industrial and non-industrial, which consists of 70 per cent of the total strength of Central Government employees. Similar disciplinary provisions also exist for the State Government employees in the Civil service conduct) Rules framed by the different states for their own public organization employees.

However, because of the frequency of strikes, the damage done the republic property, and public inconvenience caused by the strike, the Government of India have enacted Essential Services Maintenance Act, 1968. This Act has authorised the Government of India to declare any service as essential service, prohibits strikes in essential services, and provide for penalties for persons participating in prohibited strikes or instigating and financing such strikes.

Despite all this, strikes in India have become more frequent and it may not be an exaggeration to say that the strikes have become a way to getting things done in administrations. For this both the Government and the employees are to blame.

Other Countries-Strikes by the civil servants have been declared unlawful by the countries like Australia, Canada, Japan, Switzerland, etc. However, France is the only country in the Western World which allows the right to strike.

11.4 NEGOTIATION, CONSULTATION AND SETTLEMENT OF DISPUTES -

Under the present day circumstances, none of the countries can afford to deny her civil servants to form associations. If the civil servants are to be denied the right to strike and demonstrate against the unjustified service conditions, they have to be provided with a machinery for negotiation, consultation and settlements of disputes. Now we are in an age of participative management.” All the countries are realising the importance of human relations in administration. They are also providing for the negotiations as representatives of the employees for the settlement of service conditions, pay scales, etc. Employees Associations are also consulted for making certain changes in case of any difference of opinion or disputes, there are different types of machineries for the settlement. There are also provisions for compulsory arbitration. We would like to discuss machinery for negotiation, consultation and settlement of disputes as prevalent in many countries

United Kingdom - Employer-Employee relation in the United Kingdom are governed by Whitley Councils established after the name of J.H. Whitley. These councils have been established to have periodical discussions at various levels between the representatives of the government and those of the employees. These councils have been set up with a view to have full co-operation between the official side and the staff side and to provide for a machinery for the redressal of the employee’s grievances. Whitley’s was introduced in U.K. 1919.

Whitley councils were set up at three levels-national departmental, and local. These councils are not hierarchical in nature. These are-independent of one another. The national council deals with all matters affecting the service as a whole. The departmental matters and local councils with local matters and local councils with local matters.

The National Council has total membership of 54 members, 27 from the official side and 27 from the staff side. The official side consists of Heads of Departments, with a few Deputy Heads and Treasury Officers of lower rank. The staff side consists of the representatives major groups of staff associations. The Chairman is from the official side and the Vice-Chairman does not preside. However, a member from the official side presides. There are four Secretaries for the council-two from the official side and two from the staff side.

Similarly, a Departmental Council has both the official and the staff sides. The official side consists of the senior officers of the Department and its Establishment Officers. These official members are appointed by the Minister or by the head of the Department. Head of the Department is usually the Chairman of the Department Council and a member of the

Establishment Division is usually its secretary. The staff side is appointed by the associations represented in the department.

The-procedure of working of Whitley Councils is quite simple. According to the Constitution, the meeting of the National Council “shall be held as often as necessary and not less than once a quarter.” “A special meeting of the Council shall be called by -the Chairman of Vice-Chairman as required”. Much of the business is carried on through committees and, personal contacts. They do not recourse to voting. When a decision is arrived at it becomes generally operative subject to the approval by the Cabinet. Generally, both sides try to reach an agreed decision.

Much has been written in praising the Whitley’s in the United Kingdom. Several countries have admired the British Government for adopting Whitleyism as a device in the area of human relations. According to M.A. Muttalib, “Whitleyism in the civil service is a standing proof of its creative genius in the twentieth century, for it claimed to have promoted a spirit of spirit de cops in administration. Writing about the origin of Whitleyism in U.K. Phiftnr and Presthus have expressed that Whitleyism originated at a time when persons on the official side tended to be rather aloof and uncommunicative with employees, while employers leaders were accustomed to the militant and aggressive towards administration. Information in the working of Whitleyism is the main reason for its success. Official side tries its best to come up-to the expectations of the staff side. Through the Councils have been precluded from discussing the individual cases the official side to discuss individual cases also to satisfy the staff side. This role has been discussed by Douglas Houghton in IS lecture at the Indian Institute of Public Houghton in his lecture at the Indian Institute of Public Administration on December 10, 1957. He has rightly remarked: “It is really a study in human relations in which each side has something to give, each side something to gain.”

1. Despite all the merits, the Whitley Councils has following limitations: The Whitley Councils cannot relieve the Government of any part of its respectability to Parliament. Ministers and the heads of departments have to function and take action in public interest. Heads of department many a time act as the agency for announcing the Government policy and discussing it with the staff side Douglas Houghton has rightly said, “Agreements are not reached and subsequently reported to Ministers. They are authorized by Ministers before they can be reached.”

2. The Whitley Council discusses only small matters called “bread and butter questions”. They do not discuss issues of great importance and thus do not have, an effective share in the administration.

The Civil Service Arbitration Tribunal:

It was set up with the agreement between the official and the staff sides. It comprises of a Chairman and two members. One member drawn from the official side and one from the staff side. The member from the official side is drawn from a panel representing the Chancellor of the Exchequer. The member from the staff side is drawn from a panel representing staff side of the National Whitley Council. The Chairman is a distinguished lawyer. At a hearing the Tribunal comprises of the Chairman and a member drawn from each panel. In case of disagreement, the Chairman has the right to give an umpire’s award. Arbitration is compulsory with regard to pay, hours of work, and leave. Parliament can accept or reject an award of the Tribunal. However, it is rejected only in the rare cases.

Thus, we find a great cooperation and understanding between the official side (representatives of the government in its capacity as employer) and the staff side (representatives of employees) in the British administrative system.

United States of America:

In the United States of America, there is no machinery like the Whitley Council of United Kingdom. No special Institutions have been created for negotiation. However, they have provided many other devices for ascertaining the views of staff association or many Government policies. Whenever, some new programme is to be started or new policy is to be implemented, it is given a wide publicity. The associations are asked to give their opinions on those programmes and policies. The associations express their opinions through their magazines, newspapers.

Employees are also selected to represent interests of different categories of employee groups. They are consulted at a mutually convenient time with regards to many issues.

The employee unions may also affect changes by petitioning congress for the passage of new laws. They may appeal directly to the President or to the heads of executive agencies. They are publicizing view through union journals.

India: The First Pay Commission which also dealt on the machinery negotiating and setting the questions relating to service conditions of the employees submitted its report in 1947. Action of this report was taken in July 1954 when the Home Ministry urged all the ministries to set up staff committees in July 1954. In 1957, the Home Ministry changed the name of Staff Committee to Staff Council. Welfare Offices were also appointed in each Ministry on the British model.

In each Ministry two staff councils were thus set up. A Senior Staff Council was set up for Class II and III employees (now called Grade B and C) a Junior Staff Council for class IV employees (now called Grade D).

On October 10, 1960, the government of India published a scheme to touring the above mentioned Staff Councils in line with the Whitley Councils. It was in October 1966, i.e. six years after the publication of the scheme that the scheme for Joint Consultative Machinery and Compulsory Arbitration was inaugurated.

The Joint Consultative Machinery has the following objectives;

- (a) To promote harmonious relation between the Government and the employees, and
- (b) To increase the efficiency of the public service.

The JCM covers all the regular Class III and IV (Now called Grade C and D) employees of the Central Government including industrial employees working in the departmentally run undertakings like the railways and workshops and production units of various ministries. It does not cover class I and II services! (Now called Grade A and B) and other comparable service whose duties are mainly ministerial and the managerial, administrative and supervisory staff in industrial establishment.

It also does not cover police and railway protection force. The JCM is a three tier machinery established at the national, departmental regional levels. Each tier is completely independent of others in its composition and functioning.

National Council

It is the apex level body. Staff side consists of 25 members and official side has the maximum 'memberships of 60 persons. Appointments are made for the term of three years. The official side is appointed by the Central Government Staff side is nominated by the recognised Staff Associations. distribution of seats is fixed by the Chairman of the Council in consultation

with the recognised Staff Associations. The Cabinet Secretary is the Chairman of the National Council. The Staff Side elects a leader from among its members. The official side and staff side have their own secretaries. It discusses matters like bonus, gratuity, remuneration, dearness allowance, family pension scheme, etc. It general meets once in months.

Department Council - The JCM scheme provides for a Department Council for a department. There can, however, be a single council for the small departments under a Ministry. It deals with all matters relating to the conditions of service and work, welfare of employees, improvement of efficiency, etc. The official side consists of not more than 10 members. They are appointed by the Government. The staff side consists of 20 to 30 members depending upon the total strength of the staff and the number of grades and services in the Department. The staff side is elected at the staff association for a term of 3 years. The Secretary of the Ministry concerned is the Chairman of the Department Council. The staff side selects by a simple majority, one of its members as its leader for a period of one year. He is eligible for re-election. The official and staff sides may each appoint a Secretary or Secretaries from among its representations. The Departmental Councils ordinarily meet once in three or four months. A special meeting may also be called by the Chairman on his own or on the request of either official side or from the leader of the staff side.

Regional and/or Office Councils

These Councils deal with only regional or local matters relating to conditions of work, welfare, improvement of efficiency, etc. The strength of a regional/office council is determined by the size of the staff in a region or office. Official side consists of not more than 5 members and staff side not more than members. The head of the region or office is the Chairman of the Council. The staff side elects its leader for a period of one year and appoints a Secretary from amongst its members. In all other matters, the producers are mostly similar to that of the National and Departmental Councils Working of the JMC.

Through the scheme of JCM, Government of India have provided a machinery for both the official side and the staff side to sit and discuss the problems of mutual interest. It is also a great source of understanding each other's viewpoints. It also provides an opportunity to the staff side to ventilate their grievances.

However, JCM has not been very much successful in India. Following reasons can be attributed for the lack of success of JCM.

1. JCM lacks the spirit of give and take which is the main basis for the success of Whitley's in the U.K.
2. According to V. Bhaskar Rao," it appeared that both the sides had little faith in the philosophy of participative management and industrial democracy to solve the problems by mutual discussion and through negotiation and consultation in a peaceful manner. This could be attributed to the bureaucratic behaviour of official and their socio-psychological and educational back-ground.'"
3. The official side does not many times take the employees into confidence. This is because the civil servants in the upper Technion's of administration still have faith in the traditional employer-employee relationship based on authoritarian tradition of sovereign control and unilateral determination of service conditions.
4. There is a lot of outside interference in the working of trade unions and staff associations Political leaders make effort to use these bodies for their own benefits. Similarly, official side also try to use them. This way purpose of JCM is defended.
5. There is a lack of genuine and effective leadership in the trade unions and staff association. They do have the true trade union spirit. Many a time instead of thinking in terms of making the services efficient and improving service conditions, the leaders work for other ulterior motives.
6. Trade unions and staff associations have become highly politically motivated. Their main aim, perhaps, is striving for the better working conditions of their members. But, in actual practice, a lot of indiscipline and inefficiency has plagued the civil servants which can be attributed to a great extent to these staff associations.

To sum up, there is the need for radical changes in fiscal policies, the administrative structure, the reorientation of the personnel managers and effective cooperation and participation of the employees in administration. Granted this change, there are valid reasons for being optimistic that, in future, it would be possible to maintain harmonious Civil Service staff relation."

Compulsory Arbitration

It is a part of the scheme for Joint Consultative machinery and Compulsory Arbitration for Central Government Employees. Arbitration is done by a Board of Arbitration. This board

consists of three members. one drawn from a panel of the names submitted by the staff side of the National Council and the third, a Chairman, who is an independent. The Chairman and members are selected by the Ministry of Labour. A Board of Arbitration was established in July 1968. Dr. Justice K.N. Wanchoo, Retired Chief Justice of the Supreme Court, was appointed as the Chairman of the Board.

The jurisdiction of the Board is limited to following types of disputes:

(a) pay and allowances, (b) weekly hours of work, and (c) leave of employees. Individual cases are not subject to compulsory arbitration. A matter is referred to arbitration when the official and staff sides fail to reach agreements on the grievance of the employees in the meetings of the National Councils. Generally, the Board gives unanimous award. However, if the members of the Board disagree, the Chairman makes an umpire's award, but such a situation has not arisen so far.

Employees have been benefited by the awards of arbitration. However, the utility of arbitration according to Bhaskar Rao has been limited because of the following reasons.

Firstly, the jurisdiction of the arbitration is limited. Second, all matters are not arbitrable. Matters which are not arbitrable are decided through Joint Consultation between official and staff sides. Third, the government may regard certain matters, as matters of national importance or public policy. The government may reject arbitration of such matters. Finally, government appoints commission of such commission are not subject to arbitration for a period of five years.

11.5 Employer-Employee Relations in U.K. and India

The British industries were begin continually plagued by labour trouble during the First Great War (1914-1918). Troubled by industrial unrest at such critical time in the country's history the British Government set up, in October 1916, a sub-committee of 'the Reconstruction Committee to examine the subject of the relations between employers and employees. The chairman of this sub-committee was J.H. Whitley-a Member of Parliament. This Committee recommended (in its Report finalised in 1917) that in each industry there should be constituted a national Joint Standing Industrial Council composed of representatives from the employees and the employed. To reinforce the representatives defectiveness it further recommended the establishment of local and works organisation at-lower level of industry.

This structure was designed to settle the general principles governing the conditions of employment of works including the methods of fixing, paying, and readjusting wages.

The Whitley Report recommended, among other things, the following functions to be performed by these representative bodies:

1. Better utilisation of practical knowledge and experience of the working people.
2. Means for securing to the work-people a greater share in and responsibility for the determination and observance of the conditions under which their work is carried on.
3. Settlement of general principles governing the conditions of employment, including the methods of fixing paying and readjusting wages.
4. Technical Education and training
5. Improvement of processes, machinery and organisation, and appropriate questions relating to management and the examination of industrial experiments, with special references to cooperative in carrying new ideas into effect and full consideration of the work people's point of view in relation to them, and
6. Proposed legislation effecting the industry. Apparently, this report was originally meant for the private industry. Contrary to the expectation of the government the civil service clerical Alliance (a staff association of the time representing over 1,50,000 civil servants) and shortly afterwards the civil servants) Federation (representing over 1,25,000 civil servants) demanded application of the Whitley principles to the government servants.

But the chancellor of the exchequer who dealt with questions concerning the civil service did not regard the civil service as an 'industry and therefore ruled out the application of the Whitley Report to the field of Public Administration. The ambiguity was, however, resolved when another report from Whitley's sub-committee (submitted in October 1917) clarified the position by observing: "In considering the scope of the matters referred to us we have formed the opinion that the expression employers and workmen' in our reference covers state and municipal authorities and persons employed by them". Consequently, by December 1917 he Chancellor of the Exchequer was heard saying in reply to a parliamentary interpellation that "the Government fully realises the importance of its setting an example in this matter.

But a lot of further work was necessary before this 'example' could acquire a recognisable shape. In May, 1918 the government constituted an inter-departmental committee under the chairmanship of the then Minister of Labour GH. Roberts to examine this question further in consultation with J.H. Whitley. Reporting in October 1918 the Roberts Committee recommended constitution of Joint Industrial Councils for industrial civil servants and as a result in 1919 these bodies having a consultative role were set up. But the administrative Departments of the Government manned by the non-industrial civil service were yet without an institutional negotiating machinery.

In October 1918 the Roberts Committee formed a sub-committee under the chairmanship of Sir Thomas Health the then Joint Parliamentary Secretary of the Treasury to consider whether the Whitley councils could be set up for this committee submitted its report in March 1919 and recommended that there should be constituted a national Joint Council for the whole of the Administrative Departments, Departmental Joint Committees for individual Departments, District Joint Committees and Sectional Committee for lower levels. It suggested that all these bodies should perform functions of a purely advisory and consultative nature.

A provisional Joint Committee consisting of 15 officials representatives from the Civil Service Associations was constituted by the Chancellor of the Exchequer to consider both the Whitley Report and the Health Report, on 28 May 1919 the provisional Joint Committee submitted its own Report which is verify the constitution of the Whitley Councils as we know them today. This Report recommended the setting up of the Civil Service Whitley Council, Departmental Whitley Councils, and District audit office or works committees. On 3 July 1919 the schemes visualised in this Report became operative.

The Whitley system as it functions in the British Government is their tiered arrangement of consultation and negotiation between what are called official side and the staff side although and this is important to bear in mind the two higher tiers are absolutely independent of each other. These are the Civil Service National Whitley or Regional Committees. Each of these bodies is discussed in what follows.

The Civil Service National Whitley Council (NWC)

The National Whitley Council comprises 54 members; half of them represent the employer, i.e., the Government (called the official side) and the other half the employees, namely, the civil servants (called the staff side). The permanent secretary in the Civil Service Department, who is the head of the Home Civil Service and the senior-most Civil Service and the senior-

most Civil servant in the land, is the chairman of the council. It has a Vice Chairman also who, as a rule, is drawn meetings of the National Whitley Council; in his absence another member of the Official Side usually, nominated by the chairman presides. But the Vice-Chairman never presides. The council has 4 secretaries two of which are appointed by each side.

The members from the official side are the Permanent Secretaries of the large Departments as well as senior civil servants of the Civil Service Department. They are all nominated by the Chairman. During 1922-1930 three members of Parliament used to sit on the official side but this experiment was not a success. Invariably, the MPs viewed the Civil Service problems from the political angle and, therefore, this practice was discontinued on the Recommendation of the Royal Commission on the Civil Service (1929-31). Those on the Staff Side are annually elected by the staff associations and are generally, but not invariably, full-time staff association officials financed by membership subscription. The distribution of seats among the several staff associations is decided by mutual agreement.

It is the considered policy of the Government to encourage the members of the Civil Service to join staff associations appropriate to their grades and nature of work although membership is not compulsory. The staff associations in the British Civil Service are hierarchical in their social composition representing definite cluster of the administrative hierarchy of levels in the civil service.

The National Whitley Council discusses matters concerning more than one Department and general problems affecting the civil service-e.g. Pay, recruitment, promotion, hours of work, allowances for travelling and conditions of service. Discussion of individual cases is forbidden. Its functions as set down in its constitution are:

1. Provision of the best means for utilizing the ideas and experience of the staff
2. Mean for securing to the staff a greater share in and responsibility for the determination and observance of the conditions under which their duties are carried out;
3. Determination of the general principles governing conditions of service, e.g., tenure remuneration and superannuation.
4. The encouragement of the further education of civil servants and their training in higher administration and organisation.

5. The improvement of office machinery and organisation and the provision of opportunities for the full consideration of suggestions by the staff on this subject.
6. Consideration of proposed legislation so far as it has to do with the position of civil servants in relation to their employment.

It needs to be noted that the Whitley Council recognises the 'sides' only and not the individual members composing them. The agreement has to be reached between the two sides of the Council as such and not as individual members. This stipulation encourages the two sides to meet separately in advance of the council meeting and to devise common solutions.

As stated earlier, the staff sides of the civil service National Whitley Council today mostly consists of full-time staff association officials. This is a relatively new trend in the history of staff association in the British Civil Service. These officials receive their salaries from their respective staff associations and are often recruited from outside. They are Trade Union Congress. The existence of full-time paid officials in the staff side makes for outside trade union movement gives it a staff association have in the process come to what remote from the rank and file. The organisations, particularly the one that has to negotiate with the most formidable bureaucracy the Government.

The 'Constitution of the National Whitley Council provides for its quarterly meetings. But the full council now practically never meets once in a year in a cocktail party. This practice dates back to the year 1939 at the outbreak of the Second World War, when transaction of business in smaller committees and in an informal way come into vogue and indeed was found to be more functional. Since, then, and now more so, the civil service National Whitley Council verify functions through Committees constituted to discuss and take decisions on individual subjects of large importance.

A committee consists of one or more members usually belonging to the civil service Department itself of the official side-nominated by the councils chairman and some members of the staff side nominated by the Vice-Chairman. But its members may even be taken from outside. Thus, depicting flexibility in its approach, As is the case with the council the committee is presided over by a member of the official side to be important matters an official, preferably the Permanent Establishment Office, of the Civil Service Department and a member of the Staff Side conduct negotiations and arrive at agreed decisions. But all such decisions become operative only after their confirmation by the chairman and vice-chairman.

Departmental Whitley Council

Each major Government Development has a Department Whitley Council (DWC) It is consulted on the well-known principle of parity representation of both the two sides officials and staff-the head of the official side being its chairman. The 'Constitution of a Departmental Whitley Council is required to be verified by the higher body (DWC), Beyond this there is very little formal contact between the two functioning layers of representation. The act as two completely separate and distinct bodies. This arrangement keeps the concept of ministerial responsibility intact. However, the common nature of many problems of application and, even more so, an inevitable inter-looking of membership-a result of the representation of some staff association at the two levels - tend to keep both the levels emotionally closer.

The official side of the Departmental Whitley Council is appointed by the permanent secretary of the concerned Department. It generally includes the Second Permanent Secretary (if there is one as in the Civil Service Department) the Establishment Officer of the Department and a number of Deputy Secretaries and other senior Officers belonging to that Department only. The staff side is appointed by staff associations having members in that Department. But these members representing the staff side are not full time workers of the staff associations-as is, generally the case with the National Whitley Council. The Permanent Secretary of the Department is the Chairman of the Department Whitley council and the vice-chairman is from the Staff Side.

The Department Whitley Council provides the machinery for redressing employees' grievances relating to conditions of service within the Department. It is also for promoting an identify of outlook between the administration in its capacity as employer and the general body of the staff in matter affecting the Department. The Departmental Whitley Council remains seized with matters relating to the Civil Service which are within the competence of the Department concerned - as hours of attendance, training, pay arrangements, employees' welfare, and the general principles governing promotion. Like its prototype at the national level the Departmental Whitley Council is precluded from discussing individual cases; otherwise its terms of reference are flexibly interpreted. For instance, it discusses proposal involving organizational changes, dispersal of office, and the like. According to the Model Constitution for a Departmental Whitley Council its functions include the following.

1. Provision of the best means for utilizing the ideas and experience of the staff.

2. Means for securing to the staff a greater share in and responsibility for the determination and observance of the conditions under which their duties are carried out.
3. Determination of the general principle governing the conditions of service, e.g. recruitment, hours, tenure, and remuneration in so far as these matters are peculiar to members of the staff of the Department.
4. The encouragement of the further education of the staff, and their training in higher administration and organisation.
5. Improvement of office machinery and organisation and the provision of opportunities for the full consideration of suggestions by the staff on this subject.
6. The consideration of proposed legislation so far as it has a bearing upon the position of members of the staff in relation to their employment in the Department.
7. The discussion of the general principles governing superannuation and their application to the members of the staff in the Department
8. Discussion of any promotion in regard to which it is represented by the staff side that the principles of promotion accepted by or with sanction of the National Council have been violated, and
9. Discussion of any case in which disciplinary action has been taken if it is represented by the staff side that such a course is desirable.

The Departmental Whitley Council does not meet too often and the work falling within its jurisdiction is carried out informally and through its sub-committees which may be both of a standing and an ad hoc nature. As a rule, these are joint ones consisting representatives of both the sides and each agreed decision that are then formally signed by the chairman and vice-chairman, reported to the head of Department and there upon become operative. One may expect about 50 each committee in existence at a particular movement of time. On smaller problems informal negotiations are conducted between the establishment officer, who is the head of the Personnel Division of the Department and the staff side. Indeed, the relationship between the Departmental Whitley council and the Establishment Office is close, intimate and continuous

District or Regional Committee

Most of the larger Departments have regional, local, or office committees covering their staffs in particular town or offices for discussion of matters of purely local concern or applicability. For instance, the department of Health and Social security has its Whitley Committees at the regional as well as the local office levels. These committees are completely subordinate to the Departmental Whitley Council concerted

The official side represents the employer, namely the state. Obviously, the official members in the Whitley Councils are expected to keep themselves in touch. With the Ministers' wishes and on important matters involving additional-expenditure advance of the meeting with the staff side. These are, of course, all internal arrangements, not publicly.

Civil Service Arbitration Tribunal

The Whitley system calls for arrangements on both the sides. But what happens when the two sides agree to disagree/Disagreements can be referred to the Civil Service Arbitration Tribunal Whose awards are put into operation by the Government.

11.6 CONCLUSION

A question whether the introduction of the Whitley Councils in the British Public Administration was premature is sometimes raised. By 1919, the year of the introductions of this negotiating agreement, the staff association in the British Civil Service had become firmly established and bulk of the Government employees had become organised in one association or the other. Reinforced by the return of some personnel from the war, these Associations had also developed a reasonable high degree of negotiating skill. The treasury too was a slightly mature organisation capable of fielding an official side which could be depended upon to protect cultivated the skill of being firm without being rigid in matters of negotiation. All taken together the background to rise up to the demands of the Whitley machinery and make it a success.

11.7 SELF CHECK EXERCISE

- a. Right to Form an Association and Right to Strike.
- b. The Settlement of Dispute between employer and employee.

11.8 GLOSSARY

Right to Organise : Public organisation in many countries have formed their association.

Whitley Council in UK : Employees-Employer relation in UK are governed by Whitley

Council after the name of J.H. Whitley.

11.9 ANSWER TO SELF CHECK EXERCISE

To see

a 11.2, 11.3

b. 11.4

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11.10 TERMINAL QUESTIONS

(1) What do you know by Employer and Employees Relationship? Discuss the negotiating machinery to settle the dispute between employees and employers relationship.

UNIT-12

PROBLEM OF GENERALIST AND SPECIALIST IN INDIA AND UK. INTEGRITY IN CIVIL SERVICES. ADMINISTRATIVE REFORMS SINCE 1947 IN INDIA: A.D. GORWALA AND PAUL H. APPLEBY RECOMMENDATION ABOUT INDIAN PERSONNEL SYSTEM. NORTHOCOTE TREVELYN AND FULTON COMMITTEE

Structure

12.0 Learning Objective

12.1 Introduction

12.2 Who are the Specialists?

12.3 Generalist and Specialist in UK

12.4 Generalist and Specialist in India

12.5 Integrity of Civil Service in India, Corruption

12.6 Administrative Reforms in India since 1947

12.7 Recommendations of A.D. Gorwala, Paul Appleby and Fulton Committee on Indian Administrative System

12.8 Summary

12.9 Self Check Exercise

12.10 Glossary

12.11 Answer to Self-Check Exercise

12.12 References/Suggested Readings

12.13 Terminal Questions

12.0 LEARNING OBJECTIVE:

After studying this lesson, the student will be able to know

- Concept and meaning of Generalist and Specialist
- The position of Generalist and Specialist in UK
- Integrity of Civil Services
- Corruption and administrative machinery to curb the corruption

12.1 INTRODUCTION

Who is Generalist:

An administrator who gets into an organisation without having received education and or training only one area of human activity and its administration but gets into service because of his general intel excellence and academic superiority over others in the fields of general knowledge, a foreign language case of India English because Indians are still fooled of the English about superiority of their mother tongue) and one or two subjects out of a long list of subjects (not less than 56), Such a recruit is generalist, who has least knowledge of administration or management but must excel in two out of the fifty is or so odd subjects.. This is how Indians initiate concept of generalist administrators from their whole British masters even today, 45 years of independence, Indians are the best aping-genius of the whole world.

12.2 WHO ARE SPECIALISTS?

Specialists are those persons, who are recruited on the basis of their pre-entry qualification to the services. By specialist, is generally meant a person, who has special knowledge or skill in a specific field. Specialized services are called functional services, which include a technical function for which pre-entry qualification is required. The specialists are supposed to know more and more about less and less.

The role of professional has remained, largely subordinate to that of the administrator, he is regarded primarily as an adviser which it comes to responsibility for policy-determination.

12.3 GENERALISTS IN GREAT BRITAIN

Generalists are these person recruited on the basis of their general educational background, irrespective of the subject studied in the universities. The generalists services again fall into two groups. The first group consists of the generalist administrative services which do not have any well defined functional area, or in other words have to perform diverse types of functional area, or in other words have to perform diverse types of functions. This category does not include any background experience of the field in which one is recruited. The second group consists of functional services. In this category, however, a person is appointed on the basis of general qualifications but his functions are confined to some specific areas and each area has its own well defined functions.

Administrative Trainees belonging to the generalist services in U.K. advance in their career, by acquiring diverse nature of experience, a breadth of vision and outlook, a capacity to coordinate and synthesize mutually conflicting approaches and an understanding of socio-

economical and political environment. Since the functional generalist services operate within their specialized areas, their roles in administration in many ways are comparable with that of the specialists, but, they can be distinguished from the latter on the basis of recruitment which is their pre-entry professional qualification.

Acceptability of Generalists Among Public Administration Academic:

There is, appears, some acceptability among the academic of Public Administration “generalists”. There is also a wide consensus on the concept of administrators as generalists rather than specialists. This concept is particularly applicable to the higher level administrators, whose responsibilities usually include the coordination of the work of many specialists or experts. It may also be applied to other demonstrators as well-albeit in a more limited sense”.

Generalists acceptability generally depends upon social philosophies of a country of the ‘mind’ i.e. the top intellectuals and their values and philosophy. It is seen that intellectuals U.K. have not analysed in depth the “damage” which a generalist service is doing to their country. An intellectual generalist is not worse but at the same time it is not the best. It is time for the British intellectual to need to the advice of Fulton. Once the British discard generalist administrators, the Indian will also follow suit because Indian politician and a hureaucrat is imitator.

In a Report on the Indian Civil Service submitted in 1854 by Lord Macaulay, Ashburton, Melvil, Swett and Lefevere had advocated “gentlemen” type of civil service.

“The duties of a civil servant of the East India Company are of so high a nature that in his case it is peculiarly desirable that an excellent general education, such as may enlarge and strengthen his understanding should precede the special education which must qualify him to dispatch the business of his butchery.”

F.F. Ridley had edited a volume on generalists and specialists in which the role of public bureaucracies of U.K.; Australia, France, West Germany Sweden and United States were studied in relation to professionals’.

FF. Ridley had noted that “none of the countries have anything like air Administrative Class, generalists in functions and generalists in background. Recruitment to the higher Civil Service on the basis of an entirely non-vocational education is rare. It is true that in most continental European countries, there are administrators who are not specialists professionals

in our sense and who in the European context, can be described as all- purpose administrative. In each case however they have legal training directed to their work administration in Administrative Law Countries has a higher legal context than in Britain). They are no exception to the finding that higher civil servants are generally recruited for qualification and or experience related in some way to their duties.

Most foreign civil servants would therefore be surprised at our pre-occupation with the rival merits of generalists and specialists. All of them can be regarded as specialists of one kind or another, their knowledge and training related to-the kind of work they do.

The nation that a man who has done well at Cherokee is if so facts likely to make a good civil servant is not found elsewhere.

(2) Even where the higher Civil Service contains generalists jurists as well as specialist professionals, this reflects to theory about the organization of-government work. There is no structural separation of specialist or advisory work from general administration (policy-making/management). Indeed, it is most unusual for any distinction to be drawn between the nature of the unusual for any distinction to be drawn between the nature of the work involved in policy-making and in other. One rarely finds abroad the parallel hierarchies of administrators and specialists common requires specialized knowledge then, it is likely to be put charge of a professional official with the appropriate training and experience. He will take responsibility for whatever policy question arise. Ministries are usually organized on the assumption that it is impossible to distinguish technical and advisory functions from general administration; they are not structural to separate advisory staff or advisory functions.

“Indeed, there is difficulty abroad In understanding the importance of advisory posts in the British Scheme of things. It is generally assumed of men in senior positions that their specialized knowledge will not merely contribute to good administration but that it will also enable them to give the best advice to their political superiors.”

The most unfortunate aspect of British model which I dare call a “Fusion-Model” Le. fusing generalist services with specialists could not be adapted by the Indians. Indian bureaucrats are known all the world over to be silent imitations but in so far as the sharing of bureaucratic power, they are niggardly miser and orthodox Indian generalist services cannot be reformed unless our political leader is sufficiently educated to be capable to understand after-all what this Fusion-Model is and how does it operate is Great Britain? Sooner they learn better it will be. It is political elite which has to encourage specialists’ greater say in administration.

Specialists or Professionalisms in Great Britain

‘Specialists, as we have already defined are those experts who have acquired special knowledge about specific category of tasks, functions or jobs. These professionals are scientists, technicians, auditors, computer specialists and -other people like doctors, engineers etc.

“About 25 per cent of the non-industrial civil service are professional scientific or technical staff; who are generally known as specialists. The range of officials included with in this term is extremely wide. Some, such as doctors, architects and lawyers, are member of established professions which have their own regulatory bodies which control entry to the profession and enforce certain standards of conduct. Others such as economists and statisticians have high level qualifications but do not enjoy formal professional status

Professionalisms are now being consulted quite often in British Administration. The initial stages “specialists” were regarded as “outcast” by generalists, but now gradually, specialists’ acceptability in British Administration has increased. Reason being the changing nature of modern administration. Generalists, is totally unsuitable for most of the modern state functions which are in continuous state of change. The more the mans or group’s life becomes complex, the move becomes the functions of modern state different cumbersome and technical. In such a state of affairs to cling to Macaulayan concept of generalist service is not only ridiculous but languorously hazardous. As the British have understood need, necessity and desirability to impure performance of their administrative system by reforming the treatise, character of their bureaucratic system we earnestly hope Indian mind would also accept the hard reality and absorb as quickly as possible the specialists and professionalism into the generalist cadres.

The latest developments in the character of Indian generalist service is interesting. We find many engineers and medicos are entering the competitive services. It is in no way a replica of Fusion Model of Britain, Indian Syllabus-makers of IAS. competitive examination has included as many as 27 different subjects which is too large a number. It is of no use of require a statistician or a Mathematician to complete with a student of Sociology or Political Sciences we find that students of engineering and medicines etc. Which are highly scoring subjects do normally better as compared to students offering Social Science subjects, Indians should adopt French method and German technique to groom our future administrators. In our opinion, some 16 to 18 specialized areas of administration need to be carved out and

entrance test in these 18 different subjects need to be conducted separately rather than a single test for all such pooled officers need to be appointed after training in their respective areas of specialization for first 20 years of service and then may enter the common pool by virtue of seniority of serve the Union Governmental bearing they're to 12 years to retirement.

12.4 GENERALISTS IN INDIAN ADMINISTRATION SYSTEM:

Generalist in India do not have to specialize in the disciplines of Public Administration, Policy-Making or Budgeting. It is not essential for the term to be specialists in planning or project formulation etc. They are neither expected to qualify law, economics and politics, which is a necessary condition of service in some other countries. In India, the basic, eligibility degree is simple graduation. The generalists on which the present structure of Civil Services is base was summed up by Lord Macaulay, which states that the personnel belonging to the generalist services are capable of performing all types of functions conferred on them. It is the 'gifted amateur theory on which the existing entrance examinations to the generalist class is still based. It advocates that a general qualification is more important to fit a man to understand the complex problems of the administration than the narrow training. It is the natural intellect and ability which counts in the performance of administrators rather than the technical expertise.

It may be correct to say that generalist when trained in specialized areas is better than a specialist who develops a narrow vision, outlook and opinion. A generalist develops a knack of dealing with any problem. Influenced diverse types of important functions like policy making-and execution as well as indulge in caution and advice to ministers.

The history of Indian Civil Services (pre-47 period) informs us that civil services were designed on British model, i.e. "generalist-type", where are leadership roles in administration at all levels of governmental were the reserve of I.C.S.

The existing structure of civil services is influenced by the Northcote-Trevelyan Report on the Organisation of Permanent Civil Services in Britain (1853-54). According to the report, the generalist services should be manned by the most promising young-men, who are to be given the most important functions like policy-making and policy-execution.

After independence, the civil services signed successfully won over the heads of its bitterest possible critics in pre-independence days in J.L. Nehru and Sardar Patel With their dedication, sense of purpose and in some cases "Loyalty", the turned their enemies into well-

wishers. The old theory of generalists was not only continued but even strengthened further. The generalists were at the helm of the affairs, who held very important governmental positions as compared to specialists. In nut-shell we can say that after independence the structure of civil service in India was not allowed by strong pressure group of IASs. Officers to be changed. It continued in its old form. The specialists clamoured at little later stage and now it appears the conflict between generalists and the specialists has become perhaps the “Knottiest internal problem of the day in the civil services.

Specialists in Indian Administration System

The specialists are grouped into sixteen civil services. Apart from these, some of the employees who are not grouped into an organized service are included in what is called the Generally Secretariat Service, The specialist services are the following:

1. Archaeological Service.
2. Botanical Survey of India
3. Central Electrical Engineering Service.
4. Central Engineering Service.
5. Central Health Service
6. Central Legal Service.
7. Central Revenue Service
8. Geological Survey of India.
9. Indian Economic Service.
10. Industrial Meteorological Service.
11. Indian Statistical Service.
12. Overseas Communication Service.
13. Survey of India.
14. Telegraph Traffic Service.
15. Telegraph Engineering Service.
16. Zoological Survey of India.

Specialists are those who are recruited to the civil service on the basis of their specialist qualifications. The specialist services and non-technical civil services have joined hands against generalist service. In 1970, the All India Confederation of Central Government Officers' Association. This is the premier institution to spearhead the cause of specialists and non-technical civil services. Specialist services had represented to Second Pay Commission that they should be appointed to administrative and Secretariat posts.

12.5 COMPARING GENERALIST AND SPECIALISTS IN UK AND INDIA

Before Fulton, the administrative class or the top bureaucrats in Great Britain were all "generalists". After the submission of Fulton Committee Report, a new thinking had emerged that: "for the performance of highly technical function even in matters of policy-decisions requiring specialized knowledge of technical nature, a generalist-administrator, i.e. administrator required on the basis of general academic and intellectual excellence is usefully inadequate and highly incompetent"- Professor RD, Sharma.

As stated above by us, the Fulton-Message was clear, the competitive services could not perform the tasks of 20th Century, England. The Twentieth Century state has gone far ahead of Macaulay's day when state was nothing short of a law and order state. Now-a-days state is more than a Welfare State.

Fulton emphasised that the claim of generalist civil servant to be specialist in all fields of administration is hardly acceptable and tenable and the criticism of a specialist to be competent of a restricted or limited area and hence of fractional utility is not acceptable and valid.

In Great Britain, the Government has found a "new method" of making use of service of specialists and holding them responsible and accountable in case of posts requiring policy-decisions.

In UK conflict resolution was possible when in certain departments of technical nature specialists have now acquired credibility with the political administrators. Credibility and acceptability of specialists in policy-position is a great victory for specialists. This system is still discretionary. It has not been accepted as a matter of 'right'. Specialists even today, can't claim parity of pay-scales as well as equal status in administrative hierarchy.

The position in India is even worst, Indians have not yet found it appropriate to associate “specialists” in policy-making position. The generalists-specialists controversy is at its peak these days. The LA.S. is highly dominating. Even sometimes the top political executive becomes scared of top heavy administrative at the Union-Level. Indira ji had once shaken the whole administrative super-structure out of its self-imposed “superiority” but not all Prime Ministers are Indira Gandhi. The political executive as well as the technocrats are both marked b much stronger LA.S. Lobby in Indian Administration both at the Union as well as at State governments.

Problems of Generalists and Specialists in U.K.

The Civil Service was based on the philosophy of the generalist-administrator. In its turn these police “reflected the generally accepted principle in its country (i.e. Great Britain) that non-specialists should take the major policy decisions on behalf of the community as a whole. The Administrative class was the institutionalisation of this cult. The administrative class was Great Britain’s elite service and as a rule, its members occupied all senior posts in the Government. According to this logic, the best administrator was supposed to be a gifted layman who moved from one job to another at frequent intervals and took decision on the basis of his knowledge and experience of the machinery of government, irrespective of the available substantive knowledge in the concerned subject. This view, as the Fulton Committee most emphasised, “is absolute at all levels and in-all parts of the service.

Secondly the civil service consisted of various services, called classes in Great Britain, each of which functioned more or less as a completely separate entity. The original nineteenth century classification of civil service in to “higher’ or ‘first’ division, consisting of graduates from oxford and Cambridge Universities, and that of the ‘lower’ division comprising clerks recruited through a test of reading, writing and arithmetic, expanded in course of time into administrative class of senior civil servants, the Executive Class (of middle managers) and the clerical class.

In addition, separate classes were created on the basis of occupations or of professional qualifications All these classes became so rigid and jealous of their jurisdictions that every job in Public Administration fell in one class or the other, and movement of persons between them was rare. A person; was recruited to a particular class which determined all his future career prospects Such a classification of the civil service has an analogy in the existing

organisation of the civil service in India where both Central and the State Civil Service is divided into a number of separate services.

The specialists employed in the Government generally remained deprived of authority that was commensurate with their responsibility and of opportunities of advancement. They were dependent on the generalist administrators in a variety of ways and, consequently, were made to operate, more or less, on the administrative periphery. In total the administrative system was unhelpful to the over-expanding number of specialists in public administrations in the pursuit of their specialism

The centre of gravity in the British Civil Service has been the generalist administrator, with specialists playing a supportive and subordinate role. As a result, the access of specialists to higher management and policy-making posts within movement departments has been restricted. It is well known that the rationale of preserving the dominance of the generalist has been a subject of continuing debate. The Fulton Committee had favoured a more prominent role for the specialist. In central Bureaucracies of most other Western Countries, the specialist is respectively more dominant. In France for example, the specialist technician is a member of an administrative elite. Key posts in the France Ministry of Transport are occupied by engineers. In Australia, professionals enjoy a higher status and salary than the generalists do and, some posts, like those of the Head of the Departments of Health and Works, are reserved for specialists. In United States, scientists and engineers occupy a higher proportion of senior posts. Besides, the American Congressional Committee give greater weightage to specialist heads of bureau than to the generalists. Likewise, the compulsion of economic development in Canada, New Zealand and Russia has accorded the specialists top administrative positions in these countries.

12.5 INTEGRITY OF CIVIL SERVICE IN INDIA AND CORRUPTION

Administrative Machinery for Combating Corruption.

As it is said by some great scholar that power corrupts an absolute power corrupts absolutely appears to be correct even in present day. Corruption has been a primary concern of all systems of governance at all countries.

Corruption has been defined as the use of public power for private profit/gain in a way that constitutes breach of law and as dishonestly and illegal behaviour in position of authority and

power. In other words, it implies, the exploitation of one's official position for one's own interest at the cost of public good.

The Santhanam Committee gives an interesting twist to the definition of corruption in public system, Any action or failure to take action sin the permanence of duty by the government servant for some advantage is corruption. Thus, the scope of a corrupt activities expanded by including within its ambit action as well as non-action, though the motivation in both the cases is similar.

- I. misuse of official position/authority,
- ii. deviation from rules, laws and norms
- iii. non-action when action is required;
- iv, personal gain for selfish motives;
- v, monetary or non-monetary forms, and
- vi. harm to public good.

It is commonly accepted that corruption is dysfunctional to the system of governance corruption to society as a whole. If promotes illegality, unthematic, subjectivity, inequity, injustice, waste, inefficiency and inconsistency in administrative conduct and behaviour. In addition, it eroded the faith of the common man in the legitimacy of politico-administrative system and eventually saps the idealism of those in public service and destroys the moral fabric of society.

There is counter view that corruption may indeed be in functional in certain situation. Samuel Huntertown observers that corruption may help in assimilating new groups in the system and this serves as a substitute for government. Myron Weiner seeds corruption reducing the rigidities of bureaucracy and working it relatively flexible. And of course, there is the functional view that the beneficiary, of a corrupt activity would find it "useful". But these views have limited currency and acceptance. Indira Gandhi had one remarked that corruption was a global phenomenon. She was right, thought universalism of corruption should not be taken as universalism of corruption should not be taken as an excuse for complacency in combating it.

There are numerous references to the prevalence of official corruption in ancient India. But the most elaborate reference, service seems to be Kautilya's Arthashastra. Kautilya believes

that despite greatest care taken in recruiting officials there would be some who would turn out to be corrupt. It is inevitable Kautilya observes for those who are employed in Revenue administration positions to indulge in direct or indirect corruption. Moreover, it is always a problem to identify the corrupt.

Kautilya identifies 40 different types of embezzlement including bribery, graft, favouritism, frauds, manipulation of prices of commodities, inflation in the salaries paid, theft in different departments of the movement etc. He says that corruption courses misuse of movement treasury, administrative inefficiency and destruction on the pain of rational development. Hence strict discipline is a prerequisite to curbing corruption and consequently, revert punishment must be meted out to the corrupt officials. Ashoka, who tried to apply kautilya's principles of governance in his administration, emphasised speedy dispatch of business. This must have minimized corruption in his regime.

In medieval Indian corruption was rife during the sultante and Mughal periods. The invention of *Vakshish* as a practice of rewarding a government employee even for routine tasks & favours legitimized corruption in the Mughal era. In the Post-Akbar period; the civil service became lightly corrupt. The tradition of corruption of this period was inherited by the East India Co. When the Co. expanded its officials arrassed wealth as well as power. Even one Governor General of India, Warren Hastings, was un-preached in Britain for his misdeeds in India.

Just before the end to the century almost every servant of the co. was involved in scandals. Low salaries of the co-officials proved an alibi for corruption. Accepting commission on Government purchases, construction and contracts in a routine manner an almost formalized dishonestly, It was towards, the end of 18th century that a concern for integrity was shown by the leadership of East Indian Co. Yet corruption continued in certain pockets of Government, during entire British rule.

During the second World War, scarcity of commodities led to strict control which in turn, provided a -further fill up to corruption. The environment of corruption affected even the prime political party of the country The Indian National Congress. Gandhiji reported by mentioned in the "*Harijan*" that the congress was fast becoming a corrupt organization in the sense that its registers contained a very larger number of bogus members. Bose however, did not think that the INC was ethically inferior to the parties in Europe, he nevertheless thought a call for further sacrifice and suffering alone would serve as a proper antidote to corruption

and life the nation to a higher ethical plane. But as time proved later, this spirit of sacrifice was not to last long.

India since Independence - The Chaotic conditions on the country following the partition, the massive refugee problem, the process of integration of the princely states, the Kashmir War and other cataclysm provided enormous opportunities, among other things for corruption. The development process started after independence, the industrial Policy Resolution of 1948, the licence permit quota raj, all augmented the scope for corruption. The seriousness of the situation in the initial years of independence can be gained from the warning contained in the official document of the First Five Year Plan which stressed that there must be continuous war against every species of corruption within the administration as well as public life.

The society evolving in India since independence accorded primary to lust for money and power. Small a series of scandals have beleaguered the Indian governance system. The jeep scandal, the LIC scandal, the massive corruption in Orissa, J&K, Punjab and other states, the Bofors case, the stock scam, the sugar scandal, and the Telecom Scandal-all have tarnished the image of the governance system in India. The political, criminal nexus, electoral corruption, land mafia, overflowing black money-there and other phenomenon have become so pervasive that any fresh case involving colossal corruption does not even rouse the conscience of most Indians in their destiny. As per the study conducted by the National Institute of Public Finance & Policy, it was estimated that in 1983-84, black money to the extent of 21% of the GDP, was in circulation in the Indian economy. One of the main causes of this pervasive place economy was the grabbing by corruption leaders, officials and contractors of a big chunk of funds meant for construction and development. They collect this money as if it was accruing from their "private tax" today corruption has become a multi-level phenomenon from top to bottom, all the layers of government, seem to be involved in corrupt practices. Even in Panchayati Raj, municipalities & DRDA, cases of corruption are multitudinous.

The central Vigilance Commission in its report has identified more than thirty modes of corruption. But this listing incomplete out mode, Favouritism, nepotism speed money, bribes commission, Ent gifts are only a few forms. In purchases sales, licensing & issuing permits, quotas and contracts, corruption takes protean forms. The transfer industry in govt, in perhaps the most flourishing enterprises.

Sources of Corruption: The most significant factor promoting a culture of corruption is the discernible erosion of moral ethical values in public life as consequence of growing materialism & consumerism in the wake of westernisation, industrialization and urbanization. Obviously the forces of morality, including the Gandhian principles of ethical life, have been too superficial to penetrate the psyche of an Indian so as to influence his conduct wealth and power has been instrumental in corrupting public life. What has further worsened the situation is the social respect shown to the rich and the powerful, irrespective of their sources of wealth and power:

The expansion of role of the state in the economic system and the existences of democratic elections have been too crucial factors in equipping national and state politicians with considerable power and clout. In fact, the critical originating point of corruption in public life has been the political system, more particularly the members of the political executive (ministers) who enjoy substantial immunity from public accountability. In a parliamentary form of government, the majority enjoyed by the ruling party provides immense protection for its members who form the council of ministers. The impact of almost unrestrained political follower on ethics in the governance system is highlighted in the comments of the Santhanam Committee on the prevention of corruption.

Declining really salaries in the government, have been a crucial factor in legitimizing corruption at middle and lower levels. More recently, with the advent of liberalization and the perks in the private sector have stay socketed. This factor has further rendered the civil service less attractive to the ambitious young men and women. Those who are already a part of the civil service are likely to feel demoralised when they compare their status with that of their counter parts in the private sector. Low morale in turn is likely to lead to low morality. And when the differentials in salaries and perks at various levels within the government, are glaring, those getting lower emoluments are tempted to emulate the life styles of the more prosperous high ups.

Apart from cumbersome laws slow judicial proceedings and less than truly objective press the most significant factor promoting corruption is the low level of citizens awareness. In western democracies, citizens have a relatively high level of awareness and this act as a check or mis governance. Conversely in India, like in many other countries, the permissive attitude of society and the low level of citizens awareness promote corruption.

Lack of transparency in public dealing also opens the door to corruption. This makes the whole process of decision making mystified. Complex rules, sub-rules and procedures become incomprehensible to the common man, more so if he is illiterate or semi-literate. This weakens people's control over public morality.

There are several other legal administrative factors that cause corruption to flourish. Mainly these stem from the operational ineffectiveness of the formal measures designed and instituted to curb corruption.

This can be appreciated in the following section.

Measures for Containing the Corruption

During the British times an awareness of the importance of curbing corruption through legal means had become mariner through Sec. 161 of the Indian Penal Code of 1860 which defines corruption "as the acceptance of any gratification whatever other than legal remuneration as a motive or reward for doing or forbearing to do any official act or for showing or for bearing to show favour or disfavour to any person or rendering or attempting to render any service or disservice to any person." Thus, bribe taking and favouritism were treated as the main corrupt activities.

The Prevention of Corruption Act, 1947 supplemented the earlier legal provisions concerning corruption including the PC. It provides "An act for the more effective prevention of bribery and corruption." The Act of 1947 narrowed the requirements to proving motives behind corruption. This Act defines the criminal "misconduct of a public servant in the discharge of his duties in terms of illegal gratification accepting and fraudulent misappropriation of official property obtaining pecuniary advantage far above the official position and having, properly disproportionate to the legitimate income."

International experiences show that strict legal judicial and administrative control measures can help in curbing corruption. If corruption is made a high risk activity and if a corrupt person has substantial chances of being caught punished and even jailed, such risks are bound to act as a deterrent to corruption. A.D. Gorwala in his report in 1951 had remarked that arrangement must be made that no one, however highly placed, is immune from inquiry, if allegations against him are made by responsible partners and a prima-facie case exists.

First detailed inquiry in to the extent of corruption in Railways was made in 1953. Even during the P.M. Ship of Pt. Jawaharlal Nehru Corruption had started permeating the whole body politic. There was continuing demand for initiating effective measures to certain corruption in public service. In pursuance of this Demand the Committee on Prevention of Corruption was set up in 1962 under the chairmanship of K Santhanam. The committee recommended;

1. Article 311 of Constitution should be amended in a manner that legal action on matters including corruption could be expedited.
2. Simplification of govt, laws, rules and work procedures, should be undertaken and the appointment and complexities are mitigated and the opportunities to civil servants to indulge in corrupt practices eliminated.
3. Permits, licence, and contracts should be granted only to those individuals & companies who are recognised and registered with the govt
4. Letters and files should be disposed to expeditiously and within a specified period.
5. Special precaution should be taken while making appointments and promotions. Cases involving responsibility should be entrusted only to people with sound character.
6. Adequate pay and accommodation, facilities should be provided to govt, officers so that they may not be tempted to accept bribe.
7. All civil servants, legislators and ministers should declare their private assets.
8. Information and accounts regarding the donations given to various political parties by the private sector should be made public.
9. A vigilance, commission should be appointed in the Central Cost
10. The number of personnel in the Special Police Establishment, created to prevent corruption, should be increased & granted more powers.
11. No Govt, servant should work in a private commercial and in industrial firm for the first two years following retirement.

Special recommendations were made by the Santhanam Committee for preventing corruption in departments such as Income Tax. Civil Supplies, CPWD, Central Excise & Customs etc. Out of 137 recommendations 106 were accepted by the government of India.

Consequently, IPC was amended to expand its scope and Special Police Establishments was strengthened and later in 1976 Articles 371 of Indian Constitution was also amended.

After Santhanam Committee it was only Administrative Reforms Commission (ARC) which looked into the problem of politico-administrative corruption.

Administrative Machinery

At the level of the Central Govt., the principal agency for preventing corruption is in Central Vigilance Commission which was created on the recommendation of Santhanam Committee. According to the Govt, of India Resolution of Feb. 1964, the functions assigned to CVC are:

- 1) Undertake inquiry in to any transactions in which a public servant is suspected or alleged to have acted for an improper purpose or in corrupt manner through the CBI or the Central Vigilance Officers (CVOS) of the respective organisation.
- 2) Tender independent and impartial advice to the disciplinary and other authorities in disciplinary cases having a vigilance angle at different stages of investigation, inquiry, appeal and review etc.
- 3) Exercise a general check and supervision over vigilance and anticorruption work in ministries, departments, public sector undertaking banks etc and call for reports/returns etc.
- 4) Advise the appropriate authorities to modify the existing procedures/practices in the Central Govt, in order to mitigate scope for corruption or misconduct.
- 5) Conduct and independent technical examination mainly from the vigilance angle, of construction and other works undertaken by various Central Govt. Organization.

It is significant to note that the role of the CVC is advisor like UPSC while the CVC advises in individual vigilance cases and exercise general check & supervisor over vigilance and anti-corruption work in the Central Govt, the primary responsibility for the maintenance of integrity and efficiency of each department/ organisation rests with the respective chief executives who are assisted b CVC officer. Notably, the commission may or its own refer a case for investigation to the CBI

CBI

The Central bureau of Investigation was established on 1st April 1963 as an attached office of the Ministry of Home Affairs. At present it is attached to the Ministry of Personnel Public Grievances & Pensions. It is responsible for preparing and implementing a comprehensive programme of vigilance and anti-corruption. It collects information on such cases with the help of governmental as well as non-governmental agencies, prepares lists of persons and organisations engaged in malpractices, checks and searches a receipt of definition, information about the subsequent necessary action to bring the culprits to the book.

Against the foregoing background of the anti-corruption machinery in the Central Government, let us have a brief look at its counterpart at state level.

State level: There is heterogeneity in the structure of the anti-corruption machinery at state level in India. Certain States have state vigilance commission, while others have Anti-corruption Bureaus within the framework of the police administration. State Vigilance Commissioner is appointed by the Governor for 5 yrs.

The SVC examines any complaint against public servants who have exercised or have restrained from exercising powers for investigations, the SVC is assessed by the Special Police Establishment or its equivalent organisation,

It may be noted that the traditional anti-corruption machinery comprising organization within the regular executive branch, generally falls short of the requisite effectiveness. There are the usual delays and soft 3 actions associated with investigations. The big fish is rarely threatened and what is caught sometimes is only the small fish. Resultantly, only a minuscule minority of the real corrupt elements is brought to book and even they are given belated and mild punishment. Sometimes, suspensions once ordered are revoked under pressure without adequately reasonable grounds. More over what is obvious that the state anti-corruption machinery, comprising police officials, does not show grit and gumption to catch with required skills and alacrity suspected police and administrative officials of senior ranks.

Conduct Rules: Apart from the IDC, the Prevention of Corruption Act and the Vigilance Machinery at Central and State levels there are several conduct rules and other govt, orders which act as checks on administrative corruption.

All the Central level, the following five separates but substantially similar documents provide the framework for the conduct of administrators.

I) All India Services (Conduct) Rules 1969.

2) All Indian Services (Discipline & Appeals) Rules, 1969. 3) Central Civil Services (Conduct) Rules, 1964.

4) Railway servants (Conduct) Rules, 1966,

5) Central Civil Services (Classification control and Appeal) Rules 1965.

There are general requirements in all the Service Rules that Govt, servants at all times maintain absolute integrity. Besides it has been laid down that no civil servant shall:

1. Use his office to secure employment for any member of his family in any private undertaking
2. Accept or permit any member of his to accept any gift (a term which covers a pecuniary advantage).
3. Engage directly or indirectly in any trade or business or undertaken any other employment
4. Speculate in any investment, or make an investment which is likely to embrace or influence the discharge of his duties.

The conduct rules now contain the following clause, inserted on the recommendation of the Santhanam Committee.

“Every Govt, servant holding a supervisory post shall take all possible steps to ensure the integrity and devotion to duty of all Govt, servants for the time being under his control and authority.” In the conduct of inquiries under the relevant laws and rules meant for preventing corruption and for punishing corrupt officials there are two types of difficulties faced. First is procedural and the second-more fundamental- relates to the constitutional safeguards guaranteed to civil servants. Let us deal with both these problems areas.

Notably, there are 12 stages involved in the departmental proceedings undertaken to inquire into the misconduct or misbehaviour” of govt, servants under the Central Civil Service Rules. These stages start with the preparation of a definite charge sheet and ending with the imposition of penalty. There are two types of penalties - major and minor, Depending on the nature and extent of an offence. Major penalties include down grading, compulsory retirement, removal from service and dismissal, while the minor range from demerit to the withholding of increments.

Constitutional Provision:

As it is clear that enquiry & disciplinary procedure relating to the conduct of civil servants of central as well as state govt, are subject to Art: 311 of the Constitution of India. Article 311(2) as amended after the Amendment Act of 1976 lays down that “no person who is a member of civil service of the Union/State shall be dismissed or removed or reduced on rank except after an enquiry in which he has been informed of the changes against him and given a reasonable opportunity of being heard in respect of these changes”.

This provision can cause an indefinite protection of the disciplinary procedure. Experts says that this opportunity given to civil servant in India is much more than found in advanced countries of the world. Experience shows that over security in service to a civil servant is spur to misconduct. A few other problems faced while controlling administrative corruption are as follows:

- 1) It is difficult to obtain evidence to prove corruption: Police or vigilance agencies are either not fully committed to go in to cases or are obstructed by various quarters in the performance of their duties.
- 2) While the CVC, CVO, CBI etc. have been successful in unravelling the corruption cases of Gazetted officers, massive corruption at lower levels is hardly investigated.
- 3) There is collegial unity among officers which comes in the way of proper inquiry against the accused. They save each other from inquiries & punitive actions.
- 4) Corrupt-politicians lose moral authority to collect their delinquent subordinates.
- 5) Protracted inquiries dampen the enthusiasm of senior officers to initiate proceedings against their juniors suspected of indulging in corruption further there is delay in granting permission by the department or ministries to investigate the case.

Rule of Audit: A systematic audit of the accounts of govt, ministries, departments, enterprises and agencies can be instrumental in pointing out irregularities in financial dealings, maladministration and corruption. The CAG assisted by the Accountant Generals in various states has considerable opportunities to go into those cases where corrupt practices are suspected to have influenced govt, action. A penetrating report of the CAG can highlight a case like the Bofors Scandals & HDW deal.

Here is to be noted that CAG is only recommendatory authority hence much depend on the executive agencies in taking effective action on its recommendations. It can't be denied that

the CAG has been instrumental in causing several corrective actions on the part of central as well as state governments. These includes modifications in system and procedures which help in reducing the number of cases that are likely to promote corruption.

The Ombudsman System (Lok pal & Lokayukta)

In India, the demand for creating the institution of Ombudsman was championed by a number of legal luminaries, by ARC, State number of MP's But due to many controversies and delays this institution of Lok Pal could not be established in India but some state governments have established ombudsman type of institution which is called "Lokayukta". These institutions were created to redress the grievances of general public against ministers and public officials for charges of corruption, delays, maladministration and favouritism. While in some states this institution has been successfully working and in some states it has proved to be while elephant only.

Conclusion: The foregoing analysis makes it clear that administrative corruption is root in administrative as well as non-administrative sources. Rationability requires that strict measures should be initiated concurrently in a planned manner.

What is perhaps a most significant priority in the battle against corruption is to initiate and sustain systematic as well as systematic administrative reforms which can directly or indirectly contribute to the mitigation of corruption. In a country like India where the level of literacy is low and share or rural population is very high administration procedures require maximum possible simplification, less comprehensible procedures lead to over dependence on the bureaucracy. Therefore, all developmental schemes & programmes should be explained to the beneficiaries in their language and procedures for obtaining them must also be simplified with the universalization of corruption, what is needed is a global approach.

No amount of legal or administrative action can be successful in ending the corruption unless a social climate evolves where corrupt persons however successful they may be suffer social opprobrium.

At national level, people's groups are sprouting in order to keep a check on the intentions and actions of the custodians of people's flower programme entitled "adopt are official" begun in 1994 is emerging as the nation's largest govt' election watchdog group under which each of its 50,000 members choose a congress man, senator or high level govt, official and monitor how he uses public funds.

In India, popular moments to combat-corruption are conspicuous by their absence yet the vocal or tacit support given by the people and the press to administrative celebration such as T.N. Sheshan, Kiran Bedi, GR. Khaimmar and N. Vittal are striking indicators of vicarious participation of the enlightened sections of society in strengthening the campaign against corruption:

12.6 ADMINISTRATIVE REFORMS IN INDIA SINCE: 1947

After independence serious efforts were made to strengthen public administration to meet the challenges of economic planning in India. According to the planners, implantation of plans was seriously hampered by the outmoded procedures of work of the bureaucracy. Hence in every five car plan great emphasis was laid on the administration of planning. To achieve efficient implementation of the five year plans was enough motivation for the policy makers to attempt reorganisation of administration. But coupled with this were basis problems of politics bureaucracy interaction, citizen administration relationships.

Thus, the challenges to bureaucracy were not only interns of efficiency but also in terms of facing the new environment Created by democratic politics in India.

What the motivations, attempts at reorganising the bureaucracy were in the direction of strengthening the existing model of bureaucracy and the pronounced objective of reforms and reorganization were limited to efficient implementation of plan projects and establishment of reasonable standards of integrity in bureaucracy. It is not without reason that the first serious attempt to review the working of public administration was entrusted by the Planning Commission to Mr. A.D. Gorwala an ex-ICS official. The Central Government was very much concerned with the matter of reforming the administration and service 1947, appointed near about 30 communities/Commissions to suggest administrative reforms as listed below;

Reports on Indian Administration 1946-1997

1. Reorganization of Central government (Richard Tottenham) 1946.
2. Secretariat reorganization Committee (Girija Shankar Bajpai) 1947.
3. Central Pay Commission (SiriniwasVaradachari) 1947.
4. Economy Committee (KasturibaiLaibhai) 1948.
5. Reorganization of the Machinery of Govt. (N. GopalaswamiAyyangar) 1949.

6. Report of Public Administration (A.D. Gorwals) 1951.
7. Report on the Efficient Conduct of the State Enterprises (A.D. Gorwala) 1951.
8. The Machinery of Government-Improvement of Efficiency (R.A. Gopalaswami) 1952:
9. Report on Indian and State Administrative Services and problems of District Admn. (V.T. Krishnamachari) 1952.
10. Public Administration in India-Report of a survey (Paul H. Appleby) 1953.
11. Railway Corruption Enquiry Committee (J.B Kriplani) 1955.
12. Notes on changes Necessary in System of Budgetary and Financial control (Ashok Chanda) 1956.
13. Re-examination of India's Administrative System with special reference to administration of Government's Industrial and Commercial Enterprises (Paul A. Appleby) 1956
14. Public Service (Qualifications for Recruitment) Committee (A. RemaswamiMudaliar) 1956.
15. Balwant Rai Mehta Committee on Community Projects and National Extension Service, 1957.
16. Commission of Enquiry of Emoluments and conditions of service of Central Govt. Employees (Jagannatha Das) 1959.
17. Staff Welfare Review Committee (Fateh Singh) 1961
18. Committee on Prevention of Corruption (K. Santhanam) 1964.
19. Administrative Reforms Commission (Chairman Morarji Desai K.K. Hamimanthaiya) 1966-70.
20. Third Pay Commission (RagubarDyal) 1973.
21. Committee on Recruitment Policy & Selection Methods (DS. Kothari) 1976.
22. Ashok Mehta Committee on Panchayati Raj Institution 1977.
23. National Police Commission, 1977.
24. Economic Administration Reforms Commission (Chairmen LK. Jha) 1981-85.

25. Fourth Central Pay Commission Report, 1983.
26. Sarkaria Commission on Centre-State Relations 1983
27. Committee to Review the Existing Administrative Arrangements for Rural Development & Poverty Alleviation Programmes (CAARD) (Chairman GV.K. Rao) 1985-88
28. Committee to Review the Scheme of Civil Services Examinations (Satish Chandra) 1988-90.
29. Dr. Raja J. Challiah Committee on the Tax Reforms 1991-92.
30. Fifth Pay Commission Report 1994-97.

The Administrative Reforms is a continuous process. Therefore, is better to study in the historical perspectives. These attempts can be divided into following periods;

First Phase. 1947-1964

Second Phase. 1964-1976

Third Phase. 1977-1990

Fourth Phase. 1990 Onwards

First Phase: Suggestions for Streamlining the Administration. The following suggestions, offered by Sh.A.D. Gorwals are in the nature of streamlining the working of Administration;

- i) Greater freedom for Administrative Ministries from too minute control by the Finance Ministry
- ii) Better selection from a wider range of officials for the financial ministry
- iii) harmonious minister secretary relationship
- iv) improved cabinet procedure of work
- v) better organization by Parliamentary Control through the Estimates and Public Accounts Committees
- vi) more supervision and inspection by senior officers
- vii) more work and responsibility for junior officers
- viii) more offices, and power clerks
- ix) better discipline by means of better pay and rewards and publishments
- x) establishment of Whitley Councils; and creation of Welfare Officers for the lower paid staff
- xi) a better organization of the IAS Training School O&M with necessary staff
- xii) recruitment should be of the generalist administrator and not specialised cadres
industrial specialists civil service or a service of industrial specialists

- xiii) substitution of psychological tests for viva-voce tests in competitive examinations
 - xiv) more marks for common general papers than for special subjects
 - xv) improved techniques of selection derived from pooling the experience of govt, department, public service commission and universities
 - xvi) Allotment of all-indian service men to states other than their own.
 - xvii) clear distinction between formulation by policy and its execution.
 - xviii) Non interference by the ministry in the working of the heads of departments
 - xix) more and better coordination at the Secretariat level
- Similar in approach and style is the Report of Paul H. Appleby on Public Administration, in 1953.

Appleby rated the Government of India among the dozen or so most advanced governments of the World and further said that.. India is these service (ICS/IAS) shares with British the distinction of having the best body of generalist civil servants in the world.

Appleby criticised the system of recruitment through advertisements by the UPSC and wanted the latter to be more aggressive in making recruitments. He was to be more aggressive in making requirements. He was critical of the absence of delegation in the Ministry of Finance, lack of coordination among the ministries involved in developmental works, and the unnecessary importance attached to the pedestrian function of the Auditor General. Besides these criticisms, he made the following suggestions.

1. The O&M or Public Administration Office should be established which should be under appropriate minister and should have strong government backing.
2. There should be further and more specialised studies by a team of outside experts as sequel to this Report.
3. Establishment of Institute of Public Administration to provide a national uniformal focusing of attention on public administration as a profession of many facets and elements.
4. Development of academic graduate programmes in public administration and the establishment of special avenues for annual entry into the public service of young persons so trained. This should entail a new and close interchange and working relationship between selected universities and the governments
5. Consolidating administrative responsibility for the carrying on of the Community Projects elevating it in status and providing for more flexibility and discretion in its management.
6. Filling in the administrative hierarchy by making hierarchies have a more truly pyramidal form with more executives at the most levels and by increasing the number of levels and

narrowing the present excessively wide gaps between all but the low levels.

7. Eliminating Fixed cadre “limitations and making recruitment depend wholly upon frequent and flexible determination of needs.

8. Establishment of extensive and sustained Personnel Development programmes designed to maximize the potentialities of all persons working for the Government.

9. The establishment, as a sequel to heightened responsibility of agencies, charged with action of adequate methods of checking on action during and after the fact.

Besides there two reports, the Govt, of India, they Planning Commission, and the O&M were grappling continuously with the problems of reorganisation and streamlining of administration and its procedure of work.

O&M in the Govt, of India: After Independence the administrative machinery of India expanded considerably. The administration was called upon to tackle the complex problems of the welfare state. It was felt that old organisational set up and methods of work would not serve the talks of social service stable importance of creating a permanent organization to improve the working of administration was emphasised by Mr. A.D. Gorwala in 1949 Planning Commission in their first Five Year Plan in 1952, Paul H. Appleby in 1953.

The O&M Division in India was created in March 1954, It was located in the Cabinet Secretaria and functioned directly under the Prime Minister. But each of ministries &

Departments developed its own internal competence in O&M work & central O&M Division was to supply only leadership, drive and coordination and to build a common find to information and experience: To sum up, the O&M organizations has made great of contribution in the toning of efficiency of the government departments in India.

Special Reorganization Unit: In 1952 a Special Reorganisation unit was established to review the staff requirements of ministries and to recommend charges calculated to ensure efficiency and economy The unit has adopted like techniques of work-stud which comprises;

- a) A study of the organizational set up, delegation, span of control and other related problems
- b) analysis of operations
- c) a programme of work simplification and standardization, where possible
- d) Evaluation of standards of performance and hence staff requirements.

Departments of Administrative Reforms: A Department of Administrative Reforms was set

up on March 25, 1964 to the Ministry of House Affairs. The O&M Division located in cabinet secretariat was transferred to Home affairs to with the problem of reform, reorganisation and modernization of administration at all levels so as to make it an efficient and sensitive instrument for carrying out the task of economic Development of social welfare and for achieving the general social objects which the country has set before of and the need for setting up of an agency for evolving a machinery for the redress of grievances of citizens arising from unsound procedures, wrong through not necessarily dishonest exercise of discretion, delay, lack of courtesy work and the fourth to promotion and implementation of the reports of the Administrative Reforms Commission

Special Committees & Commissions were also appointed examine some major important problem areas of administration. Its most important example is the setting up of the Santhanam Committee on Prevention of corruption in Administration.”

Indian Institute of Public Administration (IIPA). The institute was setup as a Result of Paul H. Appleby’s recommendations. It runs a number of training courses for the public demonstration and conduct researches on the subject matter of public administration of publishes the Indian Journal of public administration which provides very good material for the implementation of public administration

Main Features of First Phase: The-first phase of administrative reforms is full of establishment of new institutions for efficient administration. Some of the main features are, first, the administrative reforms were based on the parallel lines ie. the O&M and through committees setup from time to time; second, erosion in the integrity of administration which caused the establishment of central vigilance commission Third, during this period parliament asserted in matters of administrative reforms, fourth; entrance of Govt, in business in the form of public enterprises provided opportunity to judge the effectiveness of bureaucracy in economic growth.

Second Phase: Administrative reforms until the setting up of the Administration Reforms Commission have been carried out mostly in the spirit, style and shape of improvisations. Those several committees that have been setup to report on administrative reforms have been content to suggest some alterations here and some additions there.

Administrative Reforms Commission (1966-70)

The Resolution for setting up the Administrative Reforms commission was issued in 1964 and with the result was set up in the same year. The Commission was asked to consider the

following

- i. The machinery of the Govt, of India and its procedure of work
- ii. The machinery for planning at all levels
- iii. Centre-State Relationships
- iv. Financial Administration
- v. Personnel Administration
- vi. Economic Administration
- vii. Administration at the State level
- viii. District Administration
- ix. Agricultural Administration
- x. Problems of redress of citizens grievances.

Thus the commission was asked on such a vast array of subjects to examine and report. It is an example of all embracing attempt at reform. The commission submitted 20 reports for the reform in various fields of administration in India. The commission has made in all 581 recommendations and suggestions and out of it 80% were accepted by the Government. As the commission also explored areas within the states jurisdiction, the central government evidently lacks directly authority to take or compel action on them it may bring such recommendations to the notice, of the states and at best, use moral pressure in favour of them Even recommendations directly concerning the centre broadly fall into two categories from the angle of implementation. Some recommendations concern formal structure and procedure of work. The other category calls for restructuring of rules behaviour and attitudes which in turn, ultimately rests on the inner urges and orientations of the elective and permanent administrators.

During the period 1979-80 due to ARC recommendations and effort of the central reform agency. enormous changes in administrative structure, system and procedures took place. On the recommendation of ARC, the department of personnel was setup, the department of administrative reforms was restructured for better performance, system of secretariat working was improved by introducing desk officer system, performance budgeting was introduced by all government ministries, maximum possible powers were delegated and the working of Bureau of Public Enterprises was improved after the recommendations of ARC Report on

Public Sector.

The Department of administrative reforms, carried out many studies relating to management such as organizational structure, methods and procedure, information system, records management, employees satisfaction, use of modern office machines, equipment and financial administration, etc. These studies improved the working of the offices and attention was paid for citizens satisfaction. All the states set up the department of personnel and commission reforms at the state level along with state Bureau of Public Enterprises, during the 70's. In 1976 Audit and Accounts were separated for administrative improvements. However, the emergency in 1975-77 gave a rude shock to the image of Public Administration when the credibility of the policy making and policy executing levels suffered.

Third Phase: (1977-1990) After the internal emergency, elections were held in March 1977 and the Janta Party came in power at the Centre. Janta Party Govt, appointed various commissions to point out the emergency excesses and no tangible improvements took place in the administration, Again in 1980 Congress party came in power and reform process started.

The Fazal Committee (1980-82) on Public Enterprises also felt the need of accountability in Public Sector the Jha Commission (EARC 1981-85) in its report on accountability stressed the need of accountability and laid emphasis on performance, results rather than rules and procedures. As a follow up action on the recommendations of these two committees the MPI & DPAR took concrete steps to institutionalise accountability in the government by introducing annual action plan (AAP). The AAP would mention the key activities/functions and the responsibility centres at the level of joint secretary by name..

In March 1985 a full-fledged ministry of Personnel. Public Governance and Pensions was set up. with three departments viz. Department of Personnel and Training. Dept of Administrative Reforms & Public Grievances and Dept. of Pensioner's Welfare. This ministry was placed directly under the Prime Minister assisted by Minister of State. During this period stress was laid on the work culture and highest priority was given to performance, results and outcomes.

In September 1985, a new Ministry of Programme Implementation was created under the charge of PM. This ministry coordinated the all poverty alleviation programmes and made administration more responsive The minister of Programme Implementation (MPI) introduced the concept of MBO (management of objectives) A new system of MOU (Memorandum of Undertaking) was adopted at the direction of the then P.M. Rajiv Gandhi for public enterprises. This is an annual action plan drawn up by public enterprises and agreed

upon between the PEs and admn. ministries/departments.

The Department of Administrative Reforms and Public Grievances has also taken steps to improve administrative reforms. The department has prepared a scheme for modernization of govt, offices to make them model office though functional layouts, better services to the public and removal of public grievances and cost effective management. All the offices have been given separate budgets for purchase of modern equipments. To increase productivity, concept of work improvement team has been introduced. The team seeks to generate larger employee morale, improved productivity and reduction in cost through participation at the grass roots level. This scheme has been introduced in the departments which come into contact with the large number of people daily such as Railways, Posts, DDA, Health, Labour, Banking etc. computerised reservation facilities for rail reservations, paper work has been reduced and several other procedures have been simplified.

Main Characteristics of Third Phase: In this period three steps were taken for comprehensive administrative reforms. In this period ARC was appointed which examined out administrative system comprehensively and put forth 581 recommendations in all for the administrative reforms. Second, the Govt, accepted the recommendations of creating ‘Ombudsman’ like institution ‘Lokpal’ and ‘Lokyakta in India to deal with public grievances and Bill is pending before the Parliament for the establishment of ‘Lokpal’ while Lokyuktas have been appointed in many states: Third during this phase ‘the Govt, had created Administrative Tribunals for expeditions disposal of the grievances of the public servants. Fourth, the central government have introduced performance budgeting since 1970-71. Fifth during this period administrative reforms were more management oriented.

A greater emphasis was laid on management and administrative reform began to be viewed as management intensive exercises Sixth, for the improvement of civil servants, greater emphasis was laid on the institutional training

Fourth Phase 1990 Onwards: This period is marked by minority unstable governments at marked by minority unstable governments at the centre with weak political leadership. The process of liberalization started during this period has paved the way for removal of control and delicensing in industrial policy. The new economic policy since 1991 has simplified the process of industrialization in the country. Moreover, in this period steps have been taken to decentralize the powers through 73rd & 74 Constitutional Amendments Acts, 1992, which have constitutionalise Panchayati Raj and Municipal bodies.

The Govt, of India constituted a Tax Reforms Committee in 1991 under the chairmanship of Dr. Rajai L. Chellia to examine the structure of direct and indirect taxes. The committee, on its interim report submitted in 1991 observed that certain important administrative and policy issues, however, deserve brief mention in this interim report because of the urgent need for initiating suitable action in regard to them first and foremost among them is the need to tone up the administration. No amount of tax reform, rationalization or simplification can substantially improve tax compliance unless there is a substantial improvement in public perception regarding the efficiency, technical competence, integrity and ability of tax authorities to relentlessly pursue and punish tax evaders, inherent political interference.” The committee suggested that “for this the morale of the work force should improve. The Govt, should recognize the paramount importance of the Revenue Dept, and should spare no efforts in improving their condition of service, technical skills and work environment. The committee submitted its final report on Aug. 25, 1992 with wide ranging recommendations.

Fifth Pay Commission and Administrative Reforms

The fifth Pay Commission while recommending high salaries for government employees it also pleaded for administrative reforms. The commission in its voluminous report of 172 Units and 1600 pages devoted Unit 33 to the administrative reforms. The reform package includes that the government should do for less than now and it should confine to the core functions that can't be performed by the market and everything else should be left to private hands on the public choice theory proposals. It recommended for dismantling of the permit licence system, disinvestment in the public sector corporationalization of departmental undertakings and privatization and contracting out of services now performed directly by the government. Commission proposed to cut man power by 30 per cent posts in ten years. The govt, has not accepted this recommendation the other recommendations of Fifth Pay Commission are enacted of a right to information Act, that all govt, services should be covered by Consumer Protection Act establishment of a national election fund as well as an anti-corruption agency having an independent constitutional status and introduction of a citizen's charter. Further the commission has recommended that no file should be required to move through more than three hierarchical levels for any decision to be taken.

The commission rightly recommended that legitimacy should be accorded to contract employment. especially in situations like short term vacancies up to five years time bound special projects and specialized jobs not generally required. Moreover, the commission has recommended that the Central Public Organizations have grown at the staggering rate of 5.6% per annum, as against one per cent for the bureaucracy as a whole. therefore, their numbers

should be pruned by a third in 10 years is timely and good “but the pruning should be for more and affected much quicker. A substantial reduction of Union’s para-military forces would help move the management of its out of the coercive trap.

The other suggestions of the commission like to have only three national holidays Republic Day, Independence day and Gandhi Jayanti and 12 casual leaves is timely to promote work culture will it be implemented. The suggestion that bonus should be linked to productivity and not to production is good. The suggestion for modernization through automation and computers needs to be supported. The Govt has accepted the report of the commission with source modifications.

Administrative Reforms with States

At many states have also appointed Administrative Reforms Commission/Committees. For example, Kerala Administrative Reforms Commission 1958, Administrative Enquiry Committee Orissa 1958, Andhra Pradesh Administrative Reforms Committee, 1964, Punjab Administrative Reforms Committee, 1964, Rajasthan Administrative Reforms Committee 1966, M P. Administrative Reforms Commission 1969, Tamil Nadu Administrative Reforms Commission 1973 and West Bengal Administrative Reforms Committee 1982. As a result of recommendations of three commission/committees several states have introduced reform in their administration.

Features of Administrative Reforms

The administrative reforms in India has passed through many stages and during the process acquired some features, important of them are;

- i. In India the main sources of reforms are mainly three. First, some reforms have come from the political process such as reorganisation of state or public inquiries. Some reforms have been initiated by the reforms commissions or committees. While some have been initiated by the central agency such as Department of personnel and Administration Reforms.
- ii. The Union Govt, has played the leadership role in the field of Administrative Reforms in the country for all the three levels-‘central state and local.
- iii. Academic & Research Institutions in the country have not made any significant attempt to provide leadership in the field of Administrative Reforms.

If N.G.O. Voluntary Organizations and Citizens Forums etc. have also not taken active interest in the field of administrative reforms.

Conclusion: The success of administrative reforms depends on top politicians and bureaucratic support but both are busy in furtherance of their mutual for administrative reforms. The politics of country is unstable after 1989 and bureaucrats hardly provide leadership for administrative reforms. What has been lacking in our administrative reforms efforts in the last 50 years is a congress sense between strategy, structure and substance.

12.7 RECOMMENDATIONS OF A.D. GORWALA, PAUL APPLEBY AND NORTHCOTE TREVELYN & FULTON COMMITTEE ABOUT INDIAN PERSONNEL SYSTEM

A. D. Gorwala, Paul Appleby and Northcote Trevelyn & Fulton Committee, which were asked by the Government of India to recommended measures to improve administrative organisation and functioning of Indian Administrative System. Firstly, we would like to discuss the recommendations of A.D. Gorwala Committee about Indian Personnel system.

Sh.A.D. Gorwala was asked by the Indian Govt, in 1951 to investigate the functioning of public sector, It was the initial period of state's involvement in economic activities. Mr. A.D. Gorwals presented his report on 1st June 1951 on The Efficient Conduct of State Enterprises."

Mr. A.D. Gorwala was again asked by the Planning Commission on Aug 1951 to study the public sector undertakings in India. The Secretary of Indian Planning Commission Mr. NR. Pillai, in an introductory note says that, "In recent years, the government's functioning in the economic field have expanded rapidly. and it has been necessary for the administration to course of its work during the past year, the planning commission has been impressed with the need to strong then the machinery of economic administration, at the disposal of Govt, both at the centre and in the states. The efficient administration of public sector enterprises is an aspect of this problem which seemed to the commission to require special study.

A.D. Gorwala on the Efficient Conduct of State Enterprises."

We are not sure whether the ancient Indian proverb that where the king trades the country is bound to ruin" still holds good today a knot but the public sector enterprises had been administered in the part by the General Managers and the members of Board of Directors, we can conveniently say that the country to really ruined and the nation's economy shattered.

Gorwala views *laissez faire* as impracticable. Actual functioning and management of industrial and commercial enterprises has become order of the day. Gorwala was assigned of tasks assigned to "State Enterprises. Gorwala felt that public enterprises must be judged solely by the standard of efficiency which implies in respect of every unit of production of goods and services, minimum cost and requisite quality. The two fold interior of economy and quality is not necessarily equivalent to the popular criterion of the success of private enterprise. The criterion is almost invariably profit.

Gorwala does not approve profitability as the criterion of a private enterprise. He says, "the claim of efficiency made on behalf of private enterprise as a whole is often exaggerated. One thing about which Gorwala was certain was that there are "certain factors (in private enterprises) that are conducive to economy in management and quality in production incentives in two kinds of enterprises are generally different.

The objective of state enterprises may not always be profit making whereas it is always be profit making whereas it is always so in case of private enterprise. In case of public enterprises, the primary objective is public service or public security the direction and management in case of private enterprises is personal with full time paid employees as directors: Accurate estimates and prompt action is not appreciated in case of public enterprises. Again lack of personal risk in case of important matters is treated in dilatory fashion. The management and direction of a public enterprise to in personal and occasionally even detached authority running a public enterprise is not likely to be able to use his own discretion to the same extent as the director in charge of a private concern. While the latter is autonomous, the former is generally controlled.

The problem in its essence is to devise, with specific reference to the types of enterprises already mentioned forms of organisation which retain the flexibility and effectiveness of the best private enterprise within the broad framework of parliamentary and ministerial responsibility." The kernel of the problem is provision for safeguarding the national interest without encroaching upon the administrative independence of the organisations and usurping their managerial-responsibility. "The essentials of such an arrangement are that while it is established by govt, and remains within the operative sphere of the machinery of the state, it retains a large degree of autonomy.

It the most suitable instrument in respect of all or any of the types of enterprises mentioned is one outside the machinery of government then obviously the question of an autonomous organisation within the framework of the state does not arise."

Gorwala was very specifically clear that if for any reason the relatively of autonomy could not be provided in regard to the setting up or surviving of any particular enterprise then also an autonomous organisation can't be useful. Gorwala says that whatever the form, without suitable men at the highest level of management, the governing board or the board of directors, the likely of success is very little. Once autonomy is guaranteed, there should not be any attempt on the part of the government to interfere or control the same from back door. Composition of the Board of Directors should be such as to sub-serve only one purpose, that of good and efficient direction of the public interest.

Gorwala had pleaded against membership of Board of Directors M.P's and ministers too should not be member, of overlapping of responsibility is to be avoided. If they were there indeed the autonomy of the organization would be negligible.

Gorwala was against control and interference from back door as well as the departmental representatives. "The presence of departmental representatives means in fact, the destruction of autonomy." There should not be a place for representative of various interest on the Board of Directors. The members of Board should regard their selves as high custodians of public interest there is one room on such board for part time ex-officio government servants. The best solution from all points of view would seem to be a whole time board composed of personal drain from both government service & business.

1. The internal management of an autonomous enterprise must be under the control of the board and not of govt.
2. large scale organisations can be administered except on the basis of modern scientific administrative/ management techniques. Gorwala opened that efficiency in India even in case of reputed industrial concerns was generally based on the rule of thumb methods."
3. The personnel too must be brought up on traditions somewhat different from those of government service.
4. Personnel in public enterprises must imbibe zeal for public service, resource fullness for prompt action. Centralization and bureaucracy must be avoided and responsibility and authority must go together. Outlook of personnel in public enterprises should be different from that of government departments. The autonomous corporations must possess and create "New" kind of mentality and bring to gather a body of men and women to whom this "approach" should be completely natural.
5. The personnel should be selected on the basis of suitability either from government

existing concerns for appointment as general managers (age group of 40-50 yrs.) and later for their replacement by between age group of 30-40 years might stand taken from the same sources and provided training for few years. The ultimate basic material, will however, be provided by taking in men with good general education between the ages of 20-25 years they should have bias towards economic and business matters. They could be given training in proper production and state methods by attachment to good firms. Some of them could be sent abroad for training after binding them to serve government concerns after training abroad through contract.

6. Permanent government employees deputed by government on contract basis terminable with a months notice. There improves on deputations need not be assimilated to government pay scales. Training needs to be given keeping in view the nature of the public undertaking.

7. In regard to the interval management, it has to be ensured that the goods produced has to be ensured that the goods produced fulfill the test of economy and quality, Proper cost accounting take care of economy. As regards quality statistical quality control has given good results. It introduces a good check at small cost. Maintenance of proper commercial accounts is essential in quality audit too ought to be commercial control system.

8. The industrial system must satisfy the principles of justice. It must give to the worker a secure and adequate livelihood reasonable conditions of work and a full opportunity to share in the making of conditions upon which his happiness and work will depend. He must not feel that his life is at the hazard of another man's will.

9. Special measures are necessary to protect the consumer's interest, Consumer's council may provide a forum for the expression of grievances whether there are of a general type efficiency a whole area or a particular type affecting an individual. Price Tribunal duties are to examine all rates and before whom anybody could complain. These Tribunal's offer valuable protection against undue charges, inferior quality and invidious preferences. For effective functioning of price Tribunal an objective external check of both costs and quality is inevitable.

B. PAUL. H. APPLEBY ON RE-EXAMINATION INDIA'S ADMINISTRATIVE SYSTEM.

Similarly Paul. H. Appleby was invited as consultant in Public Administration of the Ford Foundation (U.S.A.) by the late Prime Minister Pt. Jawaharlal Nehru Published Report of Paul H. Appleby in 1959 entitled Re-examination of India's Administrative System with

special reference to administration of Government's Industrial and Commercial Enterprises.

Indian Political leadership was facing in those years tremendous need and many difficulties both primary objectives which were served convincingly with vision, wisdom and hard practical performance.

Appleby had towering personality of Pt. Nehru always weighing in his mind while making rewards about understanding of political leadership in such a complex, difficult and trying period of financial crises Appleby had good words to comment about well-directed

Community Development Programme, as successful far beyond any reasonable expectations. Appleby starts with such observation that "the great achievements of recent years have been made beyond the capacity of the Indian Administrative system. Great results have been achieved by working key personnel very excessive hours by sheer persistence of pragmatic officials in the face of frustration.

In Indian Administration system great reliance has to be inevitably reposed on a small number of personnel and much larger achievement reliance must be on a greatly improved organization performance of systematic character.

Appleby had adopted soft line of intimism of a hospitable government and relatively honest Prime Minister (Nehru). Appleby's criticism was addressed to the whole general administrative process. Appleby thought that it would be unrealistic however to assume that reform of sufficient dimensions can be effected rapidly enough throughout the government."

"Greatest stream on the government will arise in the area of greatest novelty and new emphasis namely the area of industrial and commercial enterprises," Appleby was not sure that by require special key officials performing major role in this kind of new activity, then what has been done will be found to be much more than he personal resources can make at all possible."

Appleby called any attempt to differentiate a company or corporation as finite, painless doctrine full of confusion with linked present meaning in India context. The slogan is to "make government business like a phrase on the face of it anomalous, since any organ of government must be most distinguished by as public character and its public responsibility: A sound descriptive phrase would be "government type corporate". There is no magic in Board of Directors, and none in the word "corporation" or a "Company"

No other eminent scholar of public administration then the stature of Paul H. Appleby

reminds we Indians to be Indians first while looking at problems of administration in India in these worlds. "Solution appropriate here must be developed by Indians in terms of the Indian context and very much in terms of the Indian urgency."

Appleby has rightly cautioned Indian not to blindly imitate whatever they find in UK, USA. origin the West. Despite such repeated warnings, the LAS personnel who visit Western Training School of Administration blindly what is taught to them in the West. These L.A.S. officers have failed to develop their own "models which they can proudly call Indian model to be used on Indian soil"

Autonomy Debate in Public Sector Undertakings:

Appleby had mentioned about Indians concern and theoretical confusion about autonomy for the industrial and commercial enterprises. Appleby says that this unfounded concern about presumed conflict between that need and the need for public accountability and responsibility and government control is meaningless because, it should go without saying that true autonomy is out of the question and not-seriously proposed by any informed person.

Appleby feels that "In democratic government, government can always and should always be able to intervene in any matter really important to government Governmental intervention in case of really important industrial concerns should be limited and restricted.

Autonomy to public enterprises meant to Appleby a "wholly unprecedented degree of delegation of authority to make decision."

Root of India's Administration Problems:

"One of his dicta that specifically point to the root of India's administrative problem is an in assistance on the avoidance of the making of decision which should be made by others notable by subordinates: Here traditional practice is so far in the other direction that there has been a monumental failure to develop in subordinates the capacity needed to accept and use delegated responsibility "Appleby had advocated change in administrative practices if not in govt, then at least in case of commercial and industrial undertakings Its thought India was in state of emergency (in 1958-59) as if nation was at war Its success in this emergency depends upon rapid decision making rapid action"

Tall objectives smoothened in Procedures: Appleby speaks high of "idealism" great vision "in Indian govt, also" to much of idealism and imagination characterising the setting of objective which gets smoothened in procedures dominated by small thinking".

Size of Government: Union, State, municipal or rural size of government is bound to and is growing. But there is failure to realise and understand, the heart of problem, the rapid growth and size of government bound to compel changes in procedures directly related to the size of the government.

Indictment of Existing Procedures: He was critical of the procedure followed in India in grant of money, although a prior agreement in principle might have been already reached. All moneys which are to be spent for the purpose already agreed may not be readily available for disbursement.

Specific decisions incident to effectuation of purpose in India are reviewed by too many organs of the government in too detailed, too repetitive and too negative terms.”

Appleby has mentioned about too many barriers in way of program agency personnel in India. Perhaps nowhere else have so many systematic barriers been erected to prevent the accomplishment of that which it has been determined should be done.”

Many ministries who may have slightest of interest or relevance must cancer the implementation stage of a project. Sometimes proposed transaction come up for review in relevant ministry, which under procedure followed, are referred to such a subordinate staff who may not have either experience or knowledge of the kind of project being dealt with. Usual focus of subordinate staff is a precedent.” The focus on precedent encourages subordinate in a chronically negative and timid attitude.

Ministry of Finance & Home Affairs: Ministry of Finance should only advise whether it “approves” or does no approval a proposal for a project. Appleby claims all decisions to be tentative till approved or disapproved finally by cabinet. Parliament or the people. He was highly critical of the review process. Appleby thinks that the chief concern of the Ministry of Finance should be to develop intra-ministerial financial competency in the programme agencies, to transfer the accounting function to the Ministries under the general direction of Finance to limit the role of CAG to improve personnel recruitment.

Ministry of Home Affairs & U.P.S.C.: Where personnel arrangements not in strict conformity with usual practice are involved, a matter referred to finance is by finance referred automatically to Home Affairs and Home Affairs is in many matters dependent upon the Public Service Commission”. In ministry of Home Affairs, “review” is done at two levels curiously, the problem is reversed at the Public Service Commission, where almost everything requires

Approval, Appleby suggested reform in the selection procedure as adopted by Home Ministry in case of selection of one or two individuals for specific posts of very high category.

Comptroller and Auditor General (CAG) Appleby found that Audit Report for the central govt, was on the while a should document whatever transactions which appeared to be in bad light to auditors could appeal to be reasonable if information available to the ministries had been utilized.

Indian agencies one and all, “are more thoughtfully critical of other agencies than they are of their own performance.” Appleby was highly critical of the functions of CAG “If he says, is in large measure an inheritance from colonial rule. The function did not impede the British rule but it greatly restricted the Indians who served the government. The restrictions were sought by government in a situation of provincial administration largely concerned with police and taxation functions and not engaged in rapid a pursuit of welfare state objectives.

After independence CAG’s abuses become ‘vivid. At first reaction there was “disregard” of these restrictive measures but is due course the old restrictive effects were restored and strengthened.

Reviewing CAG: Appleby says that “the net of this uncorrected situation is that the CAG is today a primary cause of widespread and paralysing unwillingness to decide and to get.” This audit by the CAG will be generally directed towards a review of the decisions taken by the Board of Directions to ascertain to what extent their powers have been exercised in the best interest of the undertakings to see whether the powers delegated to the Chief Executives have been exercised properly.

Parliament is at fault when it exaggerated notion of and the importance of auditing to Parliamentary, responsibility” and so has failed to define the functions of the CAG as the constitution contemplated it would do. In to the vacuum thus left the auditor has moved. “To many of his reports are mere substitutions of hind sight for the kind of judgement possible and necessary and proper at the time of action.

Summary of Recommendations of Paul, H. Appleby Ford Foundation Consultant:

1. Mr. A.D. Gorwala was asked by the Government of India to recommend measures to improve administrative system of the country in 1951 Mr. Gorwala presented his report in June 1951.
2. Paul H. Appleby a Ford Foundation Consultant in Public Administration, too was later in.

1958-59 requested by O&M Division of cabinet secretariat to review Administrative System of India with special reference to Public Sector Undertakings.

3. Gorwala ridiculed claim of “efficiency” by private enterprises similarly the was not in favour of “profitability as the role criticism o working of PSU of India.

4. Disadvantage of Public Sector says Gorwala is the government becoming “model employer” thus making public enterprises more and more unprofitable.

5. Gorwala suggested that public enterprises need to be “flexible and effective,” safeguard national interest without encroaching upon the administrative independence and usurping the managerial responsibility.

6. Public Sector units need large measures of autonomy.

7. In case of internal Management, Modern techniques, new ideas, new procedures and practices be introduced.

8. Paul H. Appleby was critical of Indian Comptroller and Auditor General as merely “pedestrian”, Indian solutions need to be developed to solve Indian problems.

9. Indians insist to avoid taking decisions and also own responsibility there is No Rapid Decision Making and No Rapid Action.

10. Existing Procedure are cumbersome.

11. Open more institutes of Public Administration in the Country.

12. The remedy to India’s Administrative ills lies in Reform.

13. The procedure adopted by the Ministry of Finance needs to be improved as there still swell suspicious, doubts and mistrust.

14. The institution of CAG also needs to improve its function from highly critical to reasonably reviewing agency rather than a punitive agency.

15. Nothing can get Indian Administration out of the mess transmitted from years since 1857 on wards unless govt, of India is not willing to improve organizational structure (Ministries. Department, allied attached agencies to Ministries) and various Administrative Processes, Procedures, Rules Codes, practices & Methods of doing things.

Northcote Trevelyan & Fulton Report

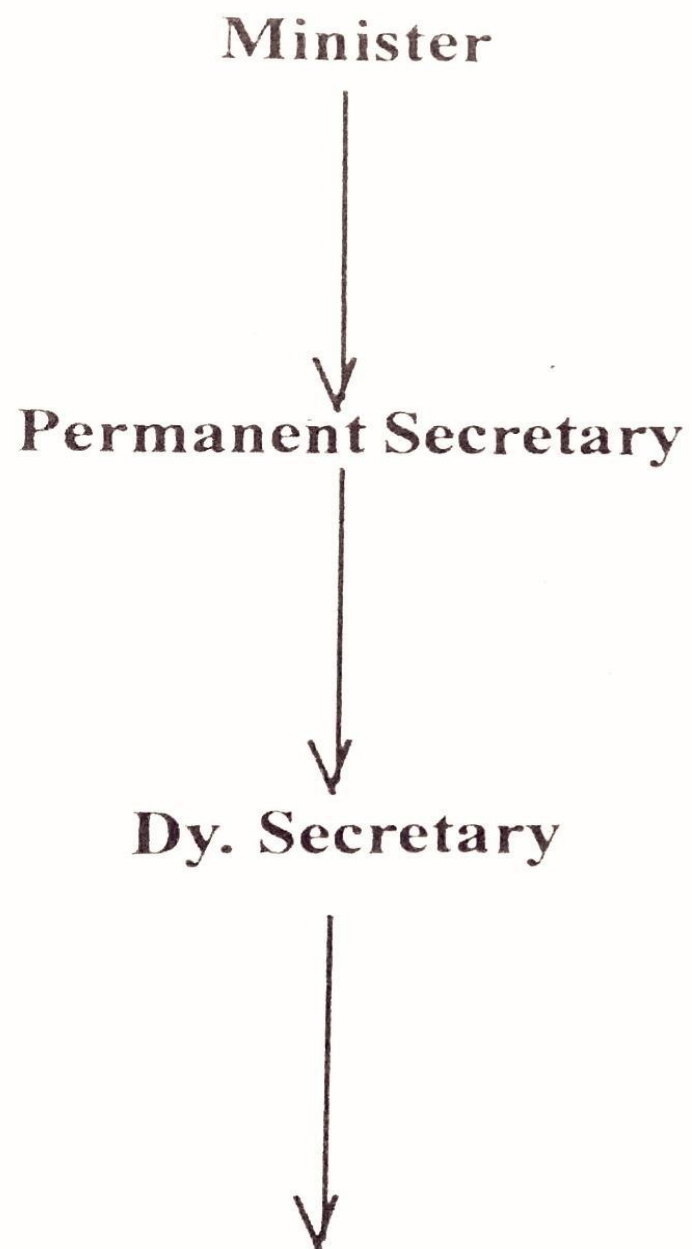
The committee was appointed by The Majesty. The, report was presented the both houses of

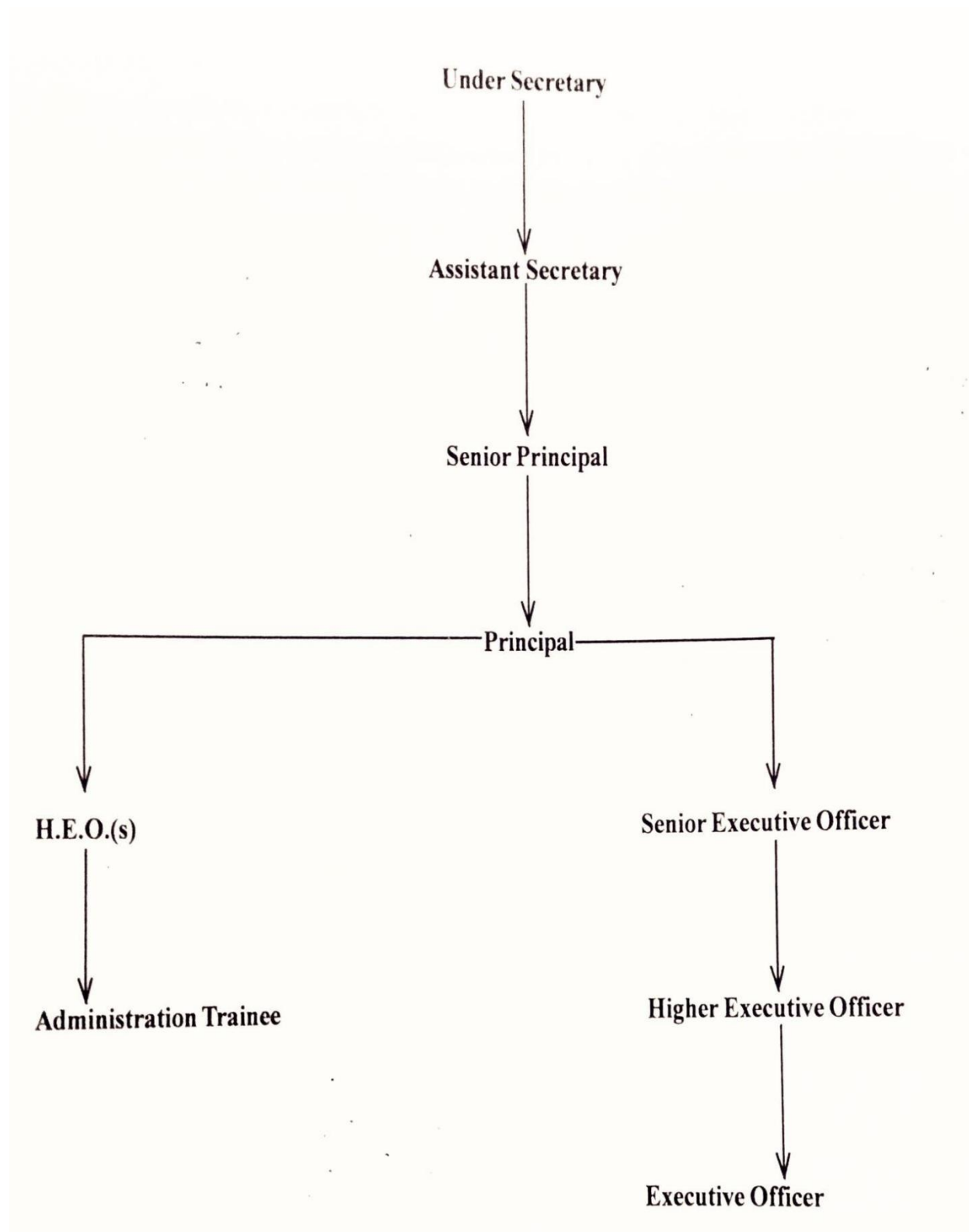
British Parliament by command of The majesty on 23rd November, 1853. There were two members of Committee namely Stafford. It Northcote and C.E. Trevelyan. It has come to be known as Northcote Trevelyan Committee. This Report was a landmark in the history of civil services in U.K. After Northcote- Trevelyan, there were numerous committees and commissions who had studied civil service in UK. but none had aroused so much hue and cry as did the Fulton.

Fulton committee had touched the basic foundation of civil service of UK. e.g. its essence of being a simple “generalist Service Fulton rightly pointed out the much changed nature of state its function duties of administrative officers of the Northcote. Trevelyan Days (1853). Fulton (1966) found British civil services not sufficiently equipped technical or specialised nature.

Civil Service in Britain: At the time Northcote Trevelyan Committee A department is the unit of administration in U.K. The British Department may be classified in to “ministries” and non- ministerial departments. A ministry is directly under the control of minister who is responsible to Parliament for the activities of his department.

A non ministerial department is one that although staffed by civil servants has not been placed under the direct control by a minister. But to be sure, there is always some minister who is responsible to Parliament for its operation. Nevertheless, these minor departments are virtually independent of the supervising ministry and, in fact, many of these even presents and, in fact, many of these even present their own estimates before Parliament.





Recommendation of Northcote-Trevelyan Committee about British Civil Service: Stafford H. Northcote Trevelyan had submitted their report in 1853. The principal recommendations of Northcote Trevelyan were as given below

1. Recruitment to the civil service should be by open competition, not by patronage.

2. Examination for recruitment should be conducted by “Central Board” i.e.: Civil Service Commission.
3. There should be a division between intellectual and routine work, the age of admission in the case of persons recruited for intellectual work should be from 17 to 25 in the case of persons to routine jobs it should be from 17 to 21.
4. There should be opportunities for promotions within the civil service.

All the above mentioned recommendations were implemented gradually without giving a “hot” and “shock” to the strong fortress of mandarins who would have created strong imbalance leading towards governmental and administrative instability. The civil service has been in the past a continuous object of critical evaluation, scrutinizing and objective assessment it has emerged for the last one and half century as strongest fortress of status quo in UK.

Other important commissions of inquiry appointed to review working of civil service in U.K. and its various aspects is given below:

1. The Play fair Commission (1875)
- 2 The Royal Commission a Civil (Establishments (1890) Ridley Commission.
3. The Royal Commission on the Civil Service (1915) called Mac Donald Commission.
4. The committee on Recruitment-on-the civil service (1918-19).
5. The Royal Commission on Civil Service (1931) called the Tomlin Commission
6. The relay Commission on the civil service (1955) called the Priestly commission.

Method of supply of a Best men with highest qualifications: The general principle then which we advocate, is that the public service should be employed from the first upon work suited to their capacities and their education and should be made constantly to feed that their promotion and future prospect depend entirely onto industry and ability with which they discharge their duties, that with average abilities and reasonable application, they may look forward confidently to a certain provision for their lives, that with superior powers they may rationally hope to attain to the highest prizes in the service while if they prove decided by incompetent or incurably indolent they must expect to be removed from it..

Training of Civil Servants: “The first question which were presents itself is, whether it is better to train young men for the discharge of the duties which they will afterwards have to perform, or to take men of mature age, who have already acquired experience in other walks of life. Our opinion is that as a general, it is decidedly bet to train young men, without laying too much stress on the experience which a long official life necessarily brings with it we can’t but regard it as an advantage of some importance.

“We accordingly recommend that a Central Board should be constituted for conducting the examination of all candidates for the public service whom it may be thought right to subject to such a test. Such a Board should be composed of men holding an in dependent position and capable of commanding general confidence, it should have at its head an officer of the rank of Privy Councillor, and should either include, or have the means of obtaining the assistance of persons experienced in the education.”

Examination of Public Servants: It should be made imperative upon candidates for admission to any appointment (except in Certain Special cases which will presently be noticed) to pass a proper examination before the Board and obtain from then a certificate of having one so.

Scheme of Promotion: If the opinions of the gentlemen engaged in the civil service could be taken on the subject of promotion it would probably be found that a very large majority of them could object strongly to what is called promotion b merit. The reason they would assign would be that promotion merit would usually second promotion by favouritism.

It ought, therefore to be a leading object with the Government so to regulate promotion by merit to provide every possible security against its abuse, and for this purpose we are of the opinion that the following system should be adopted.

On the occurrence of a vacancy in any class, the chief clerk, or other immediately superior officer, should furnish the secretary of the department with a return of the names of a certain number (m no ease less than three) of the clerks at the head of the class below, accompanied by a special report-upon the services and qualification of each.”

Fulton Committee on Civil Service: In 1966 a committee on the civil service, popularly ailed the Fulton Committee after the name of its chairman Lord Fulton wax constituted Between Fulton and Northcote Trevelyan, seven committees and commissions were appointed but no substantial improvements were recommended by these commission &

committees or the Govt, of great Britain did not find it worthwhile to implement their recommendations. Northcote Trevelyan discontinued that the shameful practice of patronage to the substituted merit examination on competitive basis. The process of merit oriented recruitment system gave birth to 'generalist administrator who alone could occupy to positions in public administration of the country and participate in policy making process of the Government. it was the historic task of the Fulton Committee to rescue the British civil service among others, from the obsessive cult of generalist. It converted it into a professional service competent to answer to the demands of a rapidly changing highly technological society. Nothing short of a basic transformation in the prevalent structure and practices of the Civil Service was the Fulton Committees verdicts. It diagnosed six principal weaknesses of the Civil Service that stood in the way of its effectiveness, preventing it from discharging efficiently the present and prospective responsibilities of the Government.

The Civil Service before 1966 was based on the philosophy of generalist administrator
Nature of Civil Service in UK. Before Fulton Committee Report:

1. It was amateur, generalist Civil Service, i.e.: non-specialists used to take majority of the decisions on behalf of the community as a whole.
2. The "cult of generalist" and its philosophy for over hundred years had institutionalized the Civil Service as in elite administrative class
3. The "Administrative class as elite service occupied all senior positions of British Civil Service
4. The logic of amateur generalist civil service was that the best administrator was supposed to be a gifted layman who moved from one job to another at frequent intervals and took decision on the basis of his knowledge and experience of the machinery of government; irrespective of the available substantive knowledge, irrespective of the available substantive knowledge in the concerned subject. "This view was obsolete" at all levels and all parts of the service.
5. The civil services consisted (1965-66) of various services called classes"- each of which of which functioned, more or less as a compete by separate entity.
 - a) "Higher" or First Division consisting of graduates four Oxford and Cambridge Universities.

- b) “Lower Divisions comprising recruited through a test of reading, writing, arithmetic expanded in a course of time into administrative class of senior civil servants. b.
- c) The Executive Class (of middle managers)
- d) The clerical class

In addition to above “classes” separate classes were created on the basis of occupations or of profession qualification. All these classes had become so rigid and jealous of their jurisdiction every job in public administration fell in one class or the other and movement of persons between than was rare. At the time of submission of Fulton Committee Report, there were in all 47 general classes whose members were posted in most Government Departments, also there were over comprised single members.

6. The specialist employed in the Closet, generally remained departed authority that was commensurate with their responsibility and of opportunities of advancement. Specialists were made second to generalist administrators, were compelled to function as “second rate-administrator functioning at the administrative periphery. The administrative system number of specialists in public administration in the pursuit of their specialism

7. “Too few civil servants were trained in public administration. Even members of the administrative class who were engaged in administration direct by lacked managerial skills. This state of affairs could not but impede the efficiency of public administration in delivering goods to the society.

8. Aloofness of civil service from society civil servants-lacked opportunities to have direct and comprehensive view of life as lived by ordinary citizen. The social base of the civil service more over was also too narrow which contributed in no significant measure to the distance between civil servant and British community. and

9. Unsystematic and unsound personnel administration of British Govt. No one was even aware concerned for career planning and career management development to the British Civil Service Transfers of civil servants were all too frequent and where no linkage in their experiences.

Summary of Main Recommendations of Northcote and Trevelyan Report:

1. To provide, by a proper system of examination for the supply of the public service with a thoroughly efficient class of men
2. To encourage industry and foster merit by teaching all public servants to look forward to promotion according to their desert and to expect the highest prizes in the service if they can qualify themselves for them.
3. To mitigate the evils, which result, from the fragmentary character of the service, and to introduce into it some elements of unity by placing the first appointments upon a uniform footing

Fulton Committee

1. Fulton recommended that there should be gradual Induction of specialists and professional into the generalist, civil service of UK
2. Culture of Generalist should be destroyed or modern administration is becoming highly technical.

12.8 SUMMARY

The civil service was based on the Philosophy of Generalists administrator in India. In its turn this policy reflected the generally accepted principles in its country (i.e. UK) that non-specialists should take the major policy decisions on behalf of the community as a whole. The administrative class was the institutionalisation of this cult. The administrative class was the UK elite service and as a rule, its members occupied all senior positions in the Government. This view as the Fulton Committee most emphasised, is absolute at all level and in all parts of the service.

12.9 GLOSSARY

1. **Generalist** :In India, Generalist do not have to specialize in the discipline of Public Administration.
2. **Specialisation**. : Professional in the civil services and they are in India grouped into Sixteen Civil Services.
3. **Corruption**. :The use of public power for private profit/gain.

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12.11 TERMINAL QUESTIONS

1. Examine critically the problems of Generalists and Specialists in India and UK.
2. Discuss Corruption. What are the measures for containing this problem in India?

Unit-13

Pay Commissions in India and their Role in Administrative Reforms.

Structure

- 13.0. Learning Objectives
- 13.1. Introduction
- 13.2 pay commission in India
- 13.3. Composition pay Commission
- 13.4 Summary
- 13.5 Self check exercises
- 13.6 Glossary
- 13.7 Answer to self-check exercises
- 13.8 Suggested reading
- 13.9 Terminal questions

13.0. Learning Objectives

After going through this lesson, the student will be able to understand

- The pay commissions of India
- The function performed by pay Commission

13.1. INTRODUCTION

Pay Commission is set up by Government of India, and gives its recommendations regarding changes in salary structure of its employees set up in 1947, Since India's Independence, seven pay commissions have been set up on a regular basis to review and make recommendations on the work and pay structure of all civil and military divisions of the Government of India. Headquartered in Delhi(India), the commission is given 18 months from date of its constitution to make its recommendations. A Pay Commission is an administrative system and mechanism of the Central Government that reviews and examines existing salary structure and recommends changes (in pay, allowances, benefits, bonuses and other facilities) for civil employees and military forces.

The Second Administrative Reforms Commission (ARC) was constituted on 31 August 2005, as a Commission of Inquiry, under the Chairmanship of Veerappa Moily for preparing a detailed blueprint for revamping the public administrative system

Pay commission is a body set up by the Central government those reviews and recommends changes to the salary structure of the employees. This panel also reviews the bonuses, allowances and other benefits of the employees. It recommends changes for central government employees and pensioners as well as the defence forces. So as inflation eats into the purchasing power of money, it is important to adjust salaries of government employees. The pay commission is responsible for salary revisions of all the central government employees and pensioners and its decisions affect millions of people.

While reviewing the salary structure, the pay commission takes into account the prevailing economic conditions, inflation, fiscal position of government among various other factors.

It is not mandatory for the government to accept the recommendations of the pay commission. The government may choose to accept or reject the recommendations. Pay commissions are usually constituted every 10 years and the first pay commission was set up in 1946. Since Independence, a total of seven pay commissions have been formed. The latest pay commission was set up in 2014 and its recommendations came into effect in 2016. Currently, central government employees and pensioners get the salaries based on recommendations of 7th pay commission.

The 7th pay commission has made some important recommendations which were accepted by the government including introducing a new pay matrix and keeping the annual increment rate at 3%. So, if the pay commission's review of salary structure comes after a significant time gap, how do employees get protected from inflation. To compensate for real value erosion of employees' salaries due to inflation, the government periodically reviews Dearness Allowance (DA). The Dearness Allowance revisions are also based on the previous pay commission and differ from employee to employee.

13.2 pay commission in India

Pay Commission is set up by Government of India, and gives its recommendations regarding changes in salary structure of its employees set up in 1947. Since India's Independence, seven pay commissions have been set up on a regular basis to review and make recommendations on the work and pay structure of all civil and military divisions of the Government of India. Headquartered in Delhi (India), the commission is given 18 months from date of its constitution to make its recommendations.

First Pay Commission

The first pay commission was established on January, 1946 and it submitted its report in May, 1947 to the India. It was under the chairmanship of Srinivasa Varadachariar. The mandate of 1st (nine members) was to examine and recommend emolument structure of Civilian employees.

Post War Pay Committee for the armed Forces

Armed forces emoluments structure was determined not by the 1st Central Pay Commission (CPC) but by a Departmental Committee which had service members. The task of this committee was to make recommendations "in the structure of emoluments and benefits of service personnel in the light of the recommendations made by the pay commission for civilian employees". The First Pay Committee, set up after the 1st pay Commission, was called "The Post War Pay Committee for the armed Forces". The New Pay Code effective from 1 July 1947 was based on the recommendations of this committee. The pensionary benefits were examined by separate committee called "Armed Forces Pension Revision Committee (1949–50)".

Second Pay Commission

The second pay commission was set up in August 1957, 10 years after independence and it gave its report after two years. The recommendations of the second pay commission had a financial impact of ₹ 39.6 crore. The chairman of the second pay commission was Jagannath Das.

Raghuramiah Committee

The Departmental Pay Committee, set up after the 2nd pay Commission, was called, the Raghuramiah Committee (1960), which had service representatives. It examined armed forces emoluments and made recommendations

Third Pay Commission

The third pay commission set up in April 1970 gave its report in March 1973.

Third Pay Commission and the Armed forces

Introduction.

1. 3rd CPC was the first CPC for Defence Forces. I quote from para 5, Unit 48 Vol 3 of the report, "5. It is for the first time that a Pay Commission has been asked to enquire into the structure of emoluments of both the civilian employees, of the Government and the Armed Forces. In the past, the latter, was entrusted to departmental committees which included the representatives of the Services also."

2. There was no bureaucratic interference in proposals made by services. Ex Chiefs Gen Kumaramangalam and Adm Chatterjea were invited for discussions besides some other veteran officers. I quote from para 7, Unit Report of the Third Central Pay Commission, 1973.Vol.IV. 48 Vol 3. "Report of the Expert Cell was finalised only by the Service members. The Ministry of Defence in, their letter forwarding the Report of the Expert Cell in June, 1971, clarified that "the views contained in the Report are those of the Service Experts, as endorsed by the three Service Chiefs".

3. Commission also visited forward posts at heights of 13000 feet, air bases, ships, submarines, ordnance depots, hospitals, etc. to gain first-hand experience of service hardships. There is no evidence of any bureaucratic or political interference in the report. The CPC was headed by a retired Supreme Court justice, Shri Raghubar Dayal. Report of the Third Central Pay Commission, 1973.Vol.III.

The commission was of the view that the most practical and equitable method for determining Service pays would be on the basis of fair comparison with the pay rates fixed

for the civilian employees of the Central Government. This nexus becomes all the more relevant and desirable when we recall that recruitment to our Armed Forces is on a voluntary basis, which means that persons have to be attracted from civilian life. The quality of recruitment to the Armed Forces will be satisfactory only if Service pays are comparable to levels of remuneration in civilian employment. A link between the two is therefore, inherent in the case of volunteer armed forces.

In 1973, the Government implemented the following changes in pensions of the Armed Forces:

Pensions before 3rd CPC. Pensions were worked in fractions and not in percentages, as is being claimed by many dubious sources. For ease of understanding, fractions will be converted to percentage in subsequent text.

Armed forces Pensions. Armed forces pay and pensions were lower than those of the Britishers. During second world war these were hiked for obvious reasons. After world war was over these

were reduced drastically and brought more or less in line with civilians. After Independence, pensions of Armed Forces were fixed by Armed Forces Pension Revision Committee (AFPRC). Its recommendations were implemented w.e.f 1st Jun 1953. Pensions remained more or less fixed till next pay commission for civilians was finalised. For example, a Lt Col drew a fixed pension of Rs.625/- from Jun 1953 till Oct 1961. No DA/DR was admissible to pensioners before 3rd CPC. Later pension was increased to Rs 675 in Oct 1961. In Sep 1970 pension was reduced to Rs 587/- to compensate for grant of Death Cum Retirement Gratuity (DCR). As for as PBOR are concerned, upper retirement age was 50 years for Army and 55 years for other two services. For officers and PBOR, AFPRC used the formula of 1/60 to work out pensions rank wise. Maximum pension was capped at 30 years of service. A person retiring with 30 years or more of service got a pension 30/60 (50%) of the rank emoluments. The pension was not worked for individuals. It was worked rank wise. Rank was to be held for at least 2 years to get pension for the same rank. However, it was based on the minimum pay of the rank for officers and mean of the pay group for PBOR. There was a depression of 2 years for PBOR who served from 15 years to 25 years. Therefore, soldiers were compensated for 13 years of service while they actually served for 15 years and so on. This depression was removed in 1968. Service pensioners did not receive any DCR till 1970. In 1970, DCR was introduced, whereas civilians were receiving DCR since 1950 with their pensions reduced proportionately from 1/60 (50%) to 1/80 (37.5%). The loss of pension was

12.5% to compensate for DCR. On similar lines, to compensate for DCR in 1970, officer's pension was reduced by appx 8% and PBOR 11%. From the information given above, it is evident that before 3rd CPC a PBOR retiring with 15 years of service got a pension of 15/60 (25%) less 11%. A PBOR retiring with 30 and more years of service got 30/60 (50%) less 11%, appx. 39% of his emoluments as pension. It is clear that no PBOR got a pension of more than 39% of emoluments contrary to the belief that the PBOR pensions were 70% before 3rd CPC and OROP were in vogue. Report

Liberalised Family Pension: Conditions. Mrs Indra Gandhi for the first time introduced Liberalised Family Pension for war widows and their children. It was made effective from 1947 to include all past operations including Counter Insurgency Operations. In case of death of an Armed Forces Personnel under the circumstances mentioned below, the eligible member of the family is entitled to Liberalised Family Pension equal to reckonable emoluments last drawn, both for officers and PBOR. Liberalised Family Pension at this rate is admissible to the widow in the case of officers and to the nominated heir in the case of PBOR until death or disqualification.

decided to grant Liberalized Pensionary Awards equivalent to the basic pay +increments +rank pay +good service pay+ dearness pay + home saving element to the nominated heir of PBORs of Armed Forces personnel as well as NCs(E), (including APS and DSC personnel), who were killed in action or disabled in the operations against any neighbouring country and as well as in following actions:

1.1947–48 Kashmir Operations, international wars of 1962, 1965 (including Kutch and Kargil Ops.), 1971, as well as Goa and Hyderabad operations.

2.In warlike operations or border skirmishes either with Pakistan on cease fire line or any other country, operation against armed hostiles like Naga & Mizos and also while deployed in peace-keeping mission abroad.

3.During laying or clearance of mines .

These benefits were granted w.e.f 1-2-1972 to the nominated heirs / NoKs of all personnel who were killed in above actions and operations from 1947 to 1948 onwards.

Rates of Liberalised Family Pension. Under this category nominated heir of the PBOR will be granted Lib. Family Pension equal to the reckonable emoluments last drawn which includes Pay in pay band + GP + MSP + X Group Pay if any + Classification allowance actual drawn if any until death or disqualification. If a PBOR is not survived by widow but is

survived by child (ren) only, all children together shall be eligible for Lib. Family Pension at the rate equal to 60% of reckonable emoluments till his/her disqualification i.e. attaining the age of 25 years. On death / disqualification of senior most children it will pass on to next eligible child. And the crippled child if any will be granted continuance award of family pension when all children become disqualified. The crippled child will continue to receive this award for life at the rate equivalent to 60% of Liberalised Family pension.

In addition, Civilians serving in field formations (cooks, washer up, water carriers etc.) were given uniform and made NC(E)s.

Civilian Pensions. As far as Civilian pensions are concerned, their retirement age varied from 50 years for senior officers to 58 years for class 4 employees. Till 1950 they were not getting DCR and their pension was based on 1/60 formula and capped at 30 years of service. They received 30/60 (50%) of the last three years of average emoluments as pension. In 1950 DCR was introduced and their maximum pension reduced to 30/80 (37.5%). This continued till 3rd CPC. Therefore, Civilians as well as PBOR were drawing less than 40% of emoluments as pension by more or less using similar formulas. Both were getting similar DCR too. There was no DA/DR for any one. PBOR had no advantage on account of early retirement. Report

Post 3rd CPC Pensions. Civilian pension formula wasn't altered much. The significant change was to increase qualifying service for pension from 30 to 33 years. Thereafter, maximum pension improved to 33/80 (41.25%) for 33 years of service. Formula for DR was worked out.

“We have received numerous representations suggesting that we should recommend some measures for protecting the pensions of the existing Government employees from erosion O!l account of the possible increases m the cost of Living in future. We recommend that all future pensioners, irrespective of the amount of pension drawn by them, should be given a relief at the rate of 5 per cent of their pension subject to a minimum of Rs 5 per mensem and a maximum of Rs. 25 per mensem. The relief at these rates should be given as and when there is 16 points rise in the 12-monthly average of the All India Working Class Consumer Price Index (1960=100).”

On the other hand, service pensions were revamped. Same 33/80 formula was used to work out defence pensions. There was no change in rank criteria for earning pension. Pensions were granted as per rank held for two years. Improvements were done to base pensions on the maximum pay of the rank and not minimum/mean pay as was the case earlier. The main highlight of the 3rd CPC was that for the first time weightage was given to Armed Forces for

early retirement and DR granted. PBOR, Lt Colonels, Colonels and Brigadiers got a weightage of 5 years, Majors 6 years and Captains and below 7 years. This resulted in a PBOR retiring with 15 years of service getting a pension @ 20/80 (25%) compared to 15/80 (18.75%) received by a civilian. A PBOR retiring with 28 years of service received 33/80 (41.25%) in comparison to civilian who received a lower percentage of 28/80 (35%). Hence, for the first time since independence Armed Forces had an edge over civilians in pensions.

Fourth Pay Commission

Constituted in June 1983, its report was given in three phases within four years and the financial burden to the government was ₹ 1282 crore. This commission has been set up on dated 18.3.1987, Gazette of India (Extra ordinary) Notification No 91 dated 18.3.1987, The chairman of fourth pay commission was P N Singhal.

Fourth Pay Commission and the Armed forces

Indian National Congress Government, headed by Rajiv Gandhi, in the wake of the 4th CPC to implemented concept of 'Rank Pay' for armed forces officer. Rank Pay affected all officers ranks from second lieutenant to brigadier in the army, and equivalent ranks in the Indian Air Force and the Indian Navy. The 'rank pay', which varied from 200 to 1200, was not an additional pay, but amount deducted from their pay grade. This ended long established err Military Indian Police service equations. Police Officers, and officers from other AIS officers, with 14 years of service, who were formerly in the same pay grade as majors, with 14 years' service, were equated to Brigadiers, on the basis of the new pay grades. Maj General Satbir Singh an expert on Police- military rank structures and pay grades, called rank pay, "rarest of rare fraud, perjury and Injustice to the defence forces".

He explained, "How could it be allowed that the first military rank of Second Lieutenant along with two promotional ranks of Lieutenant and Captain were all clubbed with the first civilian rank". Similarly, at the level of major 'rank pay' had the effect of promoting civilian pay grades equal to major till the 3 CPC, to that of Colonels." The rank pay became an issue of considerable resentment in the armed forces, and cause of general distrust of the pay commissions, and the Congress I Government. Eventually, Maj AK Dhanapalan, a retired major, litigates 'rank Pay'. After protracted legal struggle high court, despite many appeals, in a landmark decision declares the 'rank pay' concept illegal. In its judgment the SC notes that

the 'rank pay' was wrongly deducted from basic pay and ordered re-fixation of pay "with effect from" and not "as on" 1 January 1986

Fifth Pay Commission

The notification for setting up the Fifth CPC was issued on 9 April 1994, but started functioning only on 2 May 1994, with the assumption of charge by the Member Secretary. The chairman of fifth pay commission was Justice S. Ratnavel Pandian. the members were: Suresh Tendulkar, Professor Delhi School of Economics; and M.K Kaw, IAS. In comparison, First CPC had nine members including military members, the second had six members including a military member, the 3 CPC and 4 CPC had five, but no military member. The fifth had three members, but no military member. The first had no member secretary, just a secretary. After the 1 CPC all pay commissions have had a member secretary, and invariably from the IAS.

The 5 CPC report, a massive tome, had nine part in 172 Units. It took three years with a sanctioned staff 107, which ballooned to 141, to prepare the report. By way of comparison, 4 CPC took 209 bureaucrat Accounts Service, Indian Revenue Service, Indian Economic Service, Central Secretariat Service, Border Security Force, Geological Survey of India, Central Public Works Department and National Informatics Centre. It cost ₹ 17,000 crore.

Part VI of report dealt with pensions and retirement benefits for civilian; Part VII dealt with pay scales and allowances of Armed Forces personnel. Part IX is the concluding part of the Report.

Financial Impact of Fifth pay commission

Other recommendations

One of its recommendations was to slash government workforce by about 30%. It also recommended to reduce the number of pay scale from 51 to 34 and to not recruit to about 3,50,000 vacant position in the government. None of these recommendations were implemented.

Criticisms by World Bank

Fifth Pay Commission and the Armed forces

Terms of Reference

The 4CPC, for unknown reasons, had no separate TORs for the Armed Forces. The 5 CPC, however, for the first time was asked to examine the terms and conditions of the Armed Forces, and make suggestions for what is "considered desirable and feasible". Thus, the pay

commission noted ambiguously that "even their recommendations with regard to changes in the structure of emoluments including death cum gratuity in respect of Armed Forces Personnel had to be made with due regard to the terms and conditions of their service

Lateral Transfer

The 5 CPC, in its report submitted in January 1997, recommended increase in posts for Armed Forces personnel in Group C and D in Central Armed Police Forces (CAPFs) from 10 to 25 percent. For Short Service Commissioned Officers, on completion of their military service, 5 CPC recommended earmarking 25 percent officer's post in the CAPFs. These recommendations by the pay Commission were intended to reduce the defence pension bill; save on training and recruitment costs; provide trained manpower to government departments; and provide soldiers a second career after their term of military engagement.

These recommendations of the Pay Commission were, however, mostly ignored by the Janata Dal (United Front), and BJP Government of Atal Bihari Vajpayee that followed. Mulayam Singh Yadav, Defence Minister (1 June 1996 – 19 March 1998), Indrajit Gupta (Communist Party of India-United Front), Home Minister (29 June 1996 – 19 March 1998), and L K Advani (BJP), Home Minister (19 March 1998 – 22 May 2004) did little to implement these recommendations. The problem festered, and the pension bill ballooned.

Sixth Pay Commission

In July 2006, the Cabinet approved setting up of the sixth pay commission. This commission has been set up under Justice B.N.Srikrishna with a timeframe of 18 months. The cost of hikes in salaries is anticipated to be about ₹ 20,000 crore for a total of 5.5 million government employees as per media speculation on the 6th Pay Commission, the report of which is expected to be handed over in late March/early April 2008. The employees had threatened to go on a nationwide strike if the government failed to hike their salaries. Reasons for the demand of hikes include rising inflation and rising pay in the private sector due to the forces of Globalization. The Class 1 officers in India are grossly underpaid with an IAS officer with 25 years of work experience earning just Rs.55,000 as his take home pay. Pay arrears are due from January 2006 till September 2008. Almost all the Government employees received 40% of the pay arrears in 2008 and balance 60% arrears (as promised by Government) has also been credited in Government employees account in 2009. The Sixth Pay Commission mainly focused on removing ambiguity in respect of various pay scales and mainly focused on reducing number of pay scales and bring the idea of pay bands. It recommended for removal of Group-D cadre.

Seventh Pay Commission

The Government of India has initiated the process to constitute the 7th Central Pay Commission along with finalisation of its Terms of Reference, the composition and the possible timeframe for submission of its Report. On 25 September 2013 then Finance Minister P Chidambaram announced that Prime Minister Manmohan Singh has approved the constitution of the 7th Pay Commission. Its recommendations are likely to be implemented with effect from 1 January 2016. Justice A.K Mathur will be heading the Seventh Pay Commission, announcement of which was done on 4 February 2014 . On 29 June 2016, Government accepted the recommendation of 7th Pay Commission Report with meagre increase in salary of 14% after six months of intense evaluation and successive discussion

In May 2014, a group of retired government officials, challenged the inclusion of a senior IAS officer in the three-member 7th Pay Commission, in the Delhi High Court. They alleged that this would lead an inherent bias in the commission's recommendations towards IAS officers.

On 9 November 2017, the government raised the maximum amount that a central government employee can borrow from the government to Rs 25 lakh for new construction/purchase of new house/flat Earlier this limit was only Rs 7.50 lakh. This move is going to benefit about 50 lakh central government employees all over India. The employee can borrow up to 34 months of the basic pay to a maximum of Rs 25 lakh, or cost of the house/flat, or the amount according to repaying capacity, whichever is the least. If both spouses are central government employees, they can take Housing Building Advance (HBA) either jointly, or separately. Also, the rate of Interest on HBA will be only 8.50% at simple interest.

SC constitute a new Pay commission for trial court judges

On 19 November 2015, the 7th Central Pay Commission recommended 23.55% hike in pay and allowances which will be implemented from 1 January 2016. The full report is available on the website of Ministry of Finance, Government of India

The Union Cabinet approves 7th Pay panel recommendations on 29 June 2016. The recommendations will be affected from 1 January 2016 with arrears to be paid in the financial year 2016-17 itself unlike previously, when arrears were paid in the following financial year. Also, this time, employees will be had to wait only 6 months for the CPC's recommendations to be implemented as compared to 19 months for the 5th CPC and 32 months for the 6th except for autonomous organizations like CSIR, ICAR, ICMR etc. under various ministries.

Seventh Pay Commission and the Armed forces

The recommendation of the 7CPC affecting the armed forces are a cause of profound unease and resentment in the Armed Forces, especially, 7CPC recommendation on separate 'Pay Matrices', and allowance system for the armed forces and defence civilians, and police, and other civil servants. While 7CPC provides for mandated timescale promotions to Defence civilians from audit and account services, police, and other officers at regular intervals of 4, 9, 13, 14, and 16 years of service; it does not do so for the armed forces officers. The orders implemented by the government on the basis of 7 CPC recommendation, despite armed forces advise and concerns, make time scale police officers and defence civilians with lesser service and experience, senior to armed forces officers, and potentially in command of armed forces officers of equal or senior ranks. For instance, Wing Commanders of the Air Force, commander of the navy, and Lt colonel of the army, with 13 years of service, according to MOD implementation tables, will be subordinate in 'level', rank, pay scale, and organizational hierarchy than police officers, auditors and accountants, with equal or even lesser service. MOD implementation order has created an invidious situation for armed forces officers when serving alongside defence civilians and police officers. According to the MOD orders, a police officer and Defence Accounts officer with 14 years' service will be at higher level than the naval officer in command of INS Vikramaditya, India's Aircraft carrier, a highly selective rank and appointment, with some 20 years of service.

In March 2016, eighteen former heads of the Armed forces, including General Ved Prakash Malik (former Chief of Army Staff) and Admiral Arun Prakash (former Chief of naval staff) sent a joint letter to Narendra Modi, the Prime Minister, conveying their distress and alarm on the flawed approach and contentious recommendations of the 7CPC. The representations by former Chiefs and the Chiefs of Staff to the MOD, the PM and other bureaucratic bodies reviewing the 7CPC recommendations were in vain. On 25 July 2016, without addressing or taking into account the key concerns of the armed forces, the Government issued instructions implementing 7CPC's "general recommendations on pay without any material alteration" including separate "Pay Matrices" (for civilians) and the armed forces.

13.6 Summary

Pay Commission is set up by Government of India, and gives its recommendations regarding changes in salary structure of its employees set up in 1947, Since India's Independence, seven pay commissions have been set up on a regular basis to review and make recommendations

on the work and pay structure of all civil and military divisions of the Government of India. Headquartered in Delhi(India), the commission is given 18 months from date of its constitution to make its recommendations.

13.7 Glossary

Pay Commission: A Pay Commission is an administrative system and mechanism of the Central Government that reviews and examines existing salary structure and recommends changes (in pay, allowances, benefits, bonuses and other facilities) for civil employees and military forces.

13.8 Answer to self-check exercises

To see

a. 13.2

b. 13.4

13.9.Suggested reading

1. *"Vol III, 3rd Central Pay Commission Report Report" (PDF). New Delhi. April 1973. Archived from the original (Report, pdf) on 9 October 2016. Retrieved 6 October 2016.*
2. *"Report of Seventh Central Pay Commission" (PDF). New Delhi: Government of India. 19 November 2015. Archived from the original (p 899) on 20 November 2015. Retrieved 19 December 2015.*
3. Singh, Maj Gen, Satbir (18 February 2013). *"Who Is the Biggest Enemy – China, Pakistan or Babus"*. N Delhi: Indian Defence Review. Retrieved 4 November 2015.
4. Pandian; et al. (1996). *"Report of the Fifth Central Pay Commission Volume I" (PDF). Archived from the original (PDF) on 24 August 2015. Retrieved 26 August 2015.*
5. *"Justice Ashok Kumar Mathur - Chairman, Seventh Central Pay Commission"*. Retrieved 4 February 2014.
6. Aneesha Mathur (7 May 2014). *"Inclusion of IAS officer in 7th Pay Commission challenged in Delhi HC"*. *The Indian Express*. Retrieved 17 September 2014.
7. *Report of the 7th Central Pay Commission". Ministry of Finance. Government of India.*

8. <https://backup.pondiuni.edu.in/sites/default/files/Compensation-mgt-260214.pdf>
9. <https://shodhganga.inflibnet.ac.in/jspui/bitstream/10603/262251/11/t%20v%20s%20n%20murty%2011%20july2019-305-369.pdf>
10. <https://backup.pondiuni.edu.in/sites/default/files/Compensation-mgt-260214.pdf>
11. https://en.wikipedia.org/wiki/Pay_Commission
12. https://en.wikipedia.org/wiki/Pay_Commission

13.10 Terminal questions

- What do you understand by Pay Commission? Describe 7th Pay commission Report

Unit-14

Recommendations of Veerappa Moily 2nd Administrative Reforms Commission 2005.

Structure

- 14.0. Learning Objectives
- 14.1. Introduction
- 14.2 10th Report of 2nd ARC
- 14.3 Summary
- 14.4 Self check exercises
- 14.5 Glossary
- 14.6 Answer to self-check exercises
- 14.7 Suggested reading
- 14.8 Terminal questions

14.0. Learning Objectives

After going through this lesson, the student will be able to understand

- The 10th report of 2nd Administrative Reform commissions of India
- The function performed by Government

14.1. Introduction

The roots of the civil service go back a long way in human history. The key to the survival of the ancient Egyptian civilisation that flourished as early as 3,000 BC, was the civil service – the historical model of all later bureaucracies. The waterways for the whole country needed central management, which required a body of scribes and officials. Once in place, the scribes and officials found their second realm of business in the extensive construction activities which were organised along military lines. It was only a matter of time before they took over the administration of the entire state. In China where the civil service has lasted from at least 200 BC, it played a crucial role in the preservation of the Chinese Empire from the time of Shi Hwangti. In China, the civil servants were recruited on the basis of merit and enjoyed a well-defined career path and security of tenure. Serving the state was considered a great privilege bestowed only on a chosen few with demonstrated talents. In Japan, the civil service provided continuity of administration since the Taika reforms of 645 AD, and that too, in spite of change of systems and transfer of power from one regime to another. The numerous Negro empires existed only briefly because they lacked an apparatus of officials. The unity of the Carolingian empire was under serious strain once its organisation of officials disintegrated. The nuclei of intensive modern states in the Middle Ages developed concomitantly with bureaucratic structures. Developing a civil service was an essential step in the process of nation-building in Europe. The modern bureaucratic state evolved in Europe, where the concept was considered such a breakthrough in administrative technology that it was transported to other countries. So, the concept journeyed eastward in Europe to the German principalities and Russia. In Prussia, the bureaucracy introduced extensive regulations to modernise the economy and the educational system on the pattern of the French; the system worked well only because the civil society was sufficiently developed to moderate the process of bureaucratisation. When the concept travelled further east to Russia, the state became excessively bureaucratic in the absence of a developed civil society to restrain it. In spite of valiant efforts by Peter the great, and Mikhail Gorbachev in recent times, the civil society in Russia has not been able to develop itself on the Western European model and act as a check on the bureaucratic state. In India, the legends of the Aryans speak of the evolution of the administrative apparatus. The gods, at war with the demons, were on the verge of defeat. In desperation, they got together and elected a king to lead them. The origins of the early Aryan administrative system may perhaps be traced to these legends. Kautilya's Arthashastra stipulates seven basic elements of the

administrative apparatus. These elements are embodied in the doctrine of the Prakrits. They are: Swamin (the ruler), Amatya (the bureaucracy), Janapada (territory), Durga (the fortified capital), Kosha (the treasury), Danda (the army), and Mitra (the ally). According to Arthashastra, the higher bureaucracy consisted of the mantrins and the amatyas. While the mantrins were the highest advisors to the King, the amatyas were the civil servants. There were three kinds of amatyas: the highest, the intermediate and the lowest, based on the qualifications possessed by the civil servants. The key civil servant was the samahartr, who prepared the annual budget, kept accounts and fixed the revenue to be collected. The other key civil servant was the samnidhatr who kept records of the body of taxes realised and was in charge of the stores. A new stage in the evolution of the administrative order came at the time of Delhi Sultanate. The Sultanate was initially a classical conquest state and it was necessary for the rulers to establish and consolidate their authority and control over the newly conquered territories. This was done by assigning land on a temporary basis to the followers, who became the civil servants, while, at the same time, by transferring the holders of these assignments as frequently as possible to establish control over them. Such a system – the system of simultaneously appropriating a sizeable part of the social surplus and distributing it to the members of the ruling elite – so successfully introduced by the Delhi Sultanate – was adopted by contemporary states outside the Sultanate such as in Orissa and Vijayanagara. This system was responsible for bringing about a new conception of civil service which, through radically different from the Mauryan practice defined, in general, the structure and role of public bureaucracies in later years. The Mughal bureaucracy, for example, was based on the mansabdari system. Every mansabdar was invested with a mansab (a rank or a command) which determined his position in the Mughal bureaucracy. The mansabdari system was essentially a pool of civil servants available for civil or military deployment. The mansabdari system, as it finally evolved, became a combination of the higher civil service, the peerage and the army, all rolled into an omnibus civil service organisation. The civil service system in India during the British times was based essentially on the Mughal system, albeit with certain refinements. But the big changes came with the implementation of Macaulay's Report. The Macaulay Report recommended that only the best and brightest would do for the Indian Civil Service. The Report said, 'It is undoubtedly desirable that the civil servants of the Company should have received the best, the most liberal, the most finished education that the native country affords'. The Report insisted that the civil servants of the Company should have

taken their first degree in arts at Oxford or Cambridge. The Macaulay Committee cannot be faulted for its enthusiasm to get the best and the brightest

for the ICS. After all, the interests of the Empire itself demanded that the civil service of colonial India attract the best talents of the British universities. The Report suggested that the educational background of the colonial administrator should be even more comprehensive than that of the civil servant in England. In the words of the Committee, 'Indeed, in the case of the civil servant of the Company, a good general education is even more desirable than in the case of the English professional man; for the duties even of a very young servant of the Company are more important than those which ordinarily fall to the lot of a professional man in England'. The advocacy for the best talents of England to look after the imperial interests in India could not have been done with greater sophistry. In 1835, Lord Macaulay did admit before the British Parliament: "I have travelled across the length and breadth of India and I have not seen one person who is a beggar, who is a thief. Such wealth I have seen in this country, such high moral values, people of such calibre, the very backbone of this nation, which is her spiritual and cultural heritage". But Macaulay's Report was a product of the times. At the time that the Committee reported, British political supremacy in India had matured into a paramount sovereign power capable of imposing its will through its bureaucratic agency. From Wellesley through the Marquis of Hastings to Dalhousie, the political authority of the British in India kept growing; and the scope of operations of the Empire had increased substantially. Clearly, the services of the best and brightest were called for to sustain the Empire, maintain its territorial integrity and impose order. The ICS men were trusted agents of the British Government even though there were also many patriots among them. The ICS was the instrument of the imperial power, and the leaders of the Indian National Congress had made it clear during their struggle for independence that they wanted to abolish the ICS and all it stood for. Jawaharlal Nehru was 'quite sure' in 1934 that 'no new order can be built in India so long as the spirit of the Indian Civil Service pervades our administration and our public services', it being therefore 'essential that the ICS and similar services must disappear completely'. Yet in the years afterwards the ICS tradition not only survived, it prospered. In the spring of 1964, Nehru was asked at a private meeting by some friends what he considered to be his greatest failure as India's first Prime Minister. He reportedly replied, 'I could not change the administration, it is still a colonial administration'. Nehru then went on to elaborate his belief that the continuation of that colonial administration 'was one of the main causes of India's inability to solve the

problem of poverty Prime Minister Indira Gandhi was even more critical. Replying to the debate on the President's address in the Parliament in March 1966, she said, "what India needed today, was a 'revolution in the administrative system' without which no enduring change could be brought about in any field". In an interview she gave to a news agency on completing 100 days in office, she observed: "The problem of administration has added to the difficulties of the country. All along the line, administration has deteriorated – at the Centre, in the States, and even in the lower rungs of the governmental set up. Toning up would have to be done, new procedures might have to be evolved, and even fresh recruitment at all levels would have to be considered". In her convocation address to the University of Roorkee in November 1967, she noted that, "Administrators sometimes lag behind the situations they are supposed to administer. If a large proportion of the investment we have made under the plans remains unutilised, the cause is to be found in administrative shortcomings". It is ironical that there has been no sincere attempt to restructure the civil service although more than six hundred committees and commissions have looked into different aspects of public administration in the country. Rather, the Indian reform effort has been unfailingly conservative, with limited impact. While there has been some improvement in civil service recruitment and training procedures, other incremental reform measures such as O&M, vigilance committees and commissions, citizens' grievance organisations, Whitleyism, manpower planning, and the institutions of Lok Ayukta have achieved very little. Civil service reform in India has neither enhanced the efficiency nor the accountability of the civil service in any meaningful manner. As S.R.Maheshwari commented, India's efforts at reform have amounted to 'correction slips to the inherited administrative system'. Maheshwari was being charitable. The Indian civil service reform efforts were not even correction slips – they were more in the nature of endorsement slips. Rapid and fundamental changes are taking place in the political, economic and technological fields. These call for major changes in the civil service. Far-reaching changes in the global economy have made it necessary to build a competent, well-functioning civil service. As a result of recent changes induced by globalisation, countries are competing internationally not only in the market place but also on the quality of their governance structures. The changed policy of deregulation, liberalisation and competition has suggested a new role for the civil service, emphasising the strategic management of the economy in less prescriptive and more market-driven approaches. The changes in the economic structure raise new demands related to control and accountability of the civil service as well as new definitions of professional obligations.

In addition, the role and importance of civil society organisation and of the private sector in the Indian economy and the society in general have increased substantially over the years. As a result, it is important for the civil servants to see the private sector and civil society organisations as partners in the process of economic and social development of the country. As instruments of public service, civil servants have to be ready for change. The common experience, however, is that they resist changes as they are wedded to their privileges and prospects and thereby, have become ends in themselves. In the political field, the 73rd and 74th Amendments to the Constitution have brought about major changes. Rural and urban local governments have been enabled to become institutions of self government. In order to make it meaningful, the existing system of administration of departments and the District Collectorate has to undergo fundamental changes. This has not happened to the extent envisioned. One of the principal reasons is the marked reluctance on the part of the civil service to accept the changes in control and accountability as well as the altered roles and responsibilities. This is because of the fact that most of the civil servants have been socialised to act in a manner that accentuates command and control methods rather than respond to people's needs and aspirations. Despite these momentous changes, the attitude of civil servants does not seem to have changed at all. This is because the civil servants still believe in the Hegelian prescription that they represent the universal interest of the society. Hegel argued that the most important institution in the state was the bureaucracy which represented "the absolutely universal interests of the state proper". To Hegel, the bureaucracy was a transcendent entity, a mind above individual minds. He regarded the bureaucracy as the universal class, synthesizing the particularism of the civil society with the general interests of the state. For Hegel, the exercise of power by the bureaucracy was a mission sanctioned by God. It will not be an exaggeration to say that the civil service in India has continued to be faithful to the Hegelian dictum. It believes that its authority and legitimacy is derived not from the mandate of the people but from an immutable corpus of rules that it has prescribed for itself, without any correspondence to the needs and aspirations of the people it serves and the democratic ethos. That is why the functioning of the civil service is characterised by a great deal of negativity, lack of responsiveness to what the people want and the dictates of democracy. It is sad but true that the civil service in India evokes the metaphors of what Michel Crozier calls 'bureaucratic behaviour'; the normal association that people have with the "vulgar and frequent use of the word 'bureaucracy'" which as Crozier explains, "evokes the slowness, the ponderousness, the routine, the

complication of procedures, and the maladapted responses of ‘bureaucratic’ organisations to the needs which they should satisfy, and the frustrations which their members, clients, or subjects consequently endure”. That is why the civil service has to change. But not in the incrementalism manner that barely touches the basic structure. It has to be a total change, a thorough transformation, a metamorphosis. It has to be like Avtaras in the Hindu Pantheon, in which a new Avtara takes its form afresh without any correspondence to the persona of its predecessor. For such a transformation to take place, the old structure has to fall away and the new one created; as Pablo Picasso said, ‘unless you destroy, you cannot create’. It is like Rajiv Gandhi destroying the old shibboleths before ushering in modernity or like Manmohan Singh burying the old system before ringing in the new economic order. There was no continuity, not even the faint hint of a compromise. The change in the civil service has to be equally transformative: uncompromising and a clean rupture with the past.

14.2 Organization

Second Administrative Reforms Commission

1. Dr. M. Veerappa Moily, Chairman
2. Shri V. Ramachandran, Member
3. Dr. A.P. Mukherjee, Member
4. Dr. A.H. Kalro, Member
5. Smt. Vineeta Rai, Member

Secretary Consultant of the Commission

1. Shri S. K. Das, IAS (Retd.)

Officers of the Commission

1. Shri A.B. Prasad, Additional Secretary
2. Shri P.S. Kharola, Joint Secretary
3. Shri R.K. Singh, PS to Chairman
4. Smt. Ruchika Choudhary Govil, Director*
5. Shri Sanjeev Kumar, Director

6. Shri Shahi Sanjay Kumar, Deputy Secretary

14.3 Introduction

The Second Administrative Reforms Commission was set up with a wide mandate to prepare a blue print for revamping the public administration system and to suggest measures to achieve a pro-active, responsive, accountable, sustainable and efficient administration for the country at all levels of government. There is a growing realization that many agencies of government are functioning sub optimally, and government programmes have not always yielded the desired results. While the achievements of the public services are praiseworthy in dealing with the vast expanded responsibilities since Independence and especially during difficult periods of crisis, they are often deficient in crucial areas such as productivity, responsiveness, accountability and integrity. Authority frequently appears to be divorced from accountability, leading to a system of realistic and plausible alibis for non-performance. Inefficiency, corruption and delays have become, in public perception, the hallmarks of public administration in India. Administration should be reformed to bring about improved transparency, greater accountability and streamlining of the structure of government, based on decentralization, civil services reform, an open and responsive government, rule of law, fiscal and environmental sustainability and elimination of all forms of corruption. There is need to restructure our governance institutions and rejuvenate our administrative system so that it can respond to the growing challenges of governance. The State needs to reorient its focus on the core functions of government such as maintaining peace and stability in the country and the task of social investment and provision of public goods through investment in the social sectors like health and education, as these are critical to lifting people out of abject need, preventing inter-generational transmission of poverty, long term development of human capital, achievement of full human potential and promotion of rapid, sustainable and equitable economic growth. 1.4 Public servants today are at the helm of complex challenges of administration in critical sectors like policing, education, healthcare, transportation, land management, infrastructure, skill promotion, employment generation, rural development and urban management. All these are intricate issues, which call for domain expertise, long experience in the sector, and deep insights into the social and economic realities, besides qualities of leadership and the capacity to manage and respond to change. Processes of civil service recruitment, periodic training, promotion and posting strategies and career management have to be reformed urgently to help the public servants develop such skills. There is need to foster excellence in the public systems, and attract continuously the best talent and expertise while ensuring that they are citizen-centric. 1.5 Administration must become far

more accountable and effective in delivering results with the same expenditure. In order to accomplish these goals, there should be conscious efforts to establish the links and fuse authority with accountability. While compliance with processes is important to ensure objectivity and fairness, the processes themselves need to be simplified and changed from time to time. Priority needs to be given to ensuring that the intended outcomes benefit society. There is need to redesign our delivery mechanisms in an innovative manner based on past experience and best practices and deploy the nation's finest talent for this purpose.

14.4 10th Report of 2nd ARC

Although several Commissions and Committees have been set up in the past to examine various aspects of public administration, a comprehensive review of the entire public administration system was last done by the First Administrative Reforms Commission, which was set-up in 1966. Since then, several important changes and developments have taken place driven by the pressing need to reform, rapid changes in technology including information technology and significant institutional changes like the emergence of a constitutionally-mandated system of local government in our country. This has obviously necessitated the need for a comprehensive review of public administration as mandated for this Commission. In any system the quality of public servants is the key determinant of outcomes. It is in this context that this Report of the Commission, on Refurbishing of Personnel Administration, is critical to its wider mandate. Specifically, under this Term of Reference, the Commission is required to look into the following aspects of administration:-

- (I) Review the policy relating to and all methods of recruitment, training and placement and suggest changes, if required.
 - (ii) Provide guidelines for enhancing performance of civil servants and its appraisal.
 - (iii) Improved methods of cadre management focusing on career progression, motivation and productivity enhancement.
 - (iv) Strategies for upgradation of skills and competencies of civil servants and administrative cadres and appropriate interventions for capacity building. (v) Linking of performance of Civil Servants and Government personnel to social and economic objectives and outcomes.
- 1.8 To get a deeper understanding and feedback on the issues pertaining to the civil services, the ARC formulated two comprehensive questionnaires [Annexures I(1) and I(2)]. The

questionnaires also highlighted the Commission's approach to the key principles of civil services reform which need to be particularly emphasized.

These are mentioned below:

- Setting right the asymmetry of power: It was noted that there is an imbalance in the exercise of power in governance. Often systemic rigidities, needless complexities and over-centralization make public servants ineffective and helpless in achieving positive outcomes. On the other hand, negative power of abuse of authority through flagrant violation of law, petty tyranny and nuisance value is virtually unchecked. This situation is further aggravated by the asymmetry of power in our society. The 'privileged' government position gives even the lower government functionaries, enormous power over most of the citizens given the abject poverty, illiteracy and a lingering feudal culture. This needs to be set right in any effort towards public services reforms

- Insulating civil servants from undue political interference: In a democracy, the civil service has to be answerable to the elected government. There is criticism, however, that increasingly partisan intervention and cronyism are undermining the Rule of Law, distorting incentives and condoning corruption. This is adversely affecting the morale of public servants. The relationship between the political executive and the civil services needs to be transformed on the basis of mutual understanding, respect and recognition of each other's distinct roles and responsibilities.

- Professionalisation with stability of tenure and competition: There is need to recognize the complex challenges of modern administration in various spheres of activities. Meeting such challenges require domain expertise and long experience in the sectors concerned. There is also need to foster excellence in the public system. Existing procedures and practices do not adequately help in developing domain expertise, nor do they help in utilizing the available domain expertise.

- Citizen-centric administration: The fact that the functioning of the civil services has an impact on the quality of governance and thus on the wellbeing of the citizen and the welfare of the community as a whole is often forgotten. The perception of the civil services today is of a vast impersonal organization without commitment to human needs and values. It is necessary to redress the situation particularly in this era of participative democracy by making the governance apparatus an instrument of service to the people.

- **Accountability:** There is a general feeling that existing mechanisms of accountability are inadequate. On the one hand, there are alibis for non-performance and on the other, competence and integrity are not adequately recognized or rewarded. Therefore, innovative and effective mechanisms need to be put in place to protect public money, guarantee intended outcomes and enforce accountability.
- **Outcome orientation:** Monitoring in government is primarily through measurement of expenditure against outlays and at best through defined outputs. Clearly, there is need to move towards measurement of outcomes. A change in this direction has already started with the initial outcome budgeting exercises. In order to engineer this shift to outcomes, major changes in attitudes, monitoring and evaluation systems, incentives and accountability measures are necessary.
- **Promoting public service values and ethics:** Apart from the traditional civil service values of efficiency, integrity, accountability and patriotism, it is necessary for civil servants to inculcate and adopt ethical and moral values including probity in public life, respect for human rights and compassion for the downtrodden and commitment to their welfare. These core principles and the issues emanating from them have been analysed in detail in various Units of this Report.

14.5 Summary

The Second ARC was setup by the Government of India on 31 August 2005 under the Chairmanship of Shri M. Veerappa Moily with the mandate to suggest measures to achieve a proactive, responsive, accountable, sustainable and efficient administration for the country at all levels of the government.

14.7 Glossary

With this in view, this Commission has advocated a total change, a radical transformation. It has proposed a wide-ranging agenda of reforms, that includes reforms relating to recruitment, training, tenure, domain competency, creation of a leadership cadre incorporating some elements of a position based Senior Executive Service, performance management, exit mechanisms, creation of executive agencies, accountability for results, a code of ethics and enactment of a civil service legislature.

14.8 Answer to self-check exercises

To see

- 14.1,14.2
- 14.3,14.4

14.9 Suggested reading

1. Second Administrative Reform Commission, (2005)
2. Maheshwari S.R. "Civil Service in Great Britain", Concept Publishing Company, 1976.
3. Goel S.L. "Personnel Administration and Management", Deep and Deep publication, New Delhi, 2002.
4. Palekar S.A. "Public Personnel administration", ABD Publisher, New Delhi 2020.
5. Kumar kar Sushant" public personnel Administration", Kunal Books Publisher, 2018.
6. Procter W. Arthur "Principles of Public Personnel Administration" Forgotten Books Publication, 2022.

14.10 Terminal questions

- Describe personnel administration through 2nd Administrative Reform Commission

Unit 15

Discipline: Meaning, Types & Causes of Indiscipline. Essentials of Disciplinary System. Disciplinary Actions

Structure

15.0. Learning Objectives

15.1. Introduction

15.2 Disciplinary Proceedings

15.3 Simplifying Disciplinary Procedures

15.4 Disciplinary Procedures in the UK Civil Services

15.5 Rationalising Disciplinary Procedures in India

15.6 conduct and Discipline

15.7 Suggested reading

15.8 Terminal questions

15.0. Learning Objectives

After going through this lesson, the student will be able to understand

- Discipline: Meaning, Types
- Essentials of Disciplinary System.
- Disciplinary Actions

15.1. Introduction

15.1 Article 311

14.1.1 In 2nd ARC Fourth Report, on “Ethics in Governance”,

the Commission had dealt with two specific issues relating to accountability of civil servants viz the issue of whether the protection to civil servants enshrined in Article 311 of the Constitution should be retained; and the question of what to do about the dilatory disciplinary proceedings that often seem to make a mockery of any attempt to instill discipline and accountability within the government departments. While the

Commission had taken a final view on the former issue, the latter was left open to be dealt with in detail in the present report. It would be instructive to briefly recapitulate the Commission's deliberations on these two core issues.

14.1.2 On this issue, the Commission concluded as under:

“The Commission has given deep consideration to the case for and against Article 311 remaining in the Constitution of India. No other Constitution appears to contain the kind of guarantees that this Article does. The Government of India Act-1919 was the first enactment to apply the ‘doctrine of pleasure’ in India, through Section 96B thereof. Its application was “subject to rules”, and the courts while examining challenges to penalties under that Act applied the extant rules to determine whether these were rightly imposed. In other words, when this doctrine was first applied in India, it was deemed sufficient to provide protection against any unjust exercise of ‘pleasure’. With the provisions of Judicial review now available in our Constitution, the protection available to Government employees is indeed formidable even outside Article 311. This is borne out by the fact that ample relief is available to employees invoking judicial intervention in cases involving compulsory retirements even though Article 311 does not extend to such cases. When Sardar Patel argued for protection of civil servants, the intention was clearly to embolden senior civil servants to render impartial and frank advice to the political executive without fear of retribution. But the compulsions of equal treatment of all public servants and judicial pronouncements have made such a protection applicable to employees of PSUs, para-statal organizations and even body corporates.

like cooperatives and this has created a climate of excessive security without fear of penalty for incompetence or wrongdoing. The challenge before the nation now is to confront this exaggerated notion of lifetime security irrespective of performance and to create a climate conducive to effective delivery of services and accountability with reasonable security of tenure.

The Commission believes that the rights of a civil servant under the Constitution should be subordinate to the overall requirement of public interest and the contractual right of the State. It cannot be an argument that a corrupt civil servant's rights are more important than the need to ensure an honest, efficient and corruption free administration. Ultimately, the public servant, an agent of the State, cannot be superior to the State and it is his fundamental duty to serve the State with integrity, devotion, honesty, impartiality, objectivity, transparency and accountability.

It is true that the government as an employer is expected to act in a fair manner and it has to be a model employer worthy of emulation by others. It has also to be ensured that honest and efficient public servants are not subjected to the whims and fancies of their superiors. No government can be expected to dispense with the services of a government servant in an arbitrary manner or without a proper enquiry. Such arbitrary removal is not possible even in the private sector. Strictly, there should be no need for retaining Article 310, and legal safeguards may be provided through legislation under Article 309.

Articles 309, 310 and 311 form a continuum. If the whole gamut of “conditions of service” is codified as required by the substantive part of Article 309, this can include matters such as disciplinary proceedings and imposition of penalties. Moreover, as noted above, with rule of law accepted as an integral part of the basic structure of the constitution, reasonable protection now attributed to Article 311 will continue to be available to satisfy the requirements of ‘rule of law’.

Taking into account these considerations and a fairly common perception that explicit articulation of “protection” in the Constitution itself gives an impression of inordinate ‘protection’, the Commission is of the view that on balance Article 311 need not continue to be a part of the Constitution. Instead appropriate and comprehensive legislation under Article 309 could be framed to cover all aspects of recruitment and service, even with regard to dismissal, removal or reduction in rank. Appropriate legislation by the respective legislatures may also be ensured through a revised Constitutional provision. The Commission will examine in detail issues related to such enactment in its Report on “Civil Services Reform.

2nd ARC Recommendations:

- a. Article 311 of the Constitution should be repealed.
- b. Simultaneously, Article 310 of the Constitution should also be repealed.”

14.2 Disciplinary Proceedings

first analyzed the processes and the data relating to actual cases; and made the following

observations:

Detailed procedures governing the initiation of disciplinary proceedings, and the progress and culmination, thereof, While there are minor variations in this pattern in the states or even in the Union Government in respect of the non-Gazetted establishment, broadly the 'flows' indicated therein embrace the entire community of central and state government employees including those of the public sector and nationalized banks. Without going into the details of such procedures, but to be able to appreciate the issues involved, it will be sufficient to note the following

- Complaints received or lapses noticed are examined to ascertain whether they involve a 'vigilance angle' (essentially violation of conduct rules) - 1 month
- Decision about whom to refer complaints to ascertain whether these have any substance to the CBI or departmental agencies -3 months.
- Submission of findings of investigations - 3 months.
- Department/CBI report to be sent for 'First Stage Advice' to the CVC - 1 month from the date of reference.
- Formulation of CVC's advice - 1 month.
- Issue of charge-sheet, statement of imputation of misconduct, and list of witnesses and documents etc, if it is decided to proceed in departmental inquiry - 1 month from the receipt of CVC advice.
- Consideration of Defence Statement of the accused employee- 15 days.

In order to appreciate the problems involved in the conduct of actual proceedings, it will be necessary to also invite attention to the following factors impinging on departmental inquiries particularly in the Union Government.

- With the formation of Central Administrative Tribunals (CATs) in the 1980s most of the judicial proceedings arising out of departmental inquiries are handled in these fora which, not infrequently, entertain pleas to stay disciplinary proceedings on technical grounds and even entertain pleas against interlocutory orders. Public servants are able to challenge the orders

of the tribunal in High Courts. There is, in addition, recourse to the Supreme Court under Article 136 of the Constitution of filing 'appeal by special leave'.

A recent study¹¹³ brings out some revealing information. Some of the salient findings (cases studied) are;

- In 116 cases studied, the average time taken between reference to CVC for the ‘first stage advice’ and receipt of the advice in cases studied was 170 days (these cases apparently involved imposition of minor penalty).
- In 234 cases involving proceedings for a major penalty the average time taken between appointment of the Inquiry Officer and completion of inquiry was 584 days.
- In 56 cases the average time taken from receipt of the inquiry report to sending the case to the CVC for ‘second stage advice’ was 288 days.
- In 33 cases the average time taken between the ‘date of occurrence of misconduct’ and sending the cases to the CVC for ‘first stage advice’ was 1284 days.
- Analysis of certain completed cases revealed the following ‘break-up’ of time taken by various agencies; Administrative Department - 69% Inquiry Officer - 17% CVC - 9% UPSC - 5%
- There was considerable variation in the time taken often in the same stages depending on the source relied upon viz. Disciplinary Cases Monitoring and Management Information System (DCMMIS) of the Administrative Vigilance Division of the Department of Personnel and Training, CVC data of ‘first stage advice’ i.e. cases resulting in closure or minor penalties and ‘second stage advice’ of the same organization i.e. cases referred again after departmental inquiry.

14.3 Simplifying Disciplinary Procedures

As noted by the 2nd ARC Commission in its Fourth Report on - “Ethics in Governance”, “It has been held that, for proper compliance with the requirement of ‘reasonable opportunity’ as envisaged in Article 311(2), a government servant against whom action is contemplated should, in the first instance, be given an opportunity to deny the charges. If, as a result of an inquiry, the charges are proved and it is proposed to impose any of the penalties of dismissal, removal, or reduction in rank, such penalty may be imposed on the basis of the findings of the inquiry. It is not necessary to give him any opportunity of making a representation on the penalty proposed after the amendment of clause (2) of Article 311 of the Constitution with effect from 3rd January, 1977. The Santhanam Committee had listed as many as 15 criteria laid down by the Supreme Court and the

High Courts in order to enable conduct of an inquiry in accordance with the spirit of the Constitution. The interpretations and requirements laid down by the highest courts have made disciplinary proceedings for major penalties very convoluted, tedious and time consuming involving a large number of sequential steps before a person can be found guilty of the charges and punished. The process unfortunately does not end there. Provisions exist for appeal, revision and review only after completion of which, the delinquent officer would begin to suffer the penalty. The accused officer also has the right to challenge the legality of the action of disciplinary authority before the Administrative Tribunal, get an interim stay of the proceedings and relief thereafter, and to substantively appeal against the decision of the disciplinary authority or the government as the case may be in the Tribunal. This apart, he reserves his fundamental right to invoke the writ jurisdiction of the High Court and the Supreme Court protesting the violation of such rights in the conduct of the inquiry”

The Committee on Civil Service Reforms (Hota Committee) in its report had specifically addressed the issue of simplifying disciplinary procedures for government servants in India and made the following recommendations:

1. To eliminate delay in disposal of a disciplinary inquiry, the Union Public Service Commission need not be consulted in case of a civil servant facing charges of corrupt practice and whose case has been referred to the Central Vigilance Commission for the first stage/second stage advice. If, however the officer is penalized in the inquiry and prefers an appeal the case may be referred to the UPSC for advice on the appeal petition.
2. Where minor disciplinary proceedings are sufficient to meet the end of justice, major penalty proceedings which are lengthy and time-consuming should not be initiated.
3. An Inquiry Officer should be relieved from his normal duties for a sufficient period to enable him to complete the departmental inquiry expeditiously and submit the report.
4. A database on disciplinary cases should be maintained to keep track of their progress.

14.4 Disciplinary Procedures in the UK Civil Services

14.4.1 If we compare disciplinary procedures relating to the civil services in the United Kingdom (UK) and India, the contrast between the highly centralized, multi-layered, long winded and ultimately self-defeating procedure, that is followed in India (which seems to

mimic a criminal trial); and the decentralized, relatively simple, flexible and quicker procedures in the UK stand out.

14.4.2 In the UK, the disciplinary rules have the following main features:

The Employment Act, 2002 (Dispute Resolution) Regulations, 2004 brought into effect, from 1 October 2004, the provisions in the Employment Act, 2002 which sets out minimum statutory dismissal and disciplinary procedures. These apply where the employer, including the Government, first contemplates dismissing or taking such action against an employee on or after that date. The procedure as laid out in Schedule 2 of the Act, involves three stages, and are detailed below.

Stage 1

The employer must set out in writing the employee's alleged conduct or characteristics or other circumstances which led them to contemplate dismissing or taking action against the employee. The employer must send a copy of the above statement to the employee and invite him or her to attend a meeting to discuss the matter.

Stage 2

The meeting must take place before the action is taken and must not take place unless:

- the employer has informed the employee about the reasons for the meeting; and
- the employee has had a reasonable opportunity to consider his/her response to that information. On his/her part, the employee must take all reasonable steps to attend the meeting at which he/she may be accompanied. After the meeting, the employer must inform the employee of his/her decision and notify him or her of the right to appeal against the decision if he or she is not satisfied with it.

Stage 3

If the employee wishes to appeal, he/she must inform the employer. The appeal meeting need not take place before the dismissal takes effect. If the employee informs the employer of his/her wish to appeal, the employer must extend an invitation to attend a further meeting at which the employee may be accompanied. The employee must take all reasonable steps to attend the meeting. When reasonably practicable, the appeal should be dealt with by a more senior officer than the one who dealt with the disciplinary hearing. After the appeal meeting, the employer must inform the employee of the final decision. The following procedural shortcomings could justify the dismissal being found

procedurally unfair, in accordance with Court/Tribunal judgements in the UK: In cases of discipline/ misconduct:

- have the individuals been informed, in writing, of the specific charges being made against them.
- have they been advised of their representational rights at fact finding and disciplinary interviews (work colleague, trade union representative).
- have they been provided with copies of notes/minutes taken at fact finding and disciplinary interviews and given an opportunity to comment.
- have they been told of their right of internal appeal, following a decision to dismiss.
- have they been advised that dismissal could be a consequence of disciplinary action.
- are the rules and regulations clear enough and is there a process in place to ensure the effective communication of relevant policies and procedures? For civil services, in addition to the right to appeal within the department, staff who are dismissed can appeal to the Civil Services Appeal Board, if they are eligible.

14.4.3 The main distinguishing features of the procedure followed in the UK are as under:

- The disciplinary procedures outlined in the Employment Act, 2002 are applicable to both civil servants and private sector employees - there is no special protection for civil servants.
- Government departments and agencies are free to make their own disciplinary codes within the framework mentioned above and are even free to define the circumstances in which disciplinary proceedings ought to be initiated.
- Consequently, disciplinary proceedings right up to the first appeal are conducted in house within the department (excepting only the permanent Secretary and HODs for whom the head of the civil service in consultation with the concerned minister will decide) and only in case of dismissals, there may be a right of appeal to the Civil Services Appeal Board.
- Disciplinary action must be taken by someone at least one level higher than the person concerned and the decision on appeal should be taken by someone independent of the original disciplinary action; but without putting the restriction as in India that dismissal

cannot be done by an authority subordinate to that by which the civil servant was appointed (Article 311).

- Instead of the “inquiry” as is prescribed in India under Article 311 as mandatory for any disciplinary procedure involving dismissal or reduction in rank, and which often tends to become like a full-fledged trial or court proceeding; the UK Act only talks of a “meeting” or interview with the employee / government servant to discuss the charges made out against him.

15.5 Rationalising Disciplinary Procedures in India

Disciplinary procedures for civil servants in other developed countries also appear to be similar. Without going in for wholesale import of such procedures which may be difficult to implement in India for historical, socio-political and legal reasons, it may still be worthwhile to look at some aspects of the present rules and examine whether these procedures can be simplified, compressed and decentralized so that disciplinary action in government departments becomes more conclusive and not a charade as is often perceived at present. The procedures for imposing major penalties such as dismissal or reduction in rank have been depicted by means of a flow diagram in Fig 14.1. These derive their basis from the Central Civil Service (Classification, Control and Appeal) Rules, 1965. These rules are an elaboration of the principles laid down in the Constitution (Article 311). In addition, the requirement for consultation with the UPSC stems from Article 320 (3) (b) of the Constitution and for the “two stage” consultation with the Central Vigilance Commission (CVC), from the Vigilance Manual containing resolutions of Government of India on disciplinary cases having a vigilance angle.

15.6 Conduct and Discipline

Code of Conduct

The government has prescribed a code of conduct to be observed and followed by the civil servants in the exercise of their official powers. This code consists of a set of conduct rules which prevent the civil servants from misutilisation of their powers for their personal ends. The important among such rules in India are as follows:

- All-India Services (Conduct) Rules, 1968
- All-India Services (Discipline and Appeal) Rules, 1969
- Central Civil Services (Conduct) Rules, Central Civil Services (Classification, 1964
- Central and Appeal) Rules, 1965

- Railway Services (Conduct) Rules, 1966

The above conduct rules deal with the following various matters:

1. Loyalty to the state
2. Obeying the official orders of the superior
3. Political activities of civil servants
4. Financial transactions of civil servants
5. Marital restrictions
6. Relationship with media
7. Criticism of the government
8. Acceptance of gifts from the public
9. Public demonstrations
10. Employment of relatives and so on

15.6.1 Disciplinary Action

Disciplinary action is taken against a civil servant who has violated the conduct rules in the performance of his job. A formal disciplinary action constitutes the imposition of minor as well as major penalties.

The following are the minor penalties:

- Censure or reprimand
- Withholding increments
- Withholding promotion
- Recovery of pecuniary loss

The following are the major penalties:

- Reduction to lower scale or rank
- Compulsory retirement
- Removal from service
- Dismissal from service

The difference between removal and dismissal is that the former shall not disqualify for

future employment, while the latter shall disqualify for future employment.

The various steps in the process of disciplinary action are:

- (i) Calling for an explanation from the employee against whom disciplinary action is initiated.
- (ii) Framing of charges, if the explanation is not satisfactory.
- (iii) Suspension of the employee from the service.
- (iv) Hearing of charges and giving opportunity to the employee to defend himself.
- (v) Findings and making report.
- (vi) Giving second opportunity to the employee to defend himself against the proposed punishment.
- (vii) Punishment order (exoneration).
- (viii) Appeal, if any.

The following constitutional provisions govern the proceedings of the disciplinary action against a civil servant:

- (I) A civil servant cannot be removed or dismissed by any authority subordinate to the authority by which he was appointed (Article 311).
- (ii) A civil servant cannot be reduced in rank or removed or dismissed unless he is given reasonable opportunity to defend himself (Article 311).

The President of India is the disciplinary authority in respect of All India Services, Central Services Class I (i.e. Group A) and some Class II (i.e. Group B) services.

In respect to class III And class IV employees, the secretary of the ministry concerned is the disciplinary authority.

15.7 Summary

A disciplinary procedure allows an employer to: Inform an employee that their behaviour is unacceptable or inappropriate. Resolve concerns constructively and encourage improvement. Impose sanctions according to the seriousness of the misconduct.

15.8 Glossary

- **Disciplinary Action:** Disciplinary action is taken against a civil servant who has violated the conduct rules in the performance of his job.
- **code of conduct:** The government has prescribed a code of conduct to be observed and followed by the civil servants in the exercise of their official powers. This code consists of a set of conduct rules which prevent the civil servants from misutilisation of their powers for their personal ends

15.9 Answer to self-check exercises

To see

- 15.1,15.5
- 15.6

15.10 Suggested reading

6. Maheshwari S.R. "Civil Service in Great Britain", Concept Publishing Company, 1976.
7. Goel S.L. "Personnel Administration and Management", Deep and Deep publication, New Delhi, 2002.
8. Palekar S.A. "Public Personnel administration", ABD Publisher, New Delhi 2020.
9. Kumar kar Sushant" public personnel Administration", Kunal Books Publisher, 2018.
10. Procter W. Arthur "Principles of Public Personnel Administration" Forgotten Books Publication, 2022.

15.11 Terminal questions

What is discipline? Major concern of disciplinary action taken by central government?

Unit-16

HISTORY OF CIVIL SERVICES IN INDIA AND REFORMS

Structure

- 16.0 Learning Objectives
- 16.1 History
- 16.2 The Design of the Civil Service at Independence
- 16.3 The First Administrative Reforms Commission
- 16.4 Recruitment
- 16.5 Training
- 16.6 Domain Experties
- 16.7 Grading Reform
- 16.8 efficiency
- 16.9 Accountability
- 16.10 Performance Appraisal
- 16.11 Management of the Civil Services
- 16.12 Summary
- 16.13 Answer to self-check exercises
- 16.14 Suggested reading
- 16.15 Terminal questions

16.0. Learning Objectives

After going through this lesson, the student will be able to understand

- History of civil services in india
- Reform of civil services in india

16.1. History

The Macaulay Committee which gave India its first modern civil service in 1854 recommended that the patronage based system of the East India Company should be replaced by a permanent civil service based on a merit based system through competitive entry examinations. As Macaulay's Report said, "Henceforth, an appointment to the civil service of the Company will not be a matter of favour but a matter of right. He who obtains such an appointment will owe it solely to his own abilities and industry"

1 The Report made it clear that only the best and the brightest would do for the Indian Civil Service (ICS). The Report stated, "It is undoubtedly desirable that the civil servants of the Company should have received the best, the most finished education that the native country affords".

2 The Report insisted that the civil servants of the Company should have taken the first degree in arts at Oxford or Cambridge Universities.

After 1855, recruitment to the ICS came to be based totally on merit. The report of the Civil Service Commissioners pointed out that of those who entered the ICS between 1855 and 1878, more than two-thirds were university men, equipped with a liberal and finished education. Initially, the ICS sought its recruits from Oxford and Cambridge. It was thus an elite service. Subsequently, it opened its doors to Indians and from 1922 onwards the Indian Civil Service Examination began to be held in India.

16.2 The Design of the Civil Service at Independence

While designing a successor civil service, the Indian political leaders chose to retain elements of the British structure of a unified administrative system such as an open-entry system based on academic achievements, elaborate training arrangements, permanency of tenure, important posts at Union, State and district levels reserved for the civil service, a regular graduated scale of pay with pension and other benefits and a system of promotions and transfers based predominantly on seniority.

The civil services in India can be grouped into three broad categories. Services whose members serve both the Union and the State Governments are termed as All India Services. Services whose members serve only the Union Government are termed Central Civil Services. Apart from these, the State Governments have their own group of services – State Civil Services. The posts in the Union and the State Governments are hierarchically arranged into four Groups – Group A to Group D.

Article 312 of the Constitution empowers Parliament to create the All India Services (AIS) on the fulfilment of certain conditions. The Indian Administrative and Police Services are deemed to be services created by Parliament under this Article. Section 3 of the AIS Act, 1951 and the rules and regulations made by the government prescribe the selection process for the IAS. Similar provisions exist for the IPS and the IFoS.

The key objectives of government in creating the AIS are

- (a) preserving national unity and integrity and uniform standards of administration
- (b) neutrality and objectivity - non-political, secular and nonsectarian outlook
- (c) competence, efficiency and professionalism - at entry by attracting the best and brightest and throughout the career
- (d) integrity and
- e) idealism.

16.3 The First Administrative Reforms Commission

Since Independence, there have been about fifty Commissions and Committees at the Union Government level to look into what can be broadly characterised as administrative reforms.

The First Administrative Reforms Commission set up in January, 1966 was asked, in particular, to consider all aspects relating to the following subjects :

The machinery of the Government of India and its procedures of work; The machinery for planning at all levels;

- Centre-State relationship;
- Financial administration;
- Personnel administration;
- Economic administration;
- Administration at the state level; District administration;
- Agricultural administration;
- and Problems of redress of citizens grievances.

The Commission submitted 20 Reports in all, as per the details given below, before winding up in mid-1970:

These 20 Reports contained 537 major recommendations. Based on the inputs received from

various administrative Ministries a report indicating the implementation position was placed in Parliament in November, 1977.

A gist of the recommendations of the First ARC that are relevant to this Report are outlined below:

a. Need for specialization: The first ARC recognized the need for specialization as the functions of Government had become diversified. A method of selection for senior management posts in functional areas and outside functional areas was laid down.

b. Unified Grading structure: A unified grading structure based on qualifications and nature of duties and responsibilities was suggested.

c. Recruitment: On this subject, the ARC recommended:

i. A single competitive examination for the Class I services, with the age limit raised to 26 years.

ii. Lateral entry to technical posts at senior levels.

iii. Direct recruitment to Class II services to be discontinued.

iv. A simple objective type test to be conducted for recruitment of clerical staff .

v. Recruitment to Central Government posts in certain sectors to be made from among the State Government employees.

d. Recruitment Agencies:

i. A new procedure for appointment of members of the UPSC and the State Public Service Commission was suggested.

ii. Setting up of Recruitment Boards for selection of clerical staff was recommended.

e. Training:

a national policy on Civil Service Training to be devised.

f. Promotions: Detailed guidelines for promotion were outlined.

g. Conduct and Discipline:

Reforms in disciplinary enquiry proceedings and setting up of Civil Service Tribunals was suggested.

h. Service Conditions:

The Commission also gave recommendations on matters related to overtime allowances, voluntary retirement, exit mechanism, quantum of pension, government holidays, incentives and awards to be given on timely completion of projects, and establishing work norms for various posts that may be reviewed by the Staff Inspection Unit. Apart from the First Administrative Reforms Commission, as stated earlier, several other Commissions and Committees were set up over the years to examine various aspects of Civil Services Reforms.

The recommendations made by these Committees and Commissions including, of course, of the first ARC are grouped issue-wise and discussed in the following paragraphs.

16.4 Recruitment

In any governance system the quality of its public servants is critical and in this context recruitment of suitable persons is of great importance. Those aspiring to be civil servants must have not only the required skills and knowledge, but also the right values which would include integrity, commitment to public service and above all, commitment to the ideals and philosophy embodied in the Constitution. Therefore the recruitment process, apart from being transparent, objective, fair and equitable should also ensure that the right type of persons join the civil services. The system of recruitment to the civil services in India has evolved over the years. Several changes have been made in the recruitment process, especially after Independence to reflect the needs of the administration from time to time. A number of Committees and Commissions were set up to make recommendations on various aspects of recruitment. These recommendations are included in the Report on Public Administration by A.D. Gorwala, 1951; Report on the Public Services (Qualifications for Recruitment) Committee, 1956 – also known as Dr. A. Ramaswami Mudaliar Committee Report; Report on Indian and State Administrative Services and Problems of District Administration by V.T. Krishnamachari, 1962; ARC's Report on Personnel Administration, 1969; Report of the Committee on Recruitment Policy and Selection Methods, 1976 – also known as the D.S. Kothari Committee Report; Report of the Committee to Review the Scheme of the Civil Services Examination, 1989 – also known as the Satish Chandra Committee Report; Report of the Civil Services Examination Review Committee, 2001, also known as Professor Yoginder K. Alagh Committee Report; Report of the Committee on Civil Service Reforms also known as the Hota Committee Report, 2004.

A.D.Gorwala's Report (Report on Public Administration, 1951) recommended that recruitment to all grades of Government service should be conducted in a manner which

eliminates scope for patronage and suggested that this principle should also apply to temporary staff. Dr. A. Ramaswami Mudaliar Committee Report, 1956, on Public Services (Qualifications for Recruitment) recommended that a University degree should be the minimum qualification for recruitment into the higher services whereas for secretarial and ministerial services a University degree need not be insisted upon. This Committee also recommended that the age limit for the highest executive and administrative services should be kept between 21-23 years. The Krishnamachari Committee Report (Report on Indian and State Administrative Services and Problems of District Administration by V.T. Krishnamachari, 1962) analysed the recruitments to Class I and Class II services in the State Governments and recommended that recruitments should be made annually.

The first ARC emphasized the importance of proper personnel planning and cadre management. It recommended that recruitment to the IAS/IFS and other non-technical Class I services should be made only through a single competitive examination. It also recommended that the upper age limit for taking the civil services competitive examinations should be raised to 26 years. The First ARC further recommended that direct recruitment

to Class II posts of Section Officers should be stopped and these posts may be filled by promotion of Assistants. The Commission also suggested that recruitment to clerical and other secretarial posts should be conducted through simple objective tests. The Commission recommended constitution of Recruitment Boards for appointment of Class III and Class IV employees.

The D.S. Kothari Committee Report on Recruitment Policy and Selection Methods, 1976, inter alia recommended a major change in the examination system. They recommended a two stage examination process – a preliminary examination followed by a main examination. This Committee also suggested changes in the training pattern for the civil services.

The Fifth Central Pay Commission suggested that employment on contract basis should be encouraged and Government employees should have the right to retain their lien for two years in case they wish to migrate to the private sector.

The Civil Services Examination Review Committee, 2001 (chaired by Professor Yoginder K. Alagh) recommended major changes in the structure of the examination system for recruitment to the civil services. It favoured testing the candidates in a common subject rather than on optional subjects. The Committee on Civil Service Reforms (Hota Committee Report, 2004) made recommendations, inter alia, on recruitment and recommended that the

age for entrants to the higher civil services should be between 21-24 years with a five years' age concession for members of the Scheduled Castes/Scheduled Tribes and three years' for the Other Backward Classes. The Hota Committee also recommended that aptitude and leadership tests may be introduced for selection, and that probationers may be allowed one month's time after commencement of training to exercise their option for Services.

16.5 Training

While a number of Committees have emphasised the importance of training – both induction and in-service, some of the major recommendations are given below:

The Report on Public Administration by A.D. Gorwala (1951) highlighted the fact that in order to have suitable personnel to staff the public services, it is essential that there is proper recruitment and training and an adequate organization and methods set-up. It also recommended an induction training to equip a civil servant with the necessary knowledge and skills to perform his/her duties followed by trainings at designated intervals to refresh his/her knowledge, keep him in touch with new developments and his/her mind active, supple and receptive. The Committee recommended the appointment of a Director of Training to closely monitor all aspects of training.

The Report on Indian and State Administrative Services and Problems of District Administration by V.T. Krishnamachari (1962) emphasised that State Civil Service officers should also undergo a structured training similar to that for IAS officers. It also recommended establishment of training institutes in States with the help of the National Academy of Administration.

The First ARC emphasized that the training should prepare the individual civil servant not only for performing his/her present job, but also for shouldering higher responsibilities and meeting the new and complex challenges in the future. The ARC recommended the formulation of a national policy on civil services training. It also recommended the creation of the Central Training Division in the Department of Personnel. The Commission further recommended changes in the contents of the foundation courses at the National Academy of Administration.

The Committee to Review In-Service Training of IAS officers, (Yugandhar Committee, 2003) examined the efficacy of the in-service training of IAS officers and subsequently made several recommendations to further strengthen and improve these. Its recommendations, inter alia, included the need for three mid-career training programmes in the 12th, 20th and 28th

years of service. The training programme in the 12th year of civil service should be for a minimum duration of 8 weeks consisting of 5 weeks of academic content and 3 weeks of study, training and exposure visits to study best practices in India and abroad. The training programme in the 20th year of service should be for a duration of 12 weeks. The duration of training in the 28th year of service was not specified. Trainings at these 3 stages was suggested as there is a “major shift” in the nature of work of the officer, at these stages of their career.

16.6 Domain Experties

The first ARC classified higher civil service posts into two categories:

- (a) posts in the field, and
- (b) posts at headquarters.

The field posts were held by the members of the ‘functional’ services which included not only the various engineering services but also services such as accounts and income tax. The first ARC noted that the only service that was not functional but occupied most of the higher posts in the civil services was the IAS. The ARC recommended that the IAS should be converted into a functional service.

Consistent with its philosophy of organizing the administrative machinery along functional lines and inducting talent from all sources, the ARC recommended eight broad areas of specialization:

- Economic Administration
- Industrial Administration
- Agricultural and Rural Development Administration
- Social and Educational Administration
- Personnel Administration
- Financial Administration
- Defence Administration and Internal Security
- Planning

The first ARC recommended a scheme of reforms to enable entry into middle and senior management levels in the Central Secretariat from all Services on the basis of knowledge and experience in the respective areas of specialization. The ARC also indicated, in broad terms, the knowledge and specialization required for staffing posts in each of these areas. The

selection of personnel to the eight areas of specialization was to be made through a mid-career competitive examination. All Class I officers belonging to the All-India and Central Services with experience of eight to twelve years in the functional areas would be eligible. The selection process would consist of a written test to be administered by the UPSC and an interview to be conducted by a committee consisting of the Chairman, UPSC and two senior Secretaries of the Government of India.

The Report of the Group constituted to Review the System of Performance Appraisal, Promotion, Empanelment and Placement for the All India Services and other Group 'A' Services (Surinder Nath Committee Report, 2003) suggested that assigning particular domains to the officers should be a key step for their selection to the Central Staffing Scheme posts. The Group suggested the following 11 domains:

- Agriculture and Rural Development
- Social Sectors (Education, Health, Tribal Welfare, etc.)
- Culture and Information
- Natural Resources Management including Environment (green side)
- Energy and Environment (brown side)
- Communication Systems and Connectivity Infrastructure
- Public Finance and Finance Management
- Industry and Trade
- Domestic Affairs and Defence
- Housing and Urban Affairs
- Personnel and General Administration

The Committee suggested that officers may be assigned to a maximum of three domains out of the eleven listed. The assignment of domains may be a part of the empanelment process at JS/AS levels which would identify officers for posting to the Government of India at levels of JS and above. Officers due for consideration for empanelment may submit a write-up summarising their experience, academic background, training courses undergone, research accomplishments, recognitions relevant to the domain areas, and significant achievements during their career relevant to their areas. These write-ups may be scrutinised by the Empanelment Committee. The output of the empanelment process would be a list of officers found suitable for selection to specific positions under the Central Staffing Scheme, together with their domain assignments.

The Committee also suggested that for the empanelment process, individual batches may be

taken up sequentially along with those from the previous batches who are due for review. Thus, there would be a fresh batch to be considered each year and some review batches. Cases of such officers who are not empanelled when their batch is taken up for consideration on the first occasion, may be reviewed twice.

The Hota Committee on Civil Services Reforms, 2004, had recommended that domain assignment should be introduced for civil servants to encourage acquisition of skills, professional excellence and career planning. It had also recommended that empanelment and posting of Joint Secretaries, Additional Secretaries and Secretaries should be carried out through domain assignment, competitive selection and matching of available skills with the job requirements.

16.7 Grading Reform

The first ARC recommended a unified grading structure so that posts entailing similar qualifications, difficulties and responsibilities are grouped in the same grade. The principle of equal pay for equal work was sought to be recognized for the entire country for both the Union and the State Governments and even the local bodies. It was of the view that in the absence of a careful evaluation of the work content of jobs at certain levels and the matching of scales of pay thereto, the principle of equal pay for equal work cannot be implemented. The imbalance in remuneration attached to headquarters posts and field posts and the multiplicity of pay scales for different groups was sought to be addressed by this unified grading system. For grading, it recommended that the following considerations be taken into account:

- In services that provide for postings in the secretariat and at the field level, the liability for service all over the country should be reflected in the grading system.
- For services that provide only for field postings or postings only in secretariats but not in both, the grades would have to be related to the duties and responsibilities of these posts.
- The fact that the members of the State civil services are required to work only within the State and not outside, should be reflected in their grades.
- Posts involving higher research should be graded high, even though such posts carry little or no administrative responsibility. The Commission recommended that the number of grades should range between 20 and 25.

16.8 Efficiency

There has been a succession of Committees that were asked to recommend measures for increasing the efficiency of the civil services. The Secretariat Reorganization Committee (1947), under the chairmanship of Sir Girija Shankar Bajpai examined the functions of the existing departments of Government of India with reference to relative priority and necessity of their activities and made recommendations about how these activities were to be undertaken by the Union Government with the available personnel. In 1949, the GopalaswamiAyyangar Committee while recommending restructuring of the Central Secretariat, suggested that a Department should be identified with a Secretary's charge and a Ministry should be identified with a Minister's charge. It also recommended the abolition of the separate grade of Additional Secretary. For better coordination of policy and planning, the Committee suggested grouping of the Departments dealing with economic and social services into four bureaus. It also recommended the creation of an Organization and Methods machinery.

A.D. Gorwala, in his two reports to the Planning Commission in 1951, recommended that there should be greater understanding between Ministers and civil servants. More concretely, Gorwala asked for an Organization and Methods (O&M) machinery and Whitley Councils.¹⁰ The Appleby Report (1953) also contained recommendations relating to the establishment of O&M machinery and an Institute of Public Administration. These two recommendations were implemented by Government.

The various Reports of the first ARC underscored the significance of an efficient administrative system. Some of the recommendations to enhance efficiency included, suitable awards such as rolling cup/shield to be given as incentives for timely completion of specific projects, cash rewards for valuable suggestions given for simplification of work that led to economies in expenditure and increased efficiency, establishing work norms and examining staff strength on the basis of studies by Staff Inspection Units. The Fifth Central Pay Commission (2000) stressed upon the need to optimise the size of the government machinery. The Expenditure Reforms Commission (2001) emphasised on a drastic downsizing of the government staff strength for securing modern and professional governance and also reducing the increasing salary bill of the Government of India. The Committee on Civil Services Reforms (Hota Committee, 2004) emphasised the use of information and communication technologies (ICT) to transform Government by making it more accessible, effective and accountable. It stressed on the need to recognise that e-governance is about

discarding old procedures and transforming the process of decision making and that technology is merely a tool and a catalyst for such transformations.

16.9 Accountability

The Committee on Prevention of Corruption (Santhanam Committee) made a range of recommendations to fight the menace of corruption. It recommended the constitution of the Central Vigilance Commission, and administrative vigilance divisions in all Departments and major organizations of the Government. The Committee suggested rules to be framed for governing the conduct of civil servants. Some suggested changes in the rules were filing of assets and liabilities statement instead of immoveable property statement by government servants, rules regarding receipt of gifts and raising of contributions, and rules regarding dealing in stocks and speculations. Changes were also suggested in Art. 311 of the Constitution of India for conducting disciplinary proceedings against government servants. The Committee also suggested a systematic review of the laws, rules, procedures and practices of the Ministries so that the possible scope and modes of corruption may be identified and remedial measures prescribed. Changes in the Indian Penal Code were also suggested to strengthen anti corruption measures. Economic offences, evasion of taxes, profiteering, black-marketing, misappropriation of public properties, trafficking in licences and misuse of position by a public servant in making contracts and issuing licenses etc, it was suggested, should find a prominent place in the general criminal law of the country. It was also suggested that the Law Commission should further look into these issues. The definition of public servant was recommended to be widened under the IPC to include Ministers, employees of PSUs etc. It was also recommended that offering of bribes should be made a substantive offence. The Committee further suggested that on completing 25 years of service or 50 years of age, a government servant may be retired without prescribing any reason, if the government thinks it fit. This was subsequently incorporated in Rule 56(j) of the Fundamental Rules.

The first ARC recommended that the departments and organizations which were in direct charge of development programmes should introduce performance budgeting. The ARC also recommended the establishment of two special institutions, the Lok Pal to deal with complaints against the administrative acts of Ministers and Secretaries to the government at the Centre and the Lok Ayuktas to deal with such complaints in States.

The Hota Committee recommended that Sections 13 (1) (d) and 19 of the Prevention of Corruption Act and Section 197 of the Code of Criminal Procedure may be amended to protect honest civil servants from malicious prosecution and harassment. It also recommended that a Code of Ethics should be drawn up for civil servants incorporating the core values of integrity, merit and excellence in public service. Another recommendation of the Hota Committee was that each department should lay down and benchmark services to be delivered, methods of grievance redressal and public evaluation of performance. It also recommended that a Model Code of Governance should be drawn up benchmarking the standards of governance to be made available to the citizens. It further recommended that an annual State of Governance Report, benchmarking the performance levels of each State/department/Ministry should be brought out.

16.10 Performance Appraisal

The first ARC had recommended several changes in the performance appraisal system as indicated below.

- The term ‘performance record’ should be used instead of ‘confidential report’.
- At the end of the assessment year, the civil servant should furnish an account of the work done by him/her during the year, to his/her reporting officer and this account should form a part of the performance record. The reporting officer should take note of this account while grading the civil servant.
- Grading in the performance report should consist of three categories: (a) fit for promotion out of turn, (b) fit for promotion, and (c) not yet fit for promotion. The category ‘unfit for promotion’ should be scrapped.
- Only 5 to 10 per cent of the civil servants engaged in work of a similar nature and at the same level in any organization, should be given the grade “fit for promotion out of turn”.
- Adverse remarks should not be communicated to the civil servant. When adverse remarks are recorded, the reviewing officer should, after discussing them with the reporting officer, and, if necessary, with the officer reported upon, either confirm the remarks or suitably modify them.

2.10.2 The Fifth Central Pay Commission was of the view that the ACR format should follow the rating system based on a 10 point scale as in the Armed Forces. It was also recommended

that the final grading in the ACR should be communicated to the employee. The Pay Commission also recommended a quinquennial appraisal of Group A officers, so that a full picture of their personality emerges after every five years. It recommended restoration of the Annual Confidential Report for Group D cadres.

The Report of the Group constituted to review the system of Performance Appraisal, Promotion, Empanelment and Placement of the AIS and Other Services (Surinder Nath Committee, 2003) recommended that –

- Performance appraisal should be primarily used for the overall development of an officer and for his/her placement in an area where his/her abilities and potential can be best used.
- The agency assigned the responsibility of monitoring the timely writing of annual performance reports should put in place a computerized system for more effective monitoring.
- The entire performance record including the overall grade should be disclosed to the officer reported upon. In case the appraisee submits any comments, it would be open to the reporting and reviewing officers to accept the comments and modify the performance report accordingly. In case they do not accept the representation of the appraisee, the report may be placed before a designated referral board that would consider the matter and make changes if required including the overall grading.
- As yet, there is no established modality for evaluation of an officer's performance by peers, subordinates and clients. It would be useful to supplement the formal performance appraisal regime with an institutionalised means of ascertaining the reputation of civil servants consistent with our culture and ethos.
- Only those who can demonstrate a credible record of actual performance and possess the necessary knowledge and skills required for higher responsibilities should be promoted. Promotion norms should be stringent and the process of promotion based on merit and competition rather on a simple attainment of a priori benchmarks. Officers must be evaluated not only on the basis of their performance in the lower positions but also in respect of their level of preparation by way of acquiring the necessary skills and knowledge for the higher level positions.
- There is no benefit in retaining officers who lack demonstrated competence, or who are unqualified, or of doubtful moral or financial integrity or who are in unacceptably poor

health. It is important that an effective system of screening with the following norms may be adopted for identifying the officers to be screened out:

- An officer who has failed to make it to the select list for promotion to the next higher grade three times.
- An officer who has encountered three proceedings resulting from vigilance enquiries or criminal proceedings in respect of alleged lapses of moral or financial integrity in the course of his/her career, even if the officer is cleared on completion of proceedings in each of these, may be screened out for lack of moral or financial integrity.
- An officer who has failed three times to qualify in the requisite career courses for his/her next promotion.
- An officer who is permanently medically unfit to perform the normal duties of the service as revealed from the biennial medical examination.

The Hota Committee on Civil Services Reforms, 2004, recommended replacing the ACR with a system of performance assessment in which greater emphasis is placed on objective assessment against agreed work plans.

16.11 Management of the Civil Services

The first ARC recommended the creation of a separate Department of Personnel to be entrusted with the responsibility for

- Formulation of personnel policies for the Central and All-India Services, and inspection and review of their implementation.
- Talent-hunting, development of personnel for senior management and processing of appointments for senior posts.
- Manpower planning, training and career development, research in personnel administration.
- Discipline and welfare of staff and machinery for redressal of their grievances.
- Liaison with the Union Public Service Commission, State Governments and professional institutions.
- Staffing of middle-level positions in the Central Secretariat.

The first ARC specifically recommended that the Department of Personnel should not administer any service cadre, and that the administrative control of different services should vest with the individual ministries. It also recommended that the administration of the IAS, IPS and the Central Services should be done by the Ministry of Home Affairs while management of the Indian Economic Service and the Indian Statistical Service should be transferred to the Department of Economic Affairs. While noting that the Department of Personnel should be placed directly under the Prime Minister, the first ARC recommended the creation of an advisory council on personnel administration to act as a feeder line of new thinking on personnel administration. The ARC recommended that the advisory council should consist of official and non-official experts in different aspects of personnel management drawn from all over the country.

The Fifth Central Pay Commission advocated the constitution of a high-powered Civil Services Board both at the Centre and the States. It also recommended fixation of minimum tenure for each post. It suggested that no premature transfer should be allowed. It further recommended that the findings of the Civil Services Board are to be accepted invariably and in case of disagreement the entire proceedings should be laid on the Table of the House.

16.12 summary

As a result of the deliberations of these Commissions and Committees on different aspects of public administration and the recommendations made, there have been incremental reforms-such as creation of a separate Department of Administrative Reforms in the Union and State Governments, setting up of the Indian Institute of Public Administration, setting up of the Central Vigilance Commission, Constitution of Lokayuktas in States, strengthening of citizens' grievance redressal machinery, drawing up of citizens charters, focus on training and capacity building of civil servants, restructuring of the recruitment process and modifications in the performance appraisal system. Many of the recommendations involving basic changes have not been acted upon and therefore, the framework, systems and methods of functioning of the civil services based on the Whitehall model of the mid-nineteenth century remains largely unchanged.

16.13 Answer to self-check exercises

To see extent

- 1.1,1.12

16.14 Suggested reading

1. Maheshwari S.R. "Civil Service in Great Britain", Concept Publishing Company, 1976.
2. Goel S.L. "Personnel Administration and Management", Deep and Deep publication, New Delhi, 2002.
3. Palekar S.A. "Public Personnel administration", ABD Publisher, New Delhi 2020.
4. Kumar kar Sushant" public personnel Administration", Kunal Books Publisher, 2018.
5. Procter W. Arthur "Principles of Public Personnel Administration" Forgotten Books Publication, 2022.

16.15 Terminal questions

- Explain history of civil service Reform in India

Unit-17

RELATION BETWEEN THE POLITICAL EXECUTIVE AND CIVIL SERVANTS

Structure

17.0. Learning Objectives

17.1. Introduction

17.2 pay commission in India

17.3. Composition pay Commission

17.4 Summary

17.5 Self check exercises

17.6 Glossary

17.7 Answer to self-check exercises

17.8 Suggested reading

17.9 Terminal questions

17.0. Learning Objectives

After going through this lesson, the student will be able to understand

17.1 Introduction

In a democracy, power vests with the people. This power is exercised through its elected representatives who have the mandate to govern them for a specific period. The civil services by virtue of its knowledge, experience and understanding of public affairs assist the elected representatives in formulating policy and are responsible for implementing these policies. Parliamentary democracies are usually characterized by a permanent civil service which assists the political executive. Under the Presidential form of government (like in the US), the higher echelons of the civil services are, in contrast, appointed by the government of the day (spoils system). India has adopted the British model.

Some advantages of having an independent, permanent and impartial civil service are as follows:

- i. The spoils system has the propensity to degenerate into a system of patronage, nepotism and corruption. Having a credible recruitment process through an impartial agency provides a defence against such abuse.
- ii. Public policy today has become a complex exercise requiring in-depth knowledge and expertise in public affairs. A permanent civil service provides continuity and develops expertise as well as institutional memory for effective policy making.
- iii. A permanent and impartial civil service is more likely to assess the long-term social payoffs of any policy whereas the political executive may have a tendency to look for short term political gain.
- iv. A permanent civil service helps to ensure uniformity in public administration and also acts as a unifying force particularly in vast and culturally diverse nations.
- v. A permanent civil service like any other reputable profession is likely to evolve over time an ethical basis for its functioning.

A healthy working relationship between Ministers and civil servants is critical for good governance. While the principles governing the roles and responsibilities of Ministers and civil servants are well defined in political theory, in the actual working of this relationship this division of responsibility becomes blurred with both sides often encroaching upon the other's sphere of responsibility. In any democracy, Ministers are responsible to the people through Parliament and therefore the civil servants have to be accountable to the Minister. However, an impartial civil service is responsible not only to the government of the day but to the Constitution of the land to which they have taken an oath of loyalty. At the same time, implementing the policies of the duly elected government is a core function of civil servants. That is why the division of responsibility between the civil servants and ministers needs to be more clearly defined. A framework in which responsibility and accountability is well defined would be useful.

17.2 Constitutional Provisions in India

The Indian Constitution provides for separation of powers between the legislature, executive and judiciary with well-defined roles and responsibilities for each one of them. Since India is a parliamentary democracy, there is an interface between the legislature and the executive at the level of the Council of Ministers, which is collectively responsible to the legislature. In terms of Articles 53 and 154, the executive power of the Union and the States vests in the

President or Governor directly or through officers subordinate to him. These officers constitute the permanent civil service and are governed by Part XIV of the Constitution.

The other part of the executive is the 'political'. The President or Governor is required to act according to the aid and advice of his/her Council of Ministers, appointed under Articles 73 and 163 of the Constitution. The President and Governor frame rules for the conduct of business in the government. Work is allocated among Ministers as per the Government of India (Allocation of Business) Rules and the manner in which the officers are required to help the President or Governor to exercise his/her executive functions is governed by the Government of India (Transaction of Business) Rules. What this means is that though officers are subordinate to the President or Governor, they carry out the orders.

of the Council of Ministers in accordance with the rules framed in this behalf. The Rules of Business of Government do provide for the Secretary to the Government to advise his/her Minister about the course of action proposed in a particular matter and to submit to him a note which tells him about the propriety or legality of his/her orders and suggest that either such orders not be given or that they be suitably modified. The relationship between the Secretary and the Minister is organic. The Minister has the mandate of the people to govern, but the Secretary has an equivalent constitutional mandate to advise the Minister. Once his/her advice has been suitably considered, unless the Minister passes an illegal order, the Secretary is bound to implement it. The Minister, on his/her part, is required to support the Secretary who is implementing his/her order. Once a law is framed or rules and regulations are approved, they apply to everyone, whether a member of the political executive or of the permanent civil service. A civil servant is required to implement the orders of government without bias, with honesty and without fear or favour. It is precisely in this area that a degree of a difference of opinion often occurs between the political executive and the civil servants.

17.3 The Civil Services in Post-Independence India

In the initial years after Independence, relations between Ministers and civil servants were characterized by mutual respect and understanding of each other's respective roles, with neither encroaching upon the other's domain. However, in subsequent years, matters started changing for the worse. While some civil servants did not render objective and impartial advice to their Ministers, often some Ministers began to resent advice that did not fit in with short-term political interests. There was also a tendency for some Ministers at the Union and the State levels to focus more on routine administrative matters such as transfers in

preference to policy making. At the same time, some civil servants learnt the art of ‘manoeuvring’ for favours in return for pliability in their decision making. This trend was further accentuated by rising materialism and acquisitiveness in society as well as decline in values across the board. As a result, ‘political neutrality’ which was the hallmark of the civil service in the pre-Independence era as well as in the period right after Independence, was gradually eroded. These trends led to the phenomenon of ‘politicisation of the civil service’ in India.

17.4 Areas of Friction

The areas of potential conflict in the relationship between the political executive and the permanent civil service can be identified as follows:

- a. The concept of neutrality
- b. Advisory role of civil servants in policy making
- c. Statutory role of the civil servants
- d. Discharge of delegated functions
- e. Appointments/Recruitment to the civil services
- f. Transfers and postings of civil servants

The Concept of Neutrality

Sardar Patel had made the following observations in the Constituent Assembly to support the continuance of the pre-independence civil service structure:- “It needs hardly to be emphasized that an efficient, discipline and contented civil service assured of its prospects as a result of diligent and honest work, is a sine-qua-non of sound administration under democratic regime even more than under an authoritarian rule. The service must be above party and we should ensure that political considerations, either in its recruitment or in its discipline and control, are reduced to the minimum if not eliminated altogether.”

Unfortunately, this vision of civil service neutrality no longer holds good. Changes in governments particularly at the state level often lead to wholesale transfer of civil servants. Political neutrality is no longer the accepted norm with many civil servants getting identified, rightly or wrongly, with a particular political dispensation. There is a perception that officers have to cultivate and seek patronage from politicians for obtaining suitable positions even in

the Union Government. As a result, the civil services in public perception are often seen as increasingly politicized.

The Commission is of the view that the political neutrality and impartiality of the civil services needs to be preserved. The onus for this lies equally on the political executive and civil servants. The Commission in its Report on “Ethics in Governance” while examining the ethical framework for Ministers has recommended that a code of ethics for Ministers should inter-alia include the following: “Ministers must uphold the political impartiality of the civil service and not ask the civil servants to act in any way which would conflict with the duties and responsibilities of the civil servants.”

As observed by Paul Appleby civil servants should not confuse ‘political neutrality’ with ‘programme neutrality’. At the stage of policy formulation, the role of civil servants is to render free and frank advice which should not be coloured by any political considerations. Once a policy or programme has been approved by the elected government, it is the duty of the civil servant to faithfully and enthusiastically see to its implementation. Not carrying out this task in the right spirit would amount to misconduct inviting appropriate sanctions.

17.5 Advisory Role of Civil Servants in Policy Making

Rendering policy advice to the political executive is the most important “staff function” of the civil servant. Policy making is the ultimate responsibility of the Minister. After a policy is approved by the elected government, it is duty of the civil servant to implement such policy in the right earnest whether he/she agrees with it or not. At the same time, it is the duty of the civil servant to provide the factual basis, thorough analysis of all possible implications of any measure under consideration and free and frank advice, without fear or favour, at the stage of policy formulation. It is unfortunate that at times senior civil servants get bogged down in routine administrative decision making and are unable to contribute adequately to this crucial aspect of their functions. However, for civil servants to be able to provide appropriate policy inputs, they must acquire the necessary combination of a broad perspective of the sector as well as of the Government as a whole, combined with conceptual clarity and requisite knowledge.

If a policy that is being formulated is perceived by the civil servant to be against public interest, his/her responsibility is to convince the political executive about the adverse implications of such a policy. However, if the political executive does not agree with such an advice, there is little that the civil servant can do other than putting his/her views clearly on

record. It is for the other institutional mechanisms such as Parliament, the CAG, Judiciary and ultimately the electorate to hold the political executive to account for bad policy.

In order to ensure that senior civil servants have adequate time to focus their attention on their 'policy advice role', the Commission is making detailed recommendations on separation of staff and line functions, in a separate report.

17.6 Statutory Role of the Civil Servants

Civil servants are required to discharge statutory functions under various legislative enactments which may sometimes be quasi-judicial in nature. The role of the executive magistrate under the Cr. PC, the role of an Assessing Officer under the Income Tax Act and of the SHO under the Cr.PC and the respective Police Acts are some examples of such functions. It has been observed that there is an increasing trend on the part of the senior functionaries both in the civil services as well as elected representatives including Ministers to interfere in such statutory functions. Acquiescence in the face of such interference is primarily the fault of the officer who has been entrusted with these statutory functions although those bringing such extraneous pressures should also be held to account.

The Commission in its Report on "Ethics in Governance" while examining the definition of corruption under the Prevention of Corruption Act, 1988 has recommended that "abuse of authority unduly favouring or harming someone" and "obstruction of justice" should be classified as an offence under the Act.

17.7 Appointments/Recruitment to the Civil Services

The Constitution of India provides for an independent Union Public Service Commission (UPSC) and State Public Service Commissions (PSCs). It lays down that it shall be the duty of the Union and the State Public Service Commissions to conduct examinations for appointments to the services of the Union and the services of the States respectively. However, while the UPSC enjoys an untarnished reputation for having developed a fair and transparent recruitment system, the same cannot be said for all the State PSCs. In addition, a large number of recruitments to various positions is done by departments of government and different organizations under their control both at the Union and the State government levels. Examples of such large scale recruitments which have often been the subject of complaints and controversies are recruitments to the posts of Police constables, teachers, bus-drivers and conductors etc.

The Commission feels that it is essential to lay down certain principles/norms for such recruitments to avoid complaints of favouritism, nepotism, corruption and abuse of power that have often characterized these recruitment exercises. These principles are :

- i. Well-defined merit-based procedure for recruitment to all government jobs
- ii. Wide publicity and open competition for recruitment to all posts
- iii. Minimisation, if not elimination, of discretion in the recruitment process
- iv. Selection primarily on the basis of written examination or on the basis of performance in existing public/board/university examination with minimum weightage to interview.

17.8 Postings and Transfers of Civil Servants

The National Commission to Review the Working of the Constitution made the following observations regarding transfers and postings of civil servants:

“Arbitrary and questionable methods of appointments, promotions and transfers of officers by political superiors also led to corrosion of the moral basis of its independence. Refurbishing of Personnel Administration – Scaling New Heights 279 It has strengthened the temptation in services to collusive practices with politicians to avoid the inconvenience of transfers and to gain advantages by ingratiating themselves to political masters. They would do the politicians’ biddings rather than adhere to rules. Lest the situation becomes more vicious, it is necessary that a better arrangement be conceived under the Constitution. The question of appointments, transfers and placements is not to be left to the discretion of the politicians or administrative bosses but be entrusted to independent and autonomous boards. The Commission, therefore, recommends that the questions of personnel policy including placements, promotions, transfers and fast-track advancements on the basis of forward-looking career management policies and techniques should be managed by autonomous Personnel Boards for assisting the high level political authorities in making key decisions. Such civil service boards should be constituted under statutory provisions. They should be expected to function like the UPSC. Reputed management experts from institutes of management, well known for their excellence, should be inducted into these boards to provide a broad based pool of expertise. The principle is not to take politics out of personnel policy but to make knowledge and information institutionally available to the political decision-makers on the basis of appropriate parliamentary legislation under Article 309. The sanctity of parliamentary legislation under Article 309 is needed to counteract the publicly

known trends of the play of unhealthy and destabilizing influences in the management of public services in general and higher civil services in particular.”

Arbitrary and motivated transfers of government servants which are not in public interest and good governance have become a matter of great concern particularly in some States although the position is somewhat better at the Union Government level.

The Union Government has initiated several measures in order to ensure security of tenure to civil servants. The Rules governing the All India Services have been amended and provision made for fixation of tenures of posts encadred with the AIS. For example, the Indian Administrative Service (Cadre) Rules, 1955, have been amended and a new clause inserted:¹¹⁵ “

7(c)

(i) The Central Government, in consultation with the State Government or State Governments concerned, may determine the tenure of all or any of the cadre posts specified for the State concerned in item 1 of the Schedule to the Indian Administrative Service (Fixation of Cadre Strength) Regulation, 1955.

(ii) A cadre officer, appointed to any post for which the tenure has been so determined, shall hold the minimum tenure as prescribed except in the event of promotion, retirement, deputation outside the State or training exceeding two months.

(iii) An officer may be transferred before the minimum prescribed tenure only on the recommendation of a Committee on Minimum Tenure as specified in the Schedule annexed to these rules.”

The tenure of several posts has been notified accordingly for many States. The Commission has tried to address this issue in the suggesting a mechanism for posting of officers and for fixation of tenures. The Commission would like to reiterate that the tenure of all posts above a certain level should be fixed in Government of India by making a provision in the new civil services law. State Governments should also take similar steps

17.9 Summary

There is a need to safeguard the political neutrality and impartiality of the civil services. The onus for this lies equally on the political executive and the civil services. This aspect should be included in the Code of Ethics for Ministers as well as the Code of Conduct for Public Servants.

The Commission would like to reiterate its recommendation made in its Report on “Ethics in Governance” while examining the definition of corruption under the Prevention of Corruption Act, 1988, wherein it has been recommended that “abuse of authority unduly favouring or harming someone” and “obstruction of justice” should be classified as an offence under the Act.

17.10 Self check exercises

To see extent

- 17.1,17.5
- 17.6,17.9

17.12 Suggested reading

1. Maheshwari S.R. "Civil Service in Great Britain", Concept Publishing Company, 1976.
2. Goel S.L. "Personnel Administration and Management", Deep and Deep publication, New Delhi, 2002.
3. Palekar S.A. “Public Personnel administration”, ABD Publisher, New Delhi 2020.
4. Kumar Kar Sushant” public personnel Administration”, Kunal Books Publisher, 2018.
5. Procter W. Arthur ”Principles of Public Personnel Administration” Forgotten Books Publication, 2022.

17.13 Terminal questions

- Difference between Political and permanent executive.

Unit-18

Administrative Reforms since 1947: Critical Appraisal.

Structure

- 18.0. Learning Objectives
- 18.1. Introduction
- 18.2 Administrative Reform In India
- 18.3 Reports on Indian Administration, 1946-97
- 18.4 The Administrative Reforms
- 18.5 Administrative Reforms Commission
- 18.6 Administrative Reforms in the States
- 18.7 Report of Administrative Reform Commission
- 18.8 Summary
- 18.9 Self check exercises
- 18.10 Glossary
- 18.11 Answer to self-check exercises
- 18.12 Suggested reading

18.0. Learning Objectives

After going through this lesson, the student will be able to understand

18.1. Introduction

Morarji Desai was initially appointed the chairman of the First Administrative Reforms Commission, but later K. Hanumanthaiah was appointed at the post as Desai became the Deputy Prime Minister of India..ARC stands for Administrative Reforms Commission, a body appointed by the Government of India for reviewing the public administration system of India. The first ARC was established on January 5, 1966. The main aim of establishing

administrative reforms in India is to promote government administrative agencies to implement public policies efficiently and bring in transformation in the society.

Reports published by the Administrative Reforms Commission are called ARC Reports. The 1st ARC was set up in 1966 to examine the public administration of the country and make recommendations for reform and reorganisation. The 2nd ARC (2005) prepared a detailed blueprint to revamp the public administrative system. It submitted 15 reports to the Government covering areas like RTI, ethics in governance, local governance, terrorism, public administration, e-governance, financial management and so on.

Since Independence, there have been about fifty Commissions and Committees at the Union Government level to look into what can be broadly characterized as administrative reforms. The First Administrative Reforms Commission set up in January 1966 was asked, in particular, to consider all aspects relating to the following subjects –

- The machinery of the Government of India and its procedures of work;
- The machinery for planning at all levels;
- Center-state relationship;
- Financial administration;
- Personnel administration;
- Economic administration;
- Administration at the state level;
- District administration;
- Agricultural administration; and
- Problems of redress of citizens grievances.

18.2 ADMINISTRATIVE REFORMS IN INDIA

The problem of administrative reforms in India is obviously a very difficult one, some of the most glaring defects of the existing administrative systems are:

- (1) faults in administrative organisation and structure,
- (2) delay in the despatch of business,
- (3) inefficiency and

(4) lack of integrity or corruption.

Other defects is diffusion of responsibility and the plethora of consultation before a decision is reached accompanied by a general lack of follow up and implementation. Last, but not the least important, issue faced by us today is that of the relationship between Ministers and civil servants. It is certain that no administration can successfully discharge its duties unless it is left alone and allowed to implement the policies of the government. But experience shows during last 50 years there has been constant interference in the administration right from the top to the lowest level. Therefore, the civil servants are fast losing self-confidence and sense of responsibility and administrators do not want to do any original thinking at all. That is why the administrative reform is needed urgently.

The question of administrative reforms has engaged the attention of the Government of India, State Governments, statesmen and administrators. Therefore, various attempts for reforming the administrative system have been made after independence. An impression has grown that the administration is immune to reforms and innovations and remains status-oriented rather than work-oriented. The abolition of the ICS privileges has not increased the responsiveness of the higher services to the need for change but only strengthened the bureaucratic hold of the IAS. The method of recruitment for the IAS has introduced a serious imbalance in the system and the UPSC examinations neither tests intellectual attainments sufficiently nor qualities of Initiative and leadership of the candidates and has made the service a preserve of the upper classes hailing from urban centres.

18.3 Reports on Indian Administration, 1946-97

The central government was very much concerned with the matter and since 1947. appointed near about 30 committees/commissions to suggest administrative reforms, as listed below:

1. Reorganisation of Central Government (Richard Tottenham), 1946. (This report is significant in understanding Independent India's public administration; hence, its enumeration here).
2. Secretariat Reorganisation Committee (Girija Shankar Bajpai). 1947.
3. Central Pay Commission (Srinivas Varadachariar), 1947.

4. Economy Committee (KasturbatLalbai), 1948.
5. Reorganisation of the Machinery of Government (N.GopalaswamiAyyangar), 1949.
6. Report on Public Administration (A.D.Gorwala), 1951.
7. Report on the Efficient Conduct of State Enterprise (A.D.Gorwala), 1951.
8. The Machinery of Government-Improvement of Efficiency (R.A.Gopalaswami), 1952.
9. Report on Indian and State Administrative Services and Problems of district (V.T.Krishnamacharl), 1952. Administration
10. Public Administration in India-Report of a Survey (Paul H. Appleby), 1953.
11. Railway Corruption Enquiry Committee (J.B. Kriplani). 1955.
12. Notes on Changes Necessary in System of Budgetary and Financial Control (Asoka Chanda), 1956.
13. Re-examination of India's Administrative System with special reference to Administration of Government's Industrial and Commercial Enterprises (Paul H. Appleby), 1956.
14. Public Service (Qualifications for Recruitment) Committee (A. RamaswamiMudaliar), 1956.
15. Balwant Ral Mehta Committee on Community Projects and National Extension Service, 1957.
16. Commission of Enquiry of Emoluments and Conditions of central Government Employees(jagannadha Das, 1959.
17. Staff Welfare Review Committee (Fateh Singh), 1961.
18. Committee on Prevention of Corruption (K.Santhanam), 1964.
19. The Administrative Reforms Commission (Chairman, Morarji Desai & Late K. Hanumanthalya), 1966-70.
20. Third Central Pay Commission (Raghubar Dayal), 1973.
21. Committee on Recruitment Policy and Selection Methods (D.S. Kothari), 1976.

22. Asok Mehta Committee on Panchayati Raj Institution, 1977.
23. National Police Commission, 1977.
24. Economic Administration Reforms (Chairman, L.K. Jha), 1981-85. Commission
25. Fourth Central Pay Commission Report, 1983.
26. Sarkaria Commission on Centre-State Relations, 1983.
27. Committee to Review the Existing Administrative Arrangements for Rural Development and Poverty Alleviation Programmes (CAARD) (Chairman, G.V.K. Rao), 1985-88.
28. Committee to Review the Scheme of Civil Services Examinations (Satish Chandra), 1988-1990.
29. Dr. Raja J. Chelliah Committee on the Tax Reforms, 1991-92.
30. Fifth Pay Commission Report, April 9, 1994 January 30, 1997.

18.4 The Administrative Reforms is a continuous process, therefore, is better to study it in the historical perspective. The attempts for administrative reforms in our country, for the sake of study, can be divided into the following periods:

- First Phase: 1947-1964 A period of historical building, till the death of Pt. Nehru.
- Second Phase: 1964-1976 A Period of Comprehensive Reforms and era of Administrative Reforms Commission till the Congress ruled at the Centre.
- Third Phase: 1977-1990 A period of new ideas and reforms
- Fourth Phase 1990-onwards. A period of privatization and Decentralization

First Phase (1947-1964)

In July 1947 a Secretariat Reorganisation Committee, which functioned like an officer's shortage committee, was appointed. The government set up, in 1948, the Economy Committee to review the increase in the civil expenditure of the central government since 1938-39 and to make recommendations for the promotion of true economy in the administration by the elimination of unnecessary wasteful or extravagant expenditure, under the Chairmanship of Kasturbhai Lalbhai a prominent industrialist. It was followed by the government of India Reorganisation of Machinery of Government Report in 1949 by N. Gopalaswamy Ayyangar. His major recommendations was on the grouping of central governmental ministries into four bureau: was primarily designed to secure 'co-ordination of

policy and planning, the establishment of a common Financial Advisory Organisation and a common Central Administrative Office for the efficient performance of common services and administrative coordination. Administrative innovations devised by Ayyangar were perhaps far ahead of the time, however, the Ministry of Economic and Defence Coordination was a belated vindication of Ayyangar's rationalism and foresight. The O & M division originally suggested by Ayyangar, was also set up in 1954.

The Planning Commission which was set up in March 1950. asked A.D. Gorwala in July 1951 a retired administrator, to assess how far the existing administrative machinery and methods were adequate to meet the requirements of planned development. Gorwala's report served as the basis for the formulation of certain important proposals for the reform of administration, which were later included in the First Five Year Plan. The two reports by Paul H. Appleby, submitted in 1953 and 1956 to the Government of India, had a significant influence on thinking about administrative reforms in government circles as well as the educated public. His first report 'Public Administration In India: Report of a Survey, dealt more with changes in the basic principles and concepts including the Indian administrative organisation and practice and less with the details of the administrative machinery and methods. In his second report 'Re- examination of India's Administrative System he made several suggestions for streamlining organisation, work procedures, recruitment, training and relations between Administration and Parliament, administration and Planning Commission, and Administration and the Comptroller and Auditor General.

In 1954 Asoka Chanda submitted his report entitled, "Notes on Changes Necessary in the system of Budgetary and Financial Control and in Other Methods" to eliminate delays in execution of projects Chanda recommended greater measure of delegation, of all India services, adoption of office-oriented system creation of all India services, adoption of office-oriented system of functioning, constitution of a common service divided vertically into departments to provide for specialised training in the different spheres of governmental activity.

In 1962 the government set up a Committee under the Chairmanship of K. Santhanam, known as the Committee on Prevention of Corruption, to examine the problem of corruption in government. The Committee submitted its report in 1964.

In 1963 while conducting the mid-term appraisal of the Third Plan, it was found that the pace of economic growth was slow, therefore, Central and State Governments were directed to

enhance the administrative efficiency for speedy implementation of development programmes. The review resulted in setting up a new Department of Administrative Reforms in the Home Ministry in March 1964 and O & M division was transferred from Cabinet Secretariat to this department. In 1965, Bureau of Public Enterprises was set up in the Ministry of Finance for better management of public enterprises. In September 1985 it became the Department of Public Enterprises under the Ministry of Industry. As already mentioned Government of India appointed number of other Committees and Commissions to make suggestions for administrative improvement.

Apart from these Committees, there have been five Pay Commissions which the Central Government set up in 1946, 1958, 1971-72, 1982-83 and 1996. Fifth Pay Commission's reform proposals are important and will be discussed in the end of the Unit.

The Planning Commission has also been recommending changes in the public administration of the country. Each Five Year Plan contains a Unit on public administration. Planning Commission determines the nature of the administrative machinery to secure the successful implementation of the Plan." The Estimated Committee of Parliament also covers within its ambit the reform of the machinery of government and its personnel. Some of the reports are devoted entirely to questions of administrative reform. Mention in this connection must be made of its second report on Reorganisation of the Secretariat and Departments of the Government of India (1950-51), Ninth Report on Administrative, Financial and other Reforms (1953-54) and Ninety-third Report on Public Services (1965-66).

The discussion may be summed up by saying that government took several steps as a result of recommendations of these Committees. The special Reorganisation Unit was reorganised in 1958 to incorporate the use of work study techniques for determining work loads and staff complements and overhauling procedures. Two high level institutions, the Central O & M division and Indian Institute of Public Administration (IIPA), were set up in 1954. In August 1960 Administrative Vigilance Division was set up in the Ministry of Home Affairs to render assistance and to coordinate the activities of the Central Government in their campaign against corruption in the Public Services.

The Government of India set up in March 1964 the Department of Administrative Reforms in the Ministry of Home Affairs now it is under a separate Ministry known as the Department of Personnel and Administrative Reforms, Pensions and Public Grievances to deal with problems of reform. reorganisation and modernisation of administration at all levels so as to

make it an efficient and sensitive instrument for carrying out the task of economic development and social welfare and for achieving the general social objectives which the country has set and the need for setting up of the agency for evolving a machinery for the redressal of grievances of citizens arising from unsound procedures, delays, lack of courtesy and consideration in official dealing.

The first and second Pay Commissions which submitted their reports in 1947-48 and 1956-57 respectively made several important observations concerning public administration. Many suggestions were made by the Estimates Committee and other Committees of the Parliament. State Governments also appointed number of committees which suggested administrative reforms.

The O&M Division was meant basically to provide leadership for cooperative effort to improve the administration. It encourages civil servants to use the scientific method to find out what is wrong and what are the remedies.

The Ministry of Finance also set up a Special Reorganisation unit in the Department of Expenditure to assess the requirement of Staff in various Ministries/Departments through work measurement techniques. This Unit also became a permanent agency for reviewing the organisation and procedure of the Government of India and suggested improvement in the existing methods of works.

Indian Institute of Public Administration (IIPA)

The Institute was set up as a result of Paul H. Appleby's recommendation. It runs a number of training courses for the public administrators and conducts researches on the subject matters of public administration. It publishes the Indian Journal of Public Administration which provides very good material for the implementation of Public Administration. Several other developments took place during this period. On the recommendation of Santhanam Committee in 1964 a Central Vigilance Commission was established to inquire into the cases of corruption by higher civil servants. Like wise on the recommendation of the Second Pay Commission (1957), a Whitley type Machinery for redressal of grievances of Civil Servants was set up by the Government. In November 1963, as a presume of Parliament Das Commission was appointed to inquire into the corruption charges against Pratap Singh Kairon, Chief Minister of Punjab. In March 1964 the O & M Division was converted into a full fledged department of Administrative Reforms in the Ministry of Home Affairs. The department provided impetus to the administrative reforms.

Second phase (1965-1976)

Administrative Reforms, until the setting up of the Administrative Reforms Commission, have been carried out mostly in the spirit, style and shape of improvisations. Those several Committees that have been set up to report on administrative reforms have been content to suggest some alterations here and some additions there. Few have gone deeper and examined the whole system of administration as such : almost all have been the prisoners of the existing framework and the system that underscores it."¹⁰

K.Hanumanthaiya while commenting on this period rightly pointed out, "during the last twenty years, there were only adjustments and no reforms in the administration." Thus, this 11 period is characterised by "too ready a disposition on the part of the government to appoint Committees but on equal measure of apathy or even indifference to profit from their labours."¹² The government even delayed the implementation of the recommendations made by the Committees.

18.5 Administrative Reforms Commission (1966-70)

The Resolution of setting up the Administrative Reforms Commission, issued in 1964, said that "It will give consideration to the need for ensuring the highest standards of efficiency and integrity in the public services, and for making public administration a fit instrument for carrying out the social and economic policies of the Government and achieving social and economic goals of development as also one which is responsive to people." The Commission was asked to consider the following:

- (1) The machinery of the Government of India and its procedures of work;
- (ii) The machinery for planning at all levels;
- (iii) Centre-State Relationships;
- (iv) Financial Administration:
- (v) Personnel Administration:
- (vi) Economic Administration:
- (vii) Administration at the State level:
- (viii) District Administration:

(ix) Agricultural Administration: and

(x) Problems of redress of citizens'

Thus, the Commission was asked on such a vast array of subjects to examine and report. It is an example of all-embracing attempt at reform. The Commission submitted 20 reports for the reforms in various fields of administration in India. The Commission has made, in all, 581 recommendations and suggestions. In the words of Shri Hanumanthaya government has accepted 80% of recommendations made by the Commission. As the Commission also explored areas within the states' jurisdiction, the central government evidently lacks direct authority to take or compel action on them it may bring such recommendations to the notice of the States and at best, use moral pressure in favour of them. Even recommendations directly concerning the centre broadly fall into two categories from the angle of implementation. Some recommendations concern formal structure and procedures of work. The other category calls for restructuring of rules, behaviour and attitudes. Which in turn category calls for restructuring of rules, behaviour and attitudes, which, in turn, ultimately rests on the inner urges and orientations of the elective and permanent administrators. A large number of structure-and-procedure based recommendations are rather mild, emphasizing as they do only minor re-adjustments, modifications and realignments. Even after taking into account all these factors, one cannot escape the painful conclusion that the record of acceptance of the Commission's recommendations has been discouraging and disheartening."

During the period 1979-80, due to ARC recommendations and efforts of the Central reform agency, enormous changes in administrative structure, system and procedures took place. On the recommendation of the ARC, the department of personnel was set up. department of administrative reforms was restructured for better performance, system of secretariat working was improved by introducing desk officer system. performance budgeting was introduced by all government ministries: maximum possible powers were delegated, and the working of Bureau of Public Enterprises was improved after the recommendations of the ARC Report on Public Sector.

The department of administrative reforms, carried out many studies relating to management such as organisational structure, methods and procedures, Information system, records management, employees satisfaction, use of modern office machines, equipment and financial administration, etc. These studies improved the working of the offices and attention was paid for citizens satisfaction. All the States set up the department of personnel and

administrative reform at the State level along with State Bureau of Public Enterprises, during the 70s. In 1976 Audit and Accounts were separated for administrative improvements. However, the Emergency in 1975-77, gave a rude shock to the image of Public Administration when the credibility of the policy making and policy executing levels suffered.

Third Phase (1977-1990)

After the internal emergency, elections were held in March 1977 and the Janata Party came in power at the centre. Janata Party government appointed various commissions to point out the Emergency excesses and no tangible improvement took place in the administration. Again in 1980 Congress party came in power and reform process started.

The Fazal Committee (1980-82) on Public Enterprises also felt the need of accountability in Public Sector. The Jha Commission (EARC 1981-85) in its report on 'accountability' stressed the need of accountability and laid emphasis on performance, and results rather than rules and procedures. Both the Fazal Committee and Jha Commission suggested the changes in organisations relating to clear-cut definition of their goals and objectives, delegation of powers, system of performance appraisal, with a system of reward and punishment, etc. As a follow up action on the recommendations of these two committees the MPI and DPAR took concrete steps to institutionalise accountability in the government by introducing annual action plan (AAP). The AAP would mention the key activities/functions and the responsibility centres at the level of Joint Secretary by name.

Grievances and Pensions was set up, with three departments namely, department of Personnel and Training, Department of Administrative Reforms and Public Grievances and Department of Pensions and Pensioners' Welfare. This Ministry was placed directly under the Prime Minister assisted by a Minister of State. During this period more emphasis was laid on Work Culture and highest priority was given to performance, results and outcomes. Prime Minister Rajiv Gandhi, addressing the nation on January 5, 1985 announced several measures to equip administration for social and economic transformation. These measures included decentralisation, accountability, effective machinery for redressal of public grievances and prompt courteous service to the citizens. In September 1985, a new Ministry of programme implementation was created under the charge of Prime Minister. The Ministry mainly coordinated all poverty alleviation programmes and made administration more responsive. The Ministry of Programmes Implementation (MPI) introduced the concept of Management

by Objective (MBO). According to this a task plan along with time frame for each task has to be prepared and allocated to the individual officers and units to fix specific responsibility. Monitoring of the target achievements is done every month at the level of Secretary and MPI. new system of MOU (Memorandum of Understanding) was adopted at the direction of the then Prime Minister Rajiv Gandhi for public enterprises. This is an annual action plan drawn up by public enterprises and agreed upon between the PEs and administration, ministries/departments."

To match the responsibility, powers have been delegated by the Ministries to the lower level functionaries by Finance Ministry to administrative ministries, so that responsibility for the performance can be pinpointed. Likewise inter-ministerial consultations took long time to arrive at any decision: to improve the situation and avoid delay improved procedures have been evolved for speedy decisions. In such cases time has been fixed and within that period the Ministry/department has to send his comments otherwise it will be presumed that the concerned Ministry/department has nothing to comment.

The Department of Administrative Reforms and Public Grievances has also taken several steps to improve administrative reforms. The department has prepared a scheme for modernisation of government offices to make them model office. through functional layouts, better services to the public and removal of public grievances and cost effective management. All the offices have been given separate budgets for purchase of modern equipments such as photocopiers, electronic type-writers and computers. To increase productivity, concept of work improvement team has been introduced. The scheme seeks to generate higher employee moral, improved productivity and reduction in cost through participation at the grassroot level. This Railways, scheme has been introduced in the departments which come in contact with large number of people daily such as posts, DDA, health, labour, banking etc. Other measures include lump-sum payment of road tax for personal vehicles like cars scooters and motor-cycles, new telephone number through electronic exchanges easy to remember, Computerised reservation facilities for rail reservations, paper work has been reduced and several other procedures have been simplified. Attention has also been paid for speedy removal of public grievances by setting and strengthening grievances removal machinery. A senior officer in each Ministry/department is designated as Director of Grievance for speedy disposal of complaints. Personnel reforms were also proposed during 80s and a major step in this field was introduction of compulsory training programme for IAS officers. WITH SEX to nine years' service, 10-16 years and 16-20 years in regard to programme implementation,

management concepts. decision making techniques, policy planning and analysis respectively." The 15 months National management education programme was also devised for young civil servants and managers of public and private sector organisations with the cooperation of All IITs and the Xavier Labour Relations Institute. Jamshedpur and Management Institute Gurgaon (Haryana).

Main Characteristics of Third phase

In this three steps were taken for comprehensive administrative reforms. In this period Administrative Reforms Commission (ARC) was appointed, which examined our administrative system comprehensively and put forth 581 recommendations in all for the administrative reforms. Second. the government accepted the recommendation of creating 'Ombudsman' like institution 'Lokpal' and 'Lokayukta' in India to deal with public grievances and Bill is pending before the Parliament for the establishment of 'Lokpal, while 'Lokayuktas have been appointed in many States. Third, during this phase, the Government had created 'Administrative Tribunals' for expeditious disposal of the grievances of the public servants. Fourth, the central government have introduced performance budgeting since 1970-71. Fifth, during this period administrative reforms were more management oriented. A greater emphasis was laid on management and administrative reforms began to be viewed as management intensive exercise. During this period behavioural approach which Insists on human element in administration also emerged. The concept emanated from the business schools which remained highly influenced by the American thought. Sixth, for the improvement of civil servants, greater emphasis was laid on the institutional training. Of course, in India training of civil servants has a longer history, but a new emphasis was given in 1966 by creating a separate training division in the Ministry of Home Affairs. Now this training division is a part of the department of the Personnel Administrative Reforms and Training of the Ministry of Personnel and Administrative Reforms, Public Grievances and Pensions. The training programmes have been diversified and have grown in numbers. But the emphasis on training has been criticised on the grounds that, the contribution of training to the over all. the grounds that, the contribution of training to the over all efficiency of the organisation is limited, civil servants have no sufficient motivation to take training seriously, trainers are not selected properly and training material sometimes is also not upto the mark.

Fourth Phase 1990-onwards

This period is marked by minority unstable governments at the centre with weak political leadership. The process of liberalisation, started during this period has paved the way for removal of controls and delicensing in Industrial policy. The new Economic Policy since 1991 has simplified the process of industrialisation in the country. Moreover, in this period steps 18 have been taken to decentralise the powers through 73rd and 74th Constitutional Amendments Acts, 1992, which have constitutionalised Panchayati Raj and Municipal bodies. We have already discussed this aspect in detail in relevant Units.

The Government of India constituted a Tax Reforms Committee in 29 August 1991, under the Chairmanship of Dr. Raja J. Chelliah to examine the structure of direct and indirect taxes. The committee, on its interim report submitted in December 1991: observed that "certain important administrative and policy issues, however, deserve brief mention in this interim report because of the urgent need for initiating suitable action in regard to them. First and foremost among them is the need to tone up the administration. No amount of tax reform, rationalisation or simplification can substantially improve tax compliance, unless there is a substantial Improvement in public perception regarding the efficiency, technical competence, integrity and ability of tax authorities to relentlessly pursue and punish tax evaders, without political or other interference." The committee suggested that "for this, the morale of the work force should improve. The Government should recognise the paramount importance of the Revenue Departments and should spare no efforts in improving their condition of service, technical 19. skills and work environment. The committee submitted its final report on August 25, 1992 to the Finance Minister and made wide-ranging recommendations.

18.6 Administrative Reforms in the States

At the State level, many States have also appointed Administrative Reforms Commissions/Committees. For example, Kerala Administrative Reforms Commission, 1958 Administrative Enquiry Committee, Orissa, 1958; Andhra Pradesh Administrative Reforms Enquiry Committee, 1964 Punjab Administrative Reforms Committee, 1964; Rajasthan Administrative Reforms Committee 1966 MP. Administrative Reforms Commission 1969; Tamil Nadu Administrative Reforms Commission 1973; and West Bengal Administrative Reformis Committee 1982.

As a result of recommendations of these Commissions/ Committees several states have introduced reforms in their administration.

Featuresof Administrative Reform

The administrative reforms in India has passed through many stages and during the process acquired some features, Important of them are:

(1) In India the main sources of reforms are mainly three, (1) In India the main sources of first some reforms have come from the political process such as re-organisation of States or public inquiries against the Chief Ministers or a political scandal. Some reforms have been Initiated by the reform committees/commissions; i.e., ARC. While some have been initiated by the central agency such as Department of Personnel and Administrative Reforms.

(ii) The Union Government has played the leadership role In the field of Administrative reforms in the country for all the three levels-Central, State and Local. This has happened mainly because of Centralised Planning. The Union Government has set up several Committees on the State list subjects such as, Balwant Rai Mehta Committee 1957 to suggest ways for people's participation and Panchayati Raj. V.T. Krishnamachari Committee report on Indian and State Administrative Services and problems of District Administration, Asok Mehta Committee on Panchayati Raj Institutions, etc. Mehta Committee on Panchayati Raj Institutions, etc.. Even the ARC also gave report on State Administration.

(iii) Academic and Research Institutions in the country have not made any significant attempt to provide leadership in the field of administrative reforms. Even IIPA has not contributed much in this field.

(iv) NGOs, Voluntary organisations and Citizens Forum etc. have also not taken active interest in the field of administrative reforms.

Overall Impact Shorting Of Administrative Reform

First, though a number of committees and commissions examined and made recommendation for reform but the problems of field administration have not been examined in detail. Not only this the reports containing recommendations of committees and commissions appointed from time to time either not read or not considered for years. Second, the recommendations of committees and commissions were many but their implementation is very poor; this is because of our bureaucratic culture which frustrates implementation of reforms leading to any change . Third, implementation of reforms leading to any change. Third, administrative reform is a low priority for political leadership. They take interest in short term changes here and there and not in long term administrative reforms. Fourth, lack of integrity and

prevalence of speed money for any work in administration has also slowed down the process of administrative reform. The issues such as administrative morality, public accountability, democratisation and decentralisation of administration and openness of administrative actions, etc. are beyond the Vocabulary of administrative reforms." Fifth, neglect of 23 democratic decentralisation efforts during last four/five decades inspite of Balwant Rai Mehta Committee (1959). Ashok Mehta Committee (1978) and G.V.K.Rao Committee's (1985) recommendations for democratic decentralisation. Only recently Parliament (1992) has passed Constitutional Amendment Act Committee (1978) and G.V.K.Rao Committee's

(1985) recommendations for democratic decentralisation. Only recently Parliament (1992) has passed Constitutional Amendment Act (73rd) for establishment of Panchayati Raj in the country for decentralisation purposes. Sixth, the efforts for ministerial/departmental accountability through the system of annual action plans (AAP), launched with great zeal, were diluted as the time passed. The number and quality of AAPs deteriorated very fast with the passage of time. AAPS and performance budget have become only rituals. Thus, civil servants have evaded any accountability for their decisions and actions. MBO techniques and MOU extended to public enterprises both have not been taken in right earnest.

The success of administrative reforms depends on top politicians and bureaucratic support, but both are busy in furtherance of their mutual interest and hardly find time to pay attention for administrative reforms. The politics in the country is unstable after 1989 and bureaucrats hardly provide leadership for administrative reforms. What has been lacking in our administrative reform efforts in the last 50 years is a congruence between strategy, structure and substance.

18.7 Report of Administrative Reform Commission

The Commission submitted 20 Reports in all, These 20 Reports contained 537 major recommendations. Based on the inputs received from various administrative Ministries a report indicating the implementation position was placed in Parliament in November 1977. A-List of the recommendations of the first ARC that are relevant to this Report are outlined below:

1. Need for specialization: The first ARC recognized the need for specialization as the functions of Government had become diversified. A method of selection for senior management posts in functional areas and outside functional areas was laid down.

2. Unified Grading structure: A unified grading structure based on qualifications and the nature of duties and responsibilities was suggested.
3. Recruitment: On this subject, the ARC recommended:
 - A single competitive examination for the Class I services, with the age limit, raised to 26 years.
 - Lateral entry to technical posts at senior levels.
 - Direct recruitment to Class II services to be discontinued.
 - A simple objective type test to be conducted for the recruitment of clerical staff.
 - Recruitment to Central Government posts in certain sectors to be made from among the State Government employees.
4. Recruitment Agencies: A new procedure for the appointment of members of the UPSC and the State Public Service Commission was suggested. ii. Setting up of Recruitment Boards for selection of clerical staff was recommended
5. Training: a national policy on Civil Service Training to be devised.
6. Promotions: Detailed guidelines for promotion were outlined.
7. Conduct and Discipline: Reforms in disciplinary inquiry proceedings and the setting up of Civil Service Tribunals were suggested.
8. Service Conditions: The Commission also gave recommendations on matters related to overtime allowances, voluntary retirement, exit mechanism, the quantum of pension, government holidays, incentives and awards to be given on timely completion of projects, and establishing work norms for various posts that may be reviewed by the Staff Inspection Unit

18.8 Summary

The main Summary of establishing administrative reforms in India is to encourage government administrative agencies to implement beneficial policies for the public efficiently and bring modifications to society. Administrative Reforms in India are a political process developed to adapt the relationships between powers of the Government and other elements in a society or within the bureaucracy itself. Since Independence, there have been about fifty Commissions and Committees at the Union Government level to look into what can be broadly characterized as administrative reforms.

18.9 Answer to Self-check exercises

To see extent

- a) 18.1,18.5
- b) 18.6,18.7

18.10 Glossary

Administrative Reform: Administrative reform is a political process designed to adjust the relationships between a bureaucracy and other elements in a society, or within the bureaucracy itself. A different use of the phrase has grown out of efforts to assist in the modernisation of new and developing nations.

18.12 Suggested reading

1. Gerald E.Calden, Administrative. Reform, Chicago: Aldine Publishing House, 1969, p.8.
2. Ibid., p.9.
3. John Montgomery. "Source of Bureaucratic Reform: A Topology of Purpose and Politics," in Ralph Braibanti (Ed.). Political and Administrative Development, Durham, Duke University Press, 1969.
4. S.R. Maheshwari, Theories and Concepts in Public Administration, New Delhi, Allied Publishers Limited, 1991, p. 143.
5. S.G.Barve, The Larger Political Context of Administrative Reforms". L.J.P.A. July-September 1966, p.353

18.13 Terminal questions

- What are the major administrative reforms in India
- What are Administrative Reforms in India?

Unit-19

INTERNATIONAL EXPERIENCE AND LESSONS

Structure

19.0. Learning Objectives

19.1. Introduction

19.2 Australia

19.3 The United Kingdom

18.4 France

19.5 Japan

19.6 Lessons Learnt from International Experience Experience

19.7 Summary

19.8 Glossary

19.9 Answer to self-check exercises

19.10 Suggested reading

19.0. Learning Objectives

After going through this lesson, the student will be able to understand

19.1 Introduction

Public Service Reforms in Other Countries

Several fundamental changes have occurred since the mid-1970s in the civil services of most countries across the globe. Governments have sought to reshape rigid, hierarchical nineteenth-century bureaucracies into more flexible, decentralised, citizen-responsive civil services, compatible with late twentieth century technological and economic requirements.¹³ In some of these countries, reforms have been sweeping, representing programmes of radical, systemic transformation. Some other countries have pursued strategies of incremental improvements in specific aspects of the functioning of the civil service while conserving the basic core of their administrative structure. The experience of the countries that is discussed in this Unit forms a continuum of change in this spectrum, with New Zealand, Australia and the UK, at the systemic, reformist end while the Asian cases, Japan and Singapore have taken more incrementalism approaches. This Unit tries to analyse these approaches and extrapolate lessons that may be learnt and adopted as appropriate in the Indian context.

19.2 Australia

Background

Australia experienced, during the 1970s, declining international competitiveness and mounting fiscal deficits that translated into substantial foreign and public debts by the early 1980s. In 1983, the Australian Labour Party (ALP) was elected to power by a slim margin. It introduced wide-ranging reforms seeking to improve the efficiency and effectiveness of the public sector and its accountability to the legislature. The reforms, it is stated, aimed to achieve

1. A strong budgetary position through expenditure restraint and concentration on core business;
2. A devolved financial, employment, and workplace relations framework that allows greater flexibility and places greater responsibility on individual agencies to develop strategies to meet their particular business needs; and
3. A range of incentives to ensure that managers manage for results, by focusing on outputs and developing indicators to measure performance in terms of outcomes for clients.

Public sector reforms in Australia

came through two new Acts. The Financial Management and Accountability Act provided the accountability and accounting framework. Under the new arrangements, the chief executives

of the agencies are given greater flexibility and autonomy in their financial management, they are also required to promote efficient, effective and ethical use of public resources. The other one was the Public Service Act, 1999. The purpose of the Act was that the Australian Public Service (APS) should be enabled to operate efficiently, competitively and in line with best practices in the overseas civil services and the private sector. The Act provided a succinct message about the expectations of a civil service within a democratic system of governance appropriate for the twenty-first century. The Act sought to:

- set up an apolitical civil service which is efficient and effective in serving the government and the Australian public;
- provide a legal framework for the effective and fair employment, management and leadership of APS employees; and
- establish rights and obligations of APS employees.

The main features of the Act are:

- For the first time, the public service law contained a declaration of APS values (fifteen in number) with specific reference to political impartiality, maintenance of the highest ethical standards, accountability for actions and responsibilities to the government of the day.
- A legally enforceable code of conduct setting out the standards of behaviour expected of those working in the public service.
- Specific provisions to affirm the merit principle, prohibiting patronage and favouritism.
- Giving all the rights, duties and powers of an employer to the heads of the agencies, with authority to engage, terminate and determine the employment terms in respect of their APS employees.
- Creating the office of the Merit Protection Commissioner with independent review and inquiry powers.

Administration of the Public Services Act is the responsibility of the Public Service Commissioner whose functions include:

- Developing, promoting, reviewing and evaluating APS employment policies and practices.
- Facilitating continuous improvement in people management throughout the civil service.

- Coordinating and supporting training and career development opportunities throughout the APS.
- Contributing to and fostering leadership in the APS.

The Australian Public Service Values and Accountability

The values make specific reference to the broader accountability obligations of the APS. Section 10 (1) (e) of the Act stipulates that the APS is accountable for its actions within the framework of ministerial accountability to the government, the legislature and the Australian public. The values also underline the requirement of the APS to be responsive to the government-of-the-day in providing frank, honest, comprehensive, accurate and timely advice and in implementing the government's policies. The provisions of the Act recognise that the government and its ministers determine the public interest in terms of policies and programme priorities, and civil servants advise on and implement their decisions within the requirements of the legal framework. The Act also provides for a Management Advisory Committee to advise the government on significant issues relating to management of the APS and to be a forum for considering major management activities within the APS.

The Financial Management and Accountability Act, 1997 provides the accountability framework in which the Chief Executives of the agencies are given greater flexibility and autonomy in their management of the agencies to promote efficient, effective and ethical use of public resources. The responsibility for staffing the civil service has been devolved from the central departments to the agencies that constitute the APS, and the various authorities and government business enterprises operating outside the core public service. The central departments have become advisors and facilitators. Agency heads have all the employment powers including the hire and fire of employees and the setting of remuneration and the terms and conditions of employment. These powers are exercised within the framework of the APS values together with the code of conduct for all APS employees. The values framework along with enhanced accountability for the performance of the agencies balances the devolution of powers.

Meritocracy

One of the core principles of APS employment is recruitment and advancement on the basis of merit. Merit in the Australian context means

- Open advertising to ensure that all eligible applicants in the Australian community have a reasonable opportunity to apply for APS employment
- The selection procedure is transparent and seen to be applied fairly to all applicants
- The assessment process is capable of matching the qualities of the applicant to the qualities genuinely required for the job
- There is no patronage or favouritism and no ministerial interference in individual personnel decisions.

Senior Executive Service

A Senior Executive Service (SES), the leadership cadre of the APS, was created in 1984 to make the civil service at senior levels more open, mobile and competitive, and to achieve a greater degree of management leadership in development and placement of senior staff. The objective of the legislation that created the SES was to reshape the cadre of senior civil servants into a more unified and cohesive group responsible for higher-level policy advice and managerial and professional responsibilities. All SES vacancies are open to applicants from outside the civil service as well as to serving civil servants. Selection arrangements for the SES operate under a stricter framework than those for the non-SES civil servants, the requirement being that each vacancy be advertised in external newspapers and that each SES selection committee includes an agreed representative of the Public Service Commissioner who must report back at the end of the process that the exercise has satisfied all the requirements of the Act. Like all other APS civil service positions, decision on appointment to the SES by the head of the agency are not, by law, subject to directions by the Ministers.

Agency Heads

As stipulated in the Public Service Act, 1999, agency heads include both Secretaries to the Government and the heads of agencies with executive, advisory, research and statutory functions. The Departmental Secretaries are responsible to their minister both for departmental management and for advising the minister on all matters relating to the department. Agency heads are responsible to the minister for administration of the ministries. Since 1994, Secretaries of Departments have been appointed for a fixed term by the Prime Minister for a period up to five years. The Public Service Commissioner advises the PM on the selection of the departmental Secretary. Heads of agencies are selected and appointed for a period up to five years by the minister-in-charge of the agency, after advertising for the

vacancy in the press. In most cases, the Minister consults the PM or the Cabinet before making such appointment.

In 1999, the government introduced performance assessment for departmental Secretaries and agency heads. The PM determines the assessment for each Secretary after receiving advice from the Secretary of his/her own department and the Public Service Commissioner. Assessment of the agency head is made by the minister concerned on advice from the Secretary to the Prime Minister and the Public Service Commissioner, and usually, after consultation with the Secretary of the department concerned. There are no required criteria for assessment, though the areas generally considered are meeting the government's objectives for the agency, policy advice to the minister, management of the agency, leadership and promoting APS values. Secretaries and agency heads are eligible for annual performance bonuses not exceeding 15 per cent of their remuneration on the basis of these assessments.

Performance Management

In recent years, all APS agencies have developed and implemented performance management systems. As a result of the public sector reforms of the 1990s which focused on effectiveness and achieving of organizational objectives, the legislative framework that followed provided the heads of the agencies with opportunities to pursue results and to tailor their approaches for managing performance to suit the needs of their organizations. The legislative framework also required each agency to link improvements in pay and employment conditions to productivity and to report annually to government on achievement of outputs and expenditure against Programme Budgeting Statements under an outcomes and outputs framework.

The legislative framework does not set out how performance management is to be implemented in individual agencies, but each agency is expected to:

- have the organizational capacity, flexibility and responsiveness necessary to achieve the outcomes expected
- have a culture of achievement, planning time and priorities to deliver the intended result
- report on the effectiveness of the outputs of the agencies
- demonstrate that resource priorities match agreed outcomes

- have a fair and open management system that covers all APS employees, guides salary movement, is linked to organisational and business goals and the maintenance of the legislated values, and provides each employee with a clear statement of performance expectations and an opportunity to comment on those expectations.

The current challenges in the Australian Government are seen to be improving the credibility of the process, greater staff involvement, better feedback and recognition strategies and managing under-performance. Many agencies are now focusing on improving their performance management system to integrate it with their business and workforce planning by:

- clarifying performance objectives and linking individual and business plans with organizational plans
- periodic performance appraisal of individual and team performance against achievements and behaviour linked to the values
- recognising and rewarding performance
- counselling and effectively managing poor performance
- learning and development to build individual and organizational capability
- evaluating the contribution of individual and organizational performance

The Australian Government now puts great emphasis on managing under

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Outcomes/Outputs Framework

In April 1997, the Australian government decided to put in place a management framework that would manage for results by developing robust indicators to assess the performance of the government departments in terms of outcomes for clients. In the new framework, the reporting on programmes identifies what has been done and what services have been delivered. Reporting on outcomes identifies what results have been achieved by delivering those services.

The essential purpose of the outcomes/outputs framework is to answer three questions:

- What does the government want to achieve? (these are outcomes)
- How does the government want to reach those achievements? (these are the outputs)
- How does the government know if it is succeeding? (these are the indicators)

Outcomes are the key results the government seeks to achieve, and define for each agency the purpose of their activities. Typically, they are at a higher (more aggregated) level than the schemes and programmes. Outputs are discrete activities or a set of activities, a product or a service, performed by an agency as a part of achieving its outcomes

Agencies are required to specifically cost their outputs against planned outcomes and identify performance indicators and targets. More importantly, budgetary appropriations are made at the outcomes level. Outcomes and supporting outputs form the basis of an agency's operating budget and reporting framework. The outcomes/outputs framework focuses on the outputs that an agency is producing and their contribution to the outcomes set by the government and is aimed at assisting the tracking of results and progress towards targets. The output component of the framework also facilitates tracking and benchmarking of the process and to that extent is an important contributor to improved efficiency.

Gains of the Reforms

It has been stated that the reforms in Australia have improved the information available to civil servants for discharging their accountability and have enhanced the concern with outcomes and effectiveness of programmes than just with financial outputs. Public enterprises in Australia have improved their performance significantly under a regime of autonomy and professional management. After 1980, the annual growth rate has been 3% which is reasonably high considering that Australia falls in the category of high per capita income group of countries that have collectively been growing at about 2.5% per annum.

19.3 The United Kingdom

Prime Minister Harold Wilson constituted a Committee headed by Lord Fulton to examine the structure, recruitment, management, including training of the Home Civil Service. The Committee identified the need for a professional approach to management and better use of staff with appropriate skill and training. The most important recommendation of the Committee was to suggest an accountable system of management. Acting on the recommendations of the Fulton Committee, the Government initiated a number of reform measures in the 1980s and 1990s.

3.3.2 Financial Management Initiative

The Thatcher government's Financial Management Initiative (FMI) launched in 1982 marked the beginning of a coordinated strategy to improve management in government departments. Based on the financial management information generated by the efficiency scrutinies conducted in the late 1970s, the Initiative sought to devolve responsibility for budgets and financial control to the line departments.

Sir Robin Ibbs report,

in his Report of 1986 'Improving Management in Government, recommended three priorities for reforms:

1. The work of each department must be organised in a way that focuses on the job to be done. The systems and the structures must enhance the effective delivery of policies and services.
2. The management of each department must ensure that its staff has the relevant experience and skills needed to do the tasks that are essential to effective government.
3. There must be sustained pressure on and within each department for continuous improvement in the value for money obtained in the delivery of policies and services.

Modernising Government

Three-year 'Public Service Agreements' have been introduced under which departments publicly state the outcomes the citizens can expect from the department's spending, and disclose explicit productivity and performance targets. Greater 'joining up' of the government has been attempted to improve the strategic capability to respond to contingencies at the heart of the government, and the capacity to respond holistically to issues and problems that cannot be tackled satisfactorily by any single department or agency. More specialist skills have been brought into the civil service.

The civil service has been opened up to include people from the private sector and civil society, with encouragement to civil servants to have stints in these sectors. Fast tracking for high potential civil servants has been introduced.

Civil Service Code

Following the recommendations of the Nolan Committee on Standards in Public Life, 1994, the Civil Service Code was drawn up and incorporated into law which came into force on 1st January 1996. It is a clear and concise statement of the responsibilities of civil servants and is part of civil servants' terms and conditions of employment. In addition to restating the integrity and loyalty required of the civil servants, the Code prohibits, deceiving Parliament, public misuse of official position, and unauthorised disclosure of confidential information. The Code provides a right of appeal to the independent Civil Service Commissioners on matters of propriety and conscience, if the problem cannot be resolved within the concerned department.

Delegation of Civil Service Management to Departments

With effect from 1st April 1996, the heads of departments have been given considerable authority to develop terms and conditions of service of their staff. This has allowed them to set conditions of employment to suit their own particular circumstances and thereby achieve better value for money.

Senior Civil Service

A new Senior Civil Service was created on 1st April 1996. It numbers just under 3,000 members and is a group of senior managers and advisers who, while employed and managed by their own departments, have a broader identity as part of a cohesive group at the top of the Service and are covered by a common framework. The framework has a number of important features:

- a central framework of nine overlapping pay grades
- a common job evaluation system
- a personal formal written contract
- a senior common appraisal system.

While filling up the vacancies in the Senior Civil Service, wide and open competition is the norm. In recent years, more than 30 per cent of vacancies at the top three levels of the Service have been openly advertised.

The Centre for Management and Policy Studies has been created for HRD in government. The attempt has been to achieve a shift, through training, from a mindset of an organization-centred service to a citizen-centred service, from preserving the status quo to change and innovation, from procedural orientation to results orientation, and from monopolistic provision of services to competitive provision of government services.

360-degree appraisals have been introduced for evaluating civil servants in a more objective manner. To protect civil servants from undue pressure from bosses, politicians and businessmen, a reporting and redress system has been set up. The complaint must first be addressed to the departmental head, and if it does not elicit the desired response, the complainant can approach independent Civil Service Commissioners. A Delivery and Reform team with seven sub-teams has been set up under the Cabinet Secretary to drive the agenda forward.

Gains of the Reforms

A study of effective governance of several countries indicated a substantial improvement in government effectiveness.²⁰ One discernible gain of the reforms has been the improvement in the quality of public administration. Another gain is the superior economic performance. UK was considered the sick man of Europe in the 1960s and 1970s. Its annual growth rate was 2.3% versus 4% of its main European rivals, France, Germany and Italy. During the 1980s, UK undertook comprehensive reforms at refurbishing its administration. As a result, UK's growth rate was 40% higher than of those countries which did not undertake reforms, and the substantial lead has continued.

19.4 France

The need for civil service reforms began to emerge in the 1970s, when the global economic crisis and the crisis of welfare States affected France. The formation of EU also generated additional pressure. The French Civil Service was said to have been characterized by over-centralization and high cost to government.

Like most civil services in Europe, the French Civil Service is a career based service. As civil servants exercise authority on behalf of the government, their terms and conditions of service are governed by a special legal regime. Like India, the civil service in France is categorized into four categories – Category A, B, C and D. The Civil Services in France are further organized into different corps (more than 1500 in numbers). A civil servant is recruited to a corps and remains in it throughout his/her career. Some corps – the Grand Corps – are most prestigious, and civil servants from these corps are posted in important governmental positions. Mobility is an important feature of the higher civil services in France. They normally remain within their own corps but they get opportunities to work in the State-owned public enterprises and also in the private sector on secondment basis. Civil Servants in France also have a significant representation in political offices. The law permits them to hold political positions while retaining a lien over their original corps.

Recruitment to the higher civil services is strictly on merit through competitive examinations. The candidates take written examinations on a wide range of subjects. The testing procedure lasts for about three months. The oral examination is conducted to test both the personality and the motivation of the candidate. Currently, approximately one candidate out of ten is selected. After recruitment, the civil servants undergo training at the Ecole Nationale d'Administration (ENA). Each year a list of posts available at senior administrative

levels is made available to the ENA and the trainees are free to choose their posting according to their rank. The trainee is under an obligation to serve the Government for a minimum period of ten years. Each year the ENA takes in about hundred to hundred twenty students. Half of these students are recruited directly after at least four years of higher education. The remaining are recruited from the middle echelons of the civil service. A very small portion are also recruited from the private sector. The average age of the students thus ranges between mid-twenties to mid-fifties.

An important feature of the ENA is that they do not have regular faculty employed at the school and the teachers' contracts are renewed yearly after an evaluation by the students and the school. Most of the teachers are civil servants. The duration of the main training programme is twenty-seven months. In the first year, the student undergoes internship at a French Embassy and in a 'prefecture'. This is followed by classroom studies at the ENA in the second year. At the end of the course the students are evaluated and given a ranking in the class. Based on the personal preference of the students and their ranks the students join the French Administration: the Conseil d'Etat (State Council), the Cour des Comptes (Court of Auditors) and the Inspectorates (General Inspectorates for Finance, for Administration, and for Social Affairs); the prefectural, diplomatic, and overseas trade promotion services; civil administrators, counsellors in administrative tribunals and regional courts of auditors, and administrators for the City of Paris.

19.5 Japan

A process of major administrative reforms was set in motion at the instance of Prime Minister Ikeda in November 1961. He established the Provisional Council on Administrative Reforms (FPARC) with the support of almost all political parties. The Council drew up an impressive list of recommendations but only some of them were finally implemented. The Second Provisional Administrative Reforms Commission (SPARC) was set up in March 1981. Acting on the Commission's recommendation, the government set up a Management and Coordination Agency in 1984. The Agency was given the responsibility to oversee a wide range of administrative and managerial reform. The most important contribution of the Commission was in creating a public awareness of the need for a small civil service and periodic reviews of the overall rationale of the civil service by an outside agency. The reform proposals of the SPARC were influenced by the idea that the burden borne by the people

should be minimized by reducing the size of the government and optimizing the efficiency of administration.

Compact Civil Service

Japan is one of the few countries that has managed to avoid the natural tendency towards bureaucratic sprawl and has successfully kept the numbers of the civil service within manageable proportions. Japan has enforced manpower ceilings mandated by law and adjusted recruitment to such ceilings. Administrative reforms have also played a crucial role in limiting the size of the civil service. Japan boasts of one of the lowest-cost governments among the industrialized countries, viewed as a percentage of GNP and it has ensured that national resources are not unduly expended on the public sector but are, in fact, available for utilization in the potentially expandable segments of the private sector.

Meritocratic Recruitment

The Japanese civil service is truly an elite corp that attracts and retains the cream of the Japanese educational system, drawn from the most prestigious universities by a rigorous selection process. The competitive civil service examination is administered each year by the National Personnel Authority to recruit staff for three levels: higher, middle and lower civil services. In the past, almost all the entrants to the top civil service were graduates of the Tokyo university. In recent years, although some have come from a few other universities, the field is still very limited.

Career in the Agencies

Civil servants are chosen by individual ministries and work only within the agency to which they are recruited. In this respect, the Japanese civil servants are specialists in only one area of the government. There is virtually no movement from one agency to another. A Japanese civil servant enters an agency in his/her early twenties and once in that agency, his/her entire governmental career is spent there. The civil servant is given a variety of positions throughout the agency to which he/she is recruited. Transfers are effected once in two years. The system of transfer is so designed as to ensure that a civil servant acquires a broad familiarity with the agency's overall functions by the time he/she ascends to its top echelons. Throughout the entire career of the civil servant, loyalty to the agency is inculcated.

A Clear Path to the Top

Promotion within the civil service takes place on the basis of a combination of seniority and a number of performance indicators that differ across agencies. Since the number of promotional vacancies in Japan is limited by law, competition for promotion tends to be intense. As Chalmers Johnson found, 'Who becomes a bureau chief, a director general or ultimately the administrative vice-minister is a source of intense competition among the classes in a ministry.'²³ Successful civil servants can expect to achieve the position of a Section Chief after approximately 15 years of service, Assistant Bureau Chief after 22-25 years, and Bureau Chief after 25-28 years. The position of Administrative Vice-Minister is achieved after 28-30 years. The system of promotion for civil servants is designed to enhance and reward individual efforts congruent with agency or national goals. Promotions are regular, but the internal merit system ensures that the best jobs go to those who have proved themselves. The career path is well-defined and competitive and those who finally make it to the top, are amply rewarded.

Incentive-based Compensation

Civil servants in Japan are paid salaries that are slightly below those in the private sector. The National Personnel Authority annually surveys thousands of companies to ascertain the salary levels in the private sector. In 1990, a new entrant to the civil service received 168,000 yens per month while the private sector equivalent was only 10 per cent higher. The salaries paid to the civil servants are however not considered commensurate with their worth. Japanese civil servants have to wait for deferred gratification till their retirement. Civil servants retire in their early to mid-fifties. On retirement, reward for a successful civil servant is substantial post-retirement placement with handsome remuneration and perks. The system is called *amakudari* which literally means 'descent from Heaven' and involves a lucrative post-retirement job in a private corporation. This is the deferred gratification for a civil servant for his/her years of faithful and useful service in the government.

Deliberation Councils

The Deliberation Councils in Japan, established by government, provide the fora where civil servants and representatives of the private sector - business, labour, consumers, academia and the press - meet to discuss policy, analyze market trends and exchange views and information. The Councils adopt a consensual mode of discussion. When the Council agrees on a proposal, the Diet approves the proposal almost automatically. The Deliberation Councils in Japan have played a very useful role. They have helped civil servants to gather

information about the world markets, technology trends, and the impact of regulations domestically and abroad, to synthesize the information into an action plan, and to communicate the plan back to the private sector.

Policy Evaluation System

A recent major initiative has been the introduction of a policy evaluation system. Each ministry conducts an evaluation of policies that are newly implemented as well as of those policies and systems that have already been set up. Policy evaluation criteria are necessity, efficiency, effectiveness, equity, and priority, and the use of these criteria is expected to throw up alternatives to existing policies and practices. Some critical questions are asked. Is the policy results-effective? Is there an alternative, better policy? Project evaluation, performance management and programme evaluation techniques are used for the purpose.

Agencification

Another recent adaptation has been the semi-autonomous executive agency idea. The provocation was the finding of a survey that less than 20% of the population rated the government as fair and reflecting the wishes of the people. There was also a massive budgetary deficit with the public debt at 45% of GDP. The government was keen to separate policymaking from implementation, and so, the LDP made 'agencification' an election issue in 1996 to cut costs and make the process of governance more responsive and accountable to the people. Agencification started in 2001. The Japanese agencies are called Independent Administration Institutions (IAIs) and are constituted under an empowering law.

The formation of agencies is subject to the following criteria

- An agency can be formed if the central government did not have to perform the activity
- If privatized, the private sector was not in a position to ensure that public goals would be achieved
- The national economy depended on the implementation of the activity.

Agencies formed were involved in R&D, culture and training, financing, operations, construction and management of assets. By 2004, a large number of agencies had been set up, with 40% of the civil servants working in these agencies.

For each agency, the minister concerned sets a 3-5 year goal. The plan consists of the budget and the targeted improvements in efficiency and quality of services provided. The agency submits the plan for approval within the ambit of the ministerial directive. Within the terms of the plan, IAIs have full discretion to manage resources. In exchange for discretion in operations, they are accountable for results. An evaluation committee in each parent ministry monitors performance every year. The Commission on Evaluation of Policies and Evaluation of IAIs in the Ministry of Public Management examines the evaluation results by the evaluation committees.

Each agency gets an operating grant to pay for any expected deficit, and a subsidy for its capital expenditure. There are no restrictions on how to spend the operating grant so long as the expenditure is for meeting objectives. Unspent balances can be carried forward, and operating surpluses can be retained. The CEO is appointed by the concerned minister and is directly accountable to the minister. The agencies have no governance boards. The CEO appoints senior executives on contract with performance-linked pay. While the civil servant employees of the agencies have life-time employment, the other employees are dealt with as in the private sector. Research on 57 agencies in 2003 revealed that operating autonomy of these bodies had increased, the employees had become more quality conscious, cost-reduction and customer-oriented, and effectiveness had improved.

Gains of the Reforms

On the whole, Japan has followed an interesting strategy for enhancing governance capacity. It has sought to function as Japan Inc., with contributions to governance through its deliberation councils and extensive dialogue on policy issues with stakeholders such as industry, labour, consumers, academia and representatives of the civil society. It has kept at bay political and bureaucratic interference by getting a virtually autonomous agency to make all the recruitment and promotion decisions in the civil service. It has resorted extensively to the executive agency concept to de-link policy formulation from implementation by professional managers. It has kept reasonable parity between government and private sector remuneration so as to continue to attract and retain talent in the civil service.

19.6 Lessons Learnt from International Experience

civil service reforms in these countries has varied considerably, but several key aspects emerge:

Clarity of Purpose and Task

A key structural reform in these countries has been the separation of policy and operational responsibilities. The logic for such separation has been two-fold:

- (a) the separation of policy advice from operational functions would allow those responsible for operational activities to focus on their prime objective i.e. running their operations as efficiently as possible given the policy parameters established by the government, and
- (b) separation of policy-making from implementation as a mechanism would ensure that contestable policy options are generated and government does not get captured by provider interests which influence its policy proposals.

Across the full spectrum of governments that the Commission studied, ministerial departments responsible for policy advice, including the monitoring and evaluation of policy implementation, have been separated from departments, agencies and other entities responsible for delivery of public services, enforcement of regulations and so on. However, in the process of such separation, the basic principles of ministerial responsibility have not been compromised. Ministers in these countries continue to be responsible for the policies they adopt and their implementation. Nonetheless, the responsibilities of the heads of both types of departments, policy and operational, have been clarified in respect of their obligations to the ministers. The experience of these countries demonstrates that it is possible, and also beneficial, to effect the broadest possible though not complete separation of policy and operational responsibilities. There have been variations across different policy sectors in the extent to which the separation can be effected, but it is clear that such a separation has enhanced the quality of policy advice and contributed to greater productivity in operational activities.

Agencification

A key step that these countries have taken in revamping their public administration is setting up of agencies. Agencies have been established to carry out the operational responsibilities of the government within a policy and resources framework set by the government. Total management and financial responsibility has been delegated to the heads of these agencies so that they are able to design structures and processes that match the needs of their

organizations and deliver results as agreed upon. The agency model has led to clarity and focus on specified tasks, a culture of service delivery, greater accountability and openness, contextually appropriate structures and systems compared to the earlier standardized, monolithic systems, innovative thinking and action, development of a brand for the services offered, better risk management and greater tendency to expose problems rather than keeping them hidden.

Delegation and Devolution of Authority

Reforms have brought about a significant reduction in central control and delegation of authority, and in the process, a commendable measure of devolution in the management of government operations, including the management of human resources. Given the restructuring to effect a separation of policy and implementation, the central ministries have divested themselves of most of the control functions they exercised prior to the reforms. Within a framework of legislated requirements and broad policies, the heads of the agencies are now fully responsible for the agency's financial management and performance as well as for the management, information and accounting systems required to achieve the best possible results. With powers directly assigned to the agency heads by legislation, they enjoy total autonomy in recruiting staff and designing personnel systems that suit the particular needs and circumstances of their agencies. Common services are no longer under the control of central ministries, and the departments and agencies are free to obtain services from whatever sources they deem most appropriate and cost-effective. The fact to be noted, however, is that the significant devolution of authority has been effected within a framework that involves clear specification of desired results and effective monitoring of performance.

Accountability

Reforms have enhanced accountability by linking

- (a) the outputs/outcomes framework
 - (b) the separation of policy and operational responsibilities and
 - (c) the delegation and devolution of authority, to mechanisms for securing accountability.
- The outputs/ outcomes framework focuses on the outputs the agencies produce and their contribution to the outcomes set by the government. It tracks results and progress towards

targets. The output component of the framework also facilitates tracking and benchmarking of process and hence, is an important input to improved accountability.

In most of these countries whose experience the Commission studied, the parliamentary appropriation process provides detailed public information on the outcomes sought by the ministers and the outputs they seek to finance in pursuit of these outcomes. Ministerial accountability is strengthened by the extent to which the legislatures and the members of the public are better informed in this regard.

Within the government, the accountability of the civil servants has been strengthened by resorting to explicit contracts governing the relationship between ministers and the departmental heads. The contracts cover both the performance expected of the departmental heads and the policy and/or operational outputs. Greater clarity in responsibilities, and thus accountabilities, has been the result. The heads of the agencies have been given the authority necessary to deliver the results expected of them because these results are clearly specified in advance. Such an accountability regime has given the agency heads sufficient incentive to develop well-functioning organizations, precisely because the performance of the head of the agency is ultimately tied to the performance of his/her subordinates and the effectiveness of departmental management systems and operational procedures.

The Civil Service: Continuity and Change

Changes in Personnel Management Systems

As a result of the reforms, the civil services in these countries, while continuing to have many of the distinguishing features of a conventional civil service, are discernibly different from the civil services of the nineteenth and twentieth centuries. These former features include the meritocratic nature of the civil service as well as its apolitical character within a structure of responsible government and ministerial control of administration. These continuities with the past, however, may be contrasted with the differences. Conventional civil services whose practices derived from Whitehall in the mid-nineteenth century developed on the basis of a career civil service with life-time employment till retirement age subject to satisfactory conduct. The framework of a career service essentially remains in spite of the reforms, but life-time employment has been replaced by contracts and exit, based on non-performance. With the introduction of an agency-based management structure, there is the emergence of a new civil service whose unity is expressed in terms of statutorily prescribed 'values' and

‘codes of conduct’ and where uniformity of employment, pay and conditions of service has been dispensed with. Management powers are now vested in the department or agency, and not in an overarching central administrative authority such as the Personnel Ministry with comprehensive powers over recruitment, establishments, pay and conditions of employment, or discipline including dismissal. Public service commissioners, where they have been continued after the reforms, have largely professional rather than employment or management roles, and are active in training and staff development activities, and articulation and promotion of ethical standards.

Senior Civil Service

Clearly defined senior executive cadres are a visible component of the reforms in most of these countries. Historically, the conventional civil services had common personnel structure from initial recruitment to the top levels. Even at the highest levels of the civil service, the distinctions were limited to methods of appointment (generally by the government) and certain entitlements (for example, class of travel). The conventional civil service system has given way, to the creation of a separately defined senior executive cadre, still mainly drawn from the ranks of the government but with individually negotiated terms of employment.

Recruitment and Career Progression

One of the core principles of the reforms in these countries is that recruitment to the civil service and career advancement should be on the basis of merit. Merit in the framework of reforms has meant:

- Open advertisement for all positions to ensure that all eligible applicants in society apply for the position
- The selection process at each stage is fair, objective and transparent and is seen to be applied fairly to all the applicants
- There is no patronage or favouritism or ministerial involvement in the selection process and in individual staffing decisions
- Ensuring that those appointed have the necessary skills and competencies for the position. It is important to note that merit is the guiding consideration not merely at the initial recruitment stage but also at other stages of career progression. A number of candidates from the open market have been inducted to civil service positions in these countries.

Domain Knowledge, Skills and Competency

Reforms in these countries have recognised that in order to sustain high levels of productivity and to be compatible with the changing structure of government and the changing policy environment, the civil service will increasingly require skilled recruits and structured learning and development strategies for all employees. It is also recognised that the skills needed for coordinated policy work and flexible policy implementation are different from those required of civil servants when they were the sole suppliers of advice to governments and administered service monopolies. In the changed circumstances the civil service requires strong technical skills, especially in contract management, financial and risk management, information technology and communications in view of the community demands and expectations of improved access to governmental services through user-friendly e-government and e-business.

Results-Oriented

Civil Service The implementation of reforms in these countries has seen the emergence of a civil service which is results-oriented. The movement to an output/outcome framework with the new department/agency-based management structure has led to key priorities being identified and forming a part of the performance agreements of the agency heads. These priorities which are output-based, are supposed to be SMART - Specific, Measurable, Achievable, Results Focused and Time-bound. This is a variant of the traditional objective setting in that the terms Relevant or Realistic have been replaced by Results-Focused. As a commentator puts it, "The framework has helped departments understand that, just as in the private sector, survival is dependent upon meeting the needs of the customer. Because their customer is interested in outcomes, the departments, given sufficient competitive pressure, will strive to design and provide better public services to achieve those outcomes."

In addition, the legislated values for the civil service require that the focus is on achieving results and managing performance so that capability and effective performance is mainstreamed in civil service management.

Performance Management

The reform agenda in these countries – focusing as they did on managing for results and devolution - has led to better performance management. As a result, performance management systems have been put in place, strengthening accountability for inputs,

processes, outputs and outcomes.³⁰ Performance management systems have been designed for each decision-maker, section, agency, department, ministry and indeed, the whole government. For each public service, the major components of performance management systems have been the service's aims and mission, strategic objectives, breaking down of the objectives for the components of the organization, the agreed upon targets of individual managers and key result areas, periodic reporting of performance against targets and standards and remedial action. At every level, the specific needs of the customers of the service as well as critical success factors and closing of any capability or other gaps have been kept in mind. In the scheme of reforms, the performance management systems in government are aimed at creating a performance culture, increasing accountability of staff and organizations for using resources efficiently and meeting objectives, empowering citizens to generate pressure for change and transformation through the publication of the performance review results, providing guidance for capacity building and contributing to the overall developmental agenda.

Civil Service Values

The reforms have established a set of principles to guide civil service behaviour in the form of values and a legally enforceable code of conduct. Civil servants are required to behave at all times in a way that upholds the legislated values. The heads of the departments and agencies are required not only to uphold the values themselves but also to promote the values in their organizations to all their employees. They are also required to apply relevant values to outsourced service providers and partners, particularly those providing services to the public. The values are not just inspirational statements, but have been embedded into the systems and procedures of the departments and agencies through fraud control and risk management procedures, appropriate governance systems, performance management and training. As a result of the reforms, the conventional civil services driven by hierarchical command and control have been transformed into unified civil services defined by values.

Flatter Structures

The organisation of government in the past has been characterised by hierarchical and pyramidal structures with a large number of levels - these in fact were the salient features of the Weberian bureaucracy. Such structures generally go with rule bound procedures and red tapism. With increasing complexities of governance and rising aspirations of people such structures have been found to be too rigid to respond quickly. Therefore one of the major

elements of reforms in several countries has been the reorganisation of government into 'flatter structures' which have fewer number of levels and in which people work in teams rather than in rigid hierarchies and the emphasis is on decentralisation, empowerment and accountability of cutting edge functionaries.

Involving Citizens

An explicit agenda of the reforms in most of these countries has been to systematically involve the citizens and stakeholders in the planning processes of policy development and policy implementation. This is in recognition of the differing values and perspectives of the members of the community and the increasing expectations of the members of the public and stakeholders to influence the services they receive and the policies that affect them. The reforms have made it possible for the civil servants to use a range of techniques including deliberation councils, focus groups, consultative committees, client surveys and standard-citizen charters to involve citizens and stakeholders. Such involvement has resulted in better policy and service delivery and better information about community perspectives. Good policy-making is now seen as listening to community views, understanding the fears and sensitivities of those affected, providing feedback and explaining government policy. The reforms have demonstrated that the effectiveness of a programme or policy initiative is greatly influenced by the quality of the communication strategy.

19.7 Summary

Several fundamental changes have occurred since the mid-1970s in the civil services of most countries across the globe. Governments have sought to reshape rigid, hierarchical nineteenth-century bureaucracies into more flexible, decentralised, citizen-responsive civil services, compatible with late twentieth century technological and economic requirements. In some of these countries, reforms have been sweeping, representing programmes of radical, systemic transformation. Some other countries have pursued strategies of incremental improvements in specific aspects of the functioning of the civil service while conserving the basic core of their administrative structure. The experience of the countries that is discussed in this Unit forms a continuum of change in this spectrum, with New Zealand, Australia and the UK, at the systemic, reformist end while the Asian cases, Japan and have taken more incrementalist approaches. This Unit tries to analyse these approaches and extrapolate lessons that may be learnt and adopted as appropriate in the Indian context.

19.8 Glossary

Performance management appraisal is a systematic and periodic process of measuring an individual's work performance against the established requirement of the job.

19.9 Answer to self-check exercises

To see extent

- a) 19.1,19.4
- b) 19.5,19.6

19.10 Suggested reading

1. Maheshwari S.R. "Civil Service in Great Britain", Concept Publishing Company, 1976.
2. Goel S.L. "Personnel Administration and Management", Deep and Deep publication, New Delhi, 2002.
3. Palekar S.A. "Public Personnel administration", ABD Publisher, New Delhi 2020.
4. Kumar kar Sushant" public personnel Administration", Kunal Books Publisher, 2018.
5. Procter W. Arthur "Principles of Public Personnel Administration" Forgotten Books Publication, 2022.

Unit -20 PERFORMANCE

MANAGEMENT SYSTEM

20.0. Learning Objectives

20.1. Introduction

20.2 Prevailing Performance Appraisal Systems for Civil Servants

20.3 System in India

20.4 Analysis of the Present Performance Appraisal System for Civil Servants

20.5 Making the Existing Personnel Performance Appraisal System Effective

20.6 Objectives and Aspects of PMS

20.7 Introducing a Performance Management System

20.8 The Process of Implementation

20.9 Performance Agreements

20.10 Performance Agreements

20.11 Summary

20.12 Glossary

20.13 Answer to self-check exercises

20.14 Suggested reading

20.0. Learning Objectives

After going through this lesson, the student will be able to understand

20.1 Introduction

Present System of Performance Management in Government

Traditionally governance structures in India are characterized by rule-based approaches. The focus of the civil services in India is on process-regulation: compliance with centrally prescribed standards and rules; in other words, how things should be done and how inputs should be aligned. With such focus on processes, systems in government are oriented towards input usage- how much resources, staff and facilities are deployed in a scheme, programme or project and whether such deployment is in accordance with rules and regulations. The main

performance measure thus is the amount of money spent and the success of the schemes, programmes and projects is generally evaluated in terms of the inputs consumed.

While such an approach satisfies the considerations of economy of inputs and compliance with process regulation, it fails to indicate what are the results achieved by the activities of government in general and deployment of public funds in particular. In fact, the focus on input for accountability and control has led to a situation in which civil servants are rarely held accountable for the outcomes. Compliance with rules is not sufficient for achieving outcomes. Obviously, the objective must be to shift the focus away from traditional concerns such as expenditure and activity levels towards a framework that would manage for results by developing robust indicators to assess performance in terms of results.

Performance management as it exists in government includes conventional tools like the budgetary exercise, annual reports published by the Ministries/Departments, performance budgets and the recently introduced outcome budget. Ministries and departments of government have varying practices of periodically reviewing their organizational performance. In addition, special studies are also commissioned from time to time. These are the basic requirements of a performance management system and much more is required to be done. Some earlier initiatives are described in the following paragraphs

performance Budgeting

To achieve results, Government of India introduced a scheme of performance budgeting from the financial year 1975-76. Under this scheme, along with the detailed demand for grants, a performance budget document is presented to the Parliament. The performance budget is intended to present a meaningful relationship between inputs and outputs, and indicate the correlation between planned programmes and their performance in financial and physical terms. Broadly, the performance budget has four parts, indicating:

- Broad objectives, programmes and projects, the organizations and agencies with the responsibility to implement them, the highlights of performance during the previous financial year, progress during the current year, and the programme for the next year.
- Linkages between the Five Year plans, the achievements to date, and the tasks ahead.
- Financial statements showing the outlays required for the programmes, projects or activities and the provisions in the current and next financial year.

- Details of the scope, plan of action, achievements, programmes, and performance during the current year and future programmes, along with outlays in respect of each activity in the various broad programmes of the department.

Although the scheme of performance budgeting was introduced several years ago yet it has not achieved its objective. While looking at the functioning of performance budgeting in the departments, Thimmaiah found that factors such as bureaucratic resistance, corruption among civil servants and legislative indifference contributed to the failure of the scheme. Thimmaiah also found that performance budgets were prepared in the spirit of routine documentation. It has been observed that the performance budget documents are descriptive and often lack a thorough analysis of the performance of the department concerned.

Zero-based Budgeting

In the mid-1980s, the scheme of zero-based budgeting was introduced in government departments. The objective of the scheme was to:

- involve civil servants at all levels in the budgetary process
- justify the resource requirements for existing activities as well as new activities
- focus justification on the evaluation of discrete programmes or activities of each unit of administration
- establish objectives against which accomplishments could be identified and measured, and assess alternative methods of accomplishing objectives
- analyze the probable effects of different budgetary provisions or performance levels on the achievement of objectives
- provide a credible rationale for reallocating resources, especially from old activities to new activities

The scheme has not yielded the desired results. It has now been, more or less, abandoned in spite of occasional efforts by the Ministry of Finance and the Planning Commission to revive it.

Outcome Budgeting

More recently, Government has introduced the system of outcome budgeting. This is a positive step in incorporating a sense of results-orientation in governance structures by

moving from outlays to outputs and outcomes. These are early stages of implementation and only after sufficient experience has been gained, can the success of this initiative be gauged.

20.2 Prevailing Performance Appraisal Systems for Civil Servants

As performance of an organization/agency is dependent on the performance of individual civil servants, over a period, an elaborate mechanism to evaluate the performance of individual government servants has evolved. These individual performance appraisal systems can be categorized as follows:

a. Conventional closed system of ACR (Annual Confidential Report)

This is the traditional system, where at the end of a pre-set period (usually a calendar year), achievements of the officer are recorded and graded, absolutely or relatively. The significant feature of this method is the complete secrecy of the exercise, both in process and results, unless the rules specifically mention otherwise. Adverse remarks are communicated to the officer reported upon.

b. Performance Appraisal with openness

This system is an improvement of the above, with the added feature of transparency and involvement of the officer at different levels. It involves setting goals at the start of the assessment period, reviews during the period and final assessment against achievement of goals. Finally, performance excellence is decided by a number (grades of 1-10) to be assigned by the reporting officer.

20.3 System in India

The performance of every Government servant is assessed annually through his/ her Confidential Report, which is an important document providing the basic and vital inputs for assessing the performance of the Government servant and his/her suitability for his/her further advancement in his/her career on occasions like confirmation, promotion, crossing of EB, selection for deputation, selection for foreign assignment etc. Performance appraisal through confidential reports is a tool for human resource development in order to enable a Government servant to realize his/her true potential. It is not a fault finding process, but a development one.

The Reporting Officer, at the beginning of the year, has to set quantitative/ physical targets in consultation with each of the Government servants, whose reports he/ she is required to write.

Performance appraisal is meant to be a joint exercise between the Government servant reported upon and the Reporting Officer. While fixing the targets, priority should be assigned item-wise, taking into consideration the nature and the area of work. The Confidential Report is initiated by the Government servant to be reported upon, who gives a brief description of his/her duties, specifies the targets set for him wherever applicable, achievements against each target, shortfalls, if any, constraints encountered and areas where the achievements have been greater.

In accordance with the recommendations of the Committee constituted under the Chairmanship of Lt Gen. (Retd.) Surinder Nath in 2002, the Performance Appraisal System for All India Service Officers has been modified and the salient features include setting of goals in consultation with the appraised officer, a numerical grading system (scale of 1 to 10), introduction of a pen picture of the appraisee, sharing the entire PAR with the appraisee officer, etc.

Performance Appraisal System in the Armed Forces

Performance appraisal systems in the Armed Forces are more elaborate and rigorous because they are the main criteria for the very limited promotions that are made to higher positions in these Services. For example, in the Army, only 3% of officers make it to the grade of Brigadier and above. The highlights of their system are as follows:-

- a. Officers are evaluated on a scale of 1:10 on different attributes. This evaluation is done separately by the reporting officer and the next two higher levels.
- b. For the purpose of promotions, the Army generally follows two types of systems – the ‘closed’ system and the ‘open’ system. In the ‘closed’ system, the Promotion Board is not privy to the names of the officers concerned for promotion. Also, officers of the same rank are permitted to attend the deliberations of the promotion board as “observers” though they cannot participate in it. In the ‘open’ system (for ranks of Major General and above); the identity of the officers being considered is also known to the Promotion Board.
- c. There is a system of rating the reporting officers wherein the reporting officers are classified as ‘liberal’, ‘strict’ and ‘rating tendency not known’.
- d. The prescribed trainings and examinations have to be cleared by the officers before they are considered fit for promotion.

e. The entire performance appraisal record of the officer is compiled in the form of a matrix with the numerical points assigned to each attribute and other details of appointment and achievements, the type of rating given, details of reporting officers battle honors etc.

f. Promotions in the Army are limited to the number of vacancies available making use of the three-year moving average of vacancies likely to be available.

g. In case an officer is not promoted for the first time, his case is reviewed two more times and thereafter, if he is still not considered fit for promotion and ultimately after obtaining the benefit of time scale, he retires at the relevant prescribed age - 52 years in the case of a Colonel, 54 years for a Brigadier etc.

20.4 Analysis of the Present Performance Appraisal System for Civil Servants

The prevalent closed system for appraisal of civil servants in India (other than the All India Services) has major limitations.

These include:

a. It lacks in quantification of targets and evaluation against achievement of targets.

b. Confusion still prevails among civil servants regarding what is good performance and the level of performance expected from them, by their department, superiors, and the public. The system is affected by unclear performance standards, possible bias on the part of superiors, political influence, etc.

c. The existing performance appraisal does not solve the problem of poor performance.

d. Performance appraisal becomes meaningless in certain cases where the job fit is ignored while posting an officer, and where there are frequent transfers. At the same time, perceived clash between an individual's career goals and organizational goals further compounds the situation.

e. The format may be good but sometimes the way it is filled up shows lack of due care and seriousness. This could also be because of the large span of supervision of most Government officers, which mandates them to write the ACRs of so many officers, some of whom they may not even personally recognise.

f. Since the present system shares only an adverse grading, a civil servant remains unaware about how he/she is rated in his/her work.

g. Many reporting officers pay little attention to distinguish good and average workers while grading them. Consequently, most Government officials end up getting very good/outstanding grading which is considered “good for promotion” and hence there is no motivation for real performers.

h. The system of deciding on representations against an adverse entry sometimes take so long that reporting officers avoid giving an adverse entry.

Many a time, for want of evidence against the reported civil servant, the reporting officer is in a defensive position and thus unable to justify his/her adverse remarks

The new Performance Appraisal System for the All India Services has tried to overcome some of these shortcomings by including a “participative workplan through a consultative and transparent process. However, the new system also has certain limitations:

a. The new format does not recognize the difference in performance parameters applicable for civil servants working in completely different departments/ agencies.

b. The new format also does not do away with the element of subjectivity when it comes to assigning numerical ratings/grades to different attributes of the Government servants.

c. It still emphasizes the performance appraisal report as the key element. The term Report is an improvement over Ratings, but does not recognize adequately the development and improvement dimensions, though the objective is closer now.

d. It does not adequately assess the potential of an officer to hold higher responsibilities.

e. It emphasizes career development, but does not link it sufficiently with performance improvements. It underplays the need for performance improvements as a career growth intervention.

f. There are too many levels for ratings and the accepting authority is often far removed from the officer reported upon.

g. There is presently no training for orienting the users in the system of the new format. As a result, it could become a routine form filling exercise rather than a performance appraisal one.

20.5 Making the Existing Personnel Performance Appraisal System Effective

Making Appraisal More Consultative and Transparent

In the present format for performance appraisal of civil servants (other than for the All India Services), it has been stipulated that the reporting officer, at the beginning of the year, has to set quantitative/physical targets in consultation with each of the Government servants whose report he/she is required to write. In spite of this, it has been observed that in practice no such effective consultation takes place at the beginning of the year for fixing the targets. The recently amended AIS Performance Appraisal Rules provide for a more structured consultation process.

The Commission is of the view that such a two-way consultative process leads to the fixing of more realistic targets which would have greater acceptability. This would also help in improving the performance of the officers and equally of the organization in which they work. The Commission is therefore of the view that the new PAR format prescribed for the All India Services should also be introduced for other Central Services/organizations.

As the term Annual Confidential Report indicates, the appraisal reports for civil servants (other than the AIS) are not disclosed to the officer reported upon – except for adverse remarks. This reduces its effectiveness as a tool for performance management. The newly introduced AIS Performance Appraisal Rules have provided for a transparent approach regarding the annual performance appraisal reports and it has been stipulated that the full annual performance appraisal report, including the overall grade and assessment of integrity, shall be disclosed to the officer reported upon. The Commission is of the view that similar provisions for promoting transparency also need to be introduced in respect of all Services/organizations.

Performance Appraisal Formats to be Job Specific

Based on the guidelines/instructions issued by the Department of Personnel and Training different Services/organizations have evolved formats for performance appraisal of their officers/officials. The same formats are used in respect of members of different Services irrespective of whether these officials are working in their parent departments or on deputation to outside departments/agencies. As a result, members of different Services working in the same Ministry may be appraised using different formats which is quite irrational. The Commission is of the view that the appraisal formats of civil servants need to be more specifically linked to the tasks assigned to them and to the goals of the Department/Organization in which the officer is working. To meet this objective, the Commission feels that the appraisal format prescribed for civil servants should have three sections i.e.

- (i) a generic section that meets the requirements of a particular Service to which the officer belongs.
- (ii) another section based on the goals and requirements of the department in which he is working, and
- (iii) a final section which captures the specific requirements and targets relating to the post that the officer is holding.

Performance Appraisal to be Year Round

At present, the annual performance exercise is performed in a routine manner after the end of the financial year. As already mentioned, no effective consultations regarding setting targets for the civil servant concerned takes place under the present system even though guidelines call for such consultations. No detailed work plans or mid-year review of the performance of the civil servants being appraised have been prescribed. The revised All India Services (PAR) Rules rectify this situation by providing for an agreed work plan for the year to be decided in consultation between the officer and his/her reporting officer which has to be reviewed again in September/October and revised if required by 31st October. By incorporating provisions for a detailed work plan and a mid-year review, the new rules have helped to ensure effective and continuing consultations for target setting. The Commission is of the view that similar provisions should also be introduced for other Services.

Formulating Guidelines for Assigning Numerical Rating.

The conventional system prescribed in the annual confidential reports for civil servants followed a grading system that placed or rated officers in categories ranging from ‘average’, ‘good’ and ‘very good’ to ‘outstanding’. The new PAR format for All India Service Officers replaces this with an improved rating system wherein officers are assigned a numerical grade from 0 to 10 for different parameters. While this is an improvement on the old system, the numerical gradings secured by the officers still depend on the subjective evaluation made by the reporting and reviewing officers. It is quite possible that officers of similar competence and performance may be assigned different numerical grades depending on the disposition – liberal or otherwise – of the reporting/reviewing officer. The Commission is of the view that the Department of Personnel and Training should formulate detailed guidelines to guide the reporting and reviewing officer for assigning numerical ratings for their subordinates. It would also be necessary to incorporate training modules on this aspect in the training

programmes for civil servants. This should be supplemented by preparing a computerized data base wherein the details of the officers reported upon as well as the reporting and reviewing officers are captured for further analysis. This would enable the department to take a view subsequently on how numerical ratings can be moderated taking into account individual disposition.

Degree Evaluation

During the past few decades, the 360 degree feedback, also known as “multi-source feedback” has gained momentum in performance management literature. Its application today transcends national boundaries. 360 degree feedback augments the traditional practice of self-supervising performance appraisal by getting feedbacks from multipurpose sources which include: -

- Self
- Superiors
- Peers
- Subordinates
- Internal Customers
- External Customers
- Others

Many countries are using or contemplating to use the 360 degree feedback in the civil services. Some of these countries are the UK, EU and Australia. The key driver to introduce this performance feedback process into the UK Civil Service was Sir Richard Wilson’s Report on Civil Service Reforms which specifically suggested the introduction of a 360 degree feedback for senior civil servants by the end of 2001. The underpinning assumption for good leadership is self-awareness and that “if done well, it is a very powerful tool of management and a very good way of helping people improve their own performance” (Wilson, cited in Moore, 2000p.15). In the context of India where strong hierarchical structures exist and for historical and social reasons it may not be possible to introduce this system unless concerns of integrity and transparency are addressed. However, it is suggested that Government may consider sensitizing officers at all levels about the importance of this feedback mechanism and its possible use in understanding their behaviour and their ability to relate to others.

Performance Management

The evolution of the concept of performance management as a new Human Resource Management model reflects a change of emphasis in organizations away from command-and-control towards a facilitation model of leadership. This change has been accompanied by recognition of the importance to the employee and the institution of relating work performance to the strategic or long-term and overarching mission of the organization as a whole. Employees' goals and objectives are derived from their departments, which in turn support the mission and goals of the organization. This search for results-orientation in several governments across the globe started with the approach to entrepreneurial government taken by Osborne and Gaebler in their influential book *Reinventing Government*.

Later, Osborne and Plastrik set out their principles of entrepreneurial Government in their book *Banishing Bureaucracy*. One of these principles is Results Oriented Government: Funding Outcomes, Not Inputs.

Performance Management is the essence of managing, and the primary “vehicle” for getting the desired results through employees at all levels in the organization. The performance management process provides an opportunity for the employee and performance manager to discuss development goals and jointly create a plan for achieving those goals. Development plans should contribute to organizational goals and the professional growth of the employee. In the absence of such a system, staff members are unclear as to the employer's expectations regarding performance objectives and standards/targets, leading to low productivity, costly mistakes, stress, de-motivation, and conflict. Sound Performance Management Systems subscribe to the crucial Principle: “What gets measured gets done”. The days of having a “one-set-of-measures-fits-all” Performance Management System are inherently flawed and long gone. Performance objectives and measures need to be specific to job categories and individual roles.

Performance management is the systematic process by which the organization involves its employees, as individuals and members of a group, in improving organizational effectiveness in the accomplishment of organizational mission and goals. Performance management is a holistic process bringing together many activities which collectively contribute to the effective management of individuals and teams in order to achieve high levels of organizational performance. Performance management is strategic in that it is about broader issues and long term goals and integrated as it links various aspects of the business, people

management, individuals and teams. To strengthen both, individual effectiveness and organizational effectiveness, it is essential that individuals are suitably empowered, however authority and accountability should be commensurate with each other. Such checks and balances would improve the effectiveness of the performance management system.

Performance Appraisal vs. Performance Management

Often the distinction between performance management and performance appraisal is not clearly understood. Performance appraisal is one component of the Performance management cycle and is the process of assessing an employee's performance in the current position. Thus 'Appraisal' is an annual affair while performance 'management' is a year round activity. Appraisal focuses on ratings while 'management' focuses on the work, the stakeholders, service levels, productivity, motivation effort and all such performance related variables.

20.6 Objectives and Aspects of PMS

The main objective of performance management is continuous improvements in performance with a view to attaining organizational goals. The performance improvements need to be seen in terms of achievement of the objectives and goals of the organization. The PMS process has two clear objectives:

a. The Evaluation Objective

- Evaluating & assessing the readiness of an individual to accept higher responsibilities
- To apprise the individuals of their current competency level and need to improve by giving them feedback
- To link it with compensation, rewards and career development.

b. The Development Objective

- Counselling & coaching of the subordinates to improve their performance & upgrade their competencies
- To motivate subordinates through recognition and support
- To build rapport between superior and subordinate
- To diagnose individual & organizational competencies, so that actions can be taken on problem areas

- To define the training requirements based on individual competencies.

Organizational Benefits of PMS

The PMS process helps organizations to:

- serve as the primary vehicle for implementing organisational goals and strategies (cascaded from top to bottom throughout the organisation).
- Align and integrate the objectives and Key Performance Indicators (KPI's) of the organization vertically and horizontally through all job categories and levels, including management. In this way the entire system works together in pointing towards the critical bottom line MEASURES, with bottom line RESULTS following as a matter of course ("What gets measured gets done").
- facilitate continuous performance improvement, organisation development and culture change.
- achieve quality, efficiency and effectiveness, i.e. to meet the citizens' needs as precisely, quickly and economically as possible.
- ensure clarity regarding work expectations and performance standards, reducing job holder anxiety/stress, resource wastage and conflict.
- continually enhance employee competence through identification of output-related training and development needs and strategies.
- reduce Line Manager reluctance and fear to do Performance Appraisals with their staff .
- facilitate performance-based remuneration and rewards, so that employees can see and experience a clear link between their performance and the rewards they receive.

Pre-requisites for Implementing an Effective Performance Management System

- a. Strong commitment from top management.
- b. High level of participation of all concerned.
- c. Clear definitions of what constitutes performance in a given role. This emanates from the objectives of the department and the organization. This should also reflect the linkages of role with others.

d. Identification of performance parameters and definition of Key Performance Indicators (KPIs). What comprises the performance has to be communicated to the individual, so that he/she has an idea about what the superior's expectations are.

e. Consistency of application.

f. Adequate organizational training to be provided to the individual to achieve superior performance.

g. Strong commitment to regular recognition of good performance.

h. Rewards and recognition should be built into the system and need not be linked with appraisals alone.

Processes of PMS

Performance management is a cyclical process which includes the following elements:

- Planning work & setting expectations
- Monitoring performance
- Developing the capacity to perform
- Rating performance
- Rewarding good performance

Planning Work & Setting Expectations

Effective organizations are proactive. Planning means setting performance expectations and goals for groups and individuals, to channel their efforts towards achieving organizational objectives. Involvement of the employees in the planning process will help them understand the goals of the organization, what needs to be done, why it needs to be done, and how well it should be done. Above all, their acceptance towards the goals is also high. The planning process will result in an informal/formal agreement between the employee and his/her superior and covers the objectives to be achieved, the resources provided to the employee to achieve them as well as the autonomy and flexibility available to him.

To plan the performance of the individual, the measurable, understandable, verifiable, equitable, and achievable elements and the standards of the performance appraisals are to be set beforehand.

Monitoring Performance

In an effective organization, assignments and projects are monitored continuously. Good monitoring implies consistently measuring performance and providing ongoing feedback to employees and work groups on their progress toward reaching their goals. In most countries that have undertaken reforms, considerable emphasis has been placed on performance measurement and monitoring whose two main elements are - the use of KPIs to track performance and relate outlays to output to outcomes. The outlay-output-outcome framework also serves as a significant accountability mechanism.

Monitoring performance includes contrasting and comparing the standards that were set and the targets achieved. Ongoing monitoring also provides the opportunity to check how well employees are meeting predetermined standards and to make changes to unrealistic or problematic standards. Monitoring continuously helps to identify unacceptable performance in the appraisal period itself and can be checked there and then, instead of waiting for the year to end.

Developing the Capacity to Perform

In order to develop the organization, there is need to assess and address the developmental needs of the employee. Developing in this instance means increasing the capacity to perform through training, giving assignments that introduce new skills or higher levels of responsibility, improving work processes, or other methods. It motivates them for good performance, strengthens job-related skills and competencies, and helps employees keep up with changes in the workplace, such as the introduction of new technology

Rating Performance

In order to identify the best employees, organizations do a comparative analysis of the performance of the employees.

The rating here means evaluating the performance against the performance standards. It is based on work performed during an entire appraisal period. The rating of record has a bearing on various other personnel actions, such as granting within-grade pay increases, weightage for career progression and other incentives. Performance appraisal must factor the following considerations:

- a. Performance has been defined prior to the appraisal period.

- b. Standards & elements of performance are set and clarified to the employee, prior to the appraisal period.
- c. The opportunity to improve, must be given to the individual, before categorizing his/her performance.
- d. The circumstances including resource and other constraints also need to be taken into account while appraising performance.
- e. The employer has the right to demand performance and ensure accountabilities.

Rewarding Good Performance

Organizations seeking good performance from their employees, use rewards as a means to it. Rewarding means recognizing employees, individually and as members of groups, for their performance and acknowledging their contributions to the agency's mission. A basic principle of effective management is that all behaviour is controlled by its consequences. Good performance is recognized without waiting for nominations for formal awards to be solicited. Recognition is an ongoing, natural part of day-to-day experience. A great deal of the actions that reward good performance – like saying “Thank you” and congratulations on good work do not have any monetary implications. More formal rewards can take the shape of cash incentives, time off and formal recognition.

20.7 Introducing a Performance Management System

In implementing PMS in government, it must be emphasized that the PMS has to be designed within the overall strategic framework appropriate to the particular Ministry/Department/Organization. It is also necessary to link individual contributions to strategic objectives of the organization. It will therefore be necessary for each ministry/department/organization to customize its PMS relevant to them while incorporating the general features described below:

- a. The strategic intent:** The strategic intent of an organization should cascade into strategic and operational objectives at the departmental level.
- b. Individual assessment:** This is a process of self-evaluation and structured discussion aimed at personal, professional and individual development. This process is not intended to be merely judgemental but one that is also developmental. It is intended that the process will provide a regular open and systematic discussion of how an individual may enhance his role.

The process should be seen as providing a means by which individual contributions are recognized, feedback on individual performances is given, assistance provided to staff in developing their potential and overcoming problems in agreed ways. It is intended that priority will be given to clearly relate strategic goals as there could be resource limitations. Part of the role of the Reviewer - usually the individual staff member's immediate supervisor is to assist the individual staff member (the person reviewed) in assessing his/her own performance and development regularly and fairly. The role also extends to assisting the person being reviewed in setting objectives and the extent to which the objectives are achieved. Where objectives are not achieved, this can be discussed between the reviewer and the person reviewed in a constructive manner, with a view to identifying the reasons why the objectives were not met and how the situation could be remedied.

c. Development of the individual - effect at departmental and organizational levels: One of the main purposes of the PMS is to provide a systematic means not only of reviewing past performance, but also considering future developments. At the departmental level the system can help identify, agree on and plan staff development activity that in turn can lead to improved departmental planning and performance. It can also facilitate a better understanding of how all staff members contribute to a department's activities. Such an engagement can also facilitate improved communication between staff members. All staff members, regardless of grade or category, have the ability to develop their potential in their area of work. The organization/department is central to enabling the staff to find ways of developing that potential in line with the organisation's strategic plan. The PMS provides a mechanism for clarifying what is expected in the particular job. It can also help bring about an improved understanding of departmental/organizational objectives and priorities, and how individuals' work and responsibilities relate to these. There will always be strengths and weaknesses at all levels. The process allows these to be identified and the means of overcoming these can be devised.

d. Enhancing quality: The development of staff and the delivery of superior quality outcomes is the joint responsibility of individual staff, supervisors and the organisation as a whole. The process enables all to agree relevant goals which are clearly linked to strategic plans and objectives of the organisation as a whole. In so far as individual officers are concerned the process will help them to identify their contribution and how it can be improved.

e. Process reviews: These should normally be conducted at least twice a year for all staff. Procedures for all should be similar in their core content but may vary as necessary to account for different responsibilities and management structures. A one-to-one discussion and feedback between the reviewer and the person reviewed should be the normal form of review.

f. Self - monitoring: Whereas the formal review meeting will take place once in a review period, it is important that the person reviewed monitor his/her own progress in achieving objectives on a regular basis throughout the review period. In addition, if the person reviewed feels there are issues or constraints which are preventing her/him from achieving their objectives, they can raise these with the Reviewer or, if necessary the Department Head. Early intervention will assist in the achievement of objectives and a subsequent satisfactory review.

To ensure the on-going value and quality of the PMS, it needs to be reviewed on a regular basis, in consultation with staff interests, to ensure that it remains relevant to both the Government departments, and to civil servants.

20.8 The Process of Implementation

The process of implementing a performance management system comprises three critical stages:

- a. Preparation
- b. The review discussion
- c. Follow up

Stage-1: Preparation

A great deal of ground work is required for performance management. It is imperative for the Reviewer to give adequate notice to the person reviewed, prior to the review discussion. This being a sensitive issue should be handled carefully. It should be taken care that there is no unnecessary delay on this matter.

It is required to make the officer being reviewed understand that the review is a platform where associates can give and take feedback. If the person being reviewed is adequately prepared it would ensure a focused and incisive review.

The Reviewer should also be prepared for undertaking a performance management exercise. He/she needs to go back to the goals set out for the person being reviewed, in the previous year and see what was promised. Results over the year should be assigned, by talking to the associate's circle of influence, comprising his/her boss, peers and juniors. 1

Stage 2: The Review Discussion

The review discussion can be further divided into three stages:

- Review
- Explore
- Agree

Review involves discussion on performance in the previous year. This is the evaluation of the targets achieved or not achieved, the reasons for the outcomes, the factors that were under control or were out of the control of the employee for the desired results etc.

Exploring is an integral part of the goal setting process. Here the ideas should not be imposed on the person being reviewed, instead he/she should be made comfortable for his/her flow of idea and the goal setting.

Stage 3: Follow up

It is necessary to ensure that performance management is a continuous activity and not a once in a year activity. It includes informal review discussions on a periodical basis, encouragement when due and guidance when necessary. It does not envisage castigating an officer or being overtly critical. The idea is to let the officer focus on his/her agreed goals and be given the freedom to work but with the stipulation that he/she alone will be accountable for the results/outcome.

20.9 Performance Agreements

Performance agreement is the most common accountability mechanism in most countries that have reformed their public administration systems. This has been done in many forms - from explicit contracts to less formal negotiated agreements to more generally applicable principles. At the core of such agreements are the objectives to be achieved, the resources provided to achieve them, the accountability and control measures, and the autonomy and flexibilities that the civil servants will be given.

In New Zealand, for example, the Public Finance Act of 1989 provided for a performance agreement to be signed between the chief executive and the concerned minister every year. The performance agreement describes the key result areas that require the personal attention of the chief executive. The expected results are expressed in verifiable terms, and include output-related tasks. The chief executive's performance is assessed every year with reference to the performance agreement. The system provides for bonuses to be earned for good performance and removal for poor performance. The assessment is done by a third party - the State Services Commission. Due consideration is given to the views of the departmental Minister. A written performance appraisal is prepared. The chief executive concerned is given an opportunity to comment, and his/her comments form part of the appraisal.

The Centres de Responsibilités in France is another example. Since 1990, many State services at both central and devolved levels have been established as Responsibility Centres in France. A contract with their Ministry gives the Directors greater management flexibility in operational matters in exchange for a commitment to achieve agreed objectives. It also stipulates a method for evaluating results. Contracts, negotiated case by case, are for three years.

Reforms in these countries are instructive in the way accountabilities were clarified as a necessary first step. The important part of this clarifying process was that it was done by law. As a result of legal clarification of accountabilities, the civil servant in charge of a department became directly accountable to the departmental Minister through the annual performance agreement that was defined in advance and used as a benchmark for measuring end-of-the-period performance. In India, a provision in the proposed Public Services Law could be incorporated specifying that the heads of the line departments or of the executive agencies whenever they are set up, should sign annual performance agreements with the departmental Minister.

The performance agreements should be signed between the departmental Minister and the Secretary of the Ministry as also between the departmental Minister and heads of Department, well before the financial year. The annual performance agreement should provide physical and verifiable details of the work to be done by the Secretary/Head of the Department during the financial year. The performance of the Secretary/Head of the Department should be assessed by a third party – say, the Central Public Services Authority with reference to the annual performance agreement. The details of the annual performance

agreements and the results of the assessment by the third party should be provided to the legislature as a part of the Performance Budget/Outcome Budget.

20.10 Summary

A good employee performance appraisal system is a pre-requisite for an effective performance management system. The existing performance appraisal system should be strengthened on the following lines: Performance appraisal formats to be made job specific - the appraisal format prescribed for civil servants should have three sections i.e. a generic section that meets the requirements of a particular service to which the officer belongs,

20.11 Glossary

Making appraisal more consultative and transparent - performance appraisal systems for all Services should be modified on the lines of the recently introduced PAR for the All India Services

Government should expand the scope of the present performance appraisal system of its employees to a comprehensive performance management system (PMS).

20.12 Answer to self-check exercises

To see extent

- 20.1,20.5
- 20.6,20.9

20.13 Suggested reading

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