
UNIT 11 CENTRAL AND STATE TRAINING INSTITUTES

Structure

- 11.0 Objectives
- 11.1 Introduction
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- 11.3 Types of Training
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11.0 OBJECTIVES

After studying this unit, you should be able to:

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

11.1 INTRODUCTION

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

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

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

11.2 ROLES OF TRAINING

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

Training as a Basic Input for Performance

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

Training as an Aid to Attitudinal Change

Training enables entrants in the government service to become familiar with the specific objectives of their work in the organisation. It also makes them feel that they have a certain contribution to make towards the society through their work.

Therefore training generates in them an awareness of the role and importance of their work. Training also enables a person to develop the right attitude towards time and cost and thereby a sense of urgency in the disposal of work. It is again very helpful in developing the right work ethic and concern for the citizens and enables a person to appreciate a systems approach towards the work and thereby motivates him/her to cooperate with others in the performance of work.

Training as an Aid to Increased Productivity

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

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

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

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

11.3 TYPES OF TRAINING

Each training institution is unique, as it confines itself to the specific problems and

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

11.3.1 Foundational Training

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

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

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

11.3.2 On-Entry Training

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

Orientation

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

Induction

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

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

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

On-the Job-Training

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

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

11.3.3 In-service Training

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

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

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

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

Refresher Courses

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

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

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

Re-training

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

Management Training

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

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

Check Your Progress 1

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

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

1) Comment upon the different roles of training.

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2) Discuss the significance of foundational training.

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3) Explain the objectives of in-service training.

11.4 CENTRAL TRAINING INSTITUTES

In India, training for public services has been a long established practice with some training institutes, which had been in existence, during pre-independence days, at the time of East India Company. Though there were institutions like College at Fort Williams in Calcutta (1800-1806), East India College (1809-1857) popularly known as Haileybury College, which were providing some sort of post-entry training to their higher civil servants, it was only after independence that training became a focal point of concern of the government. The need for training was felt to improve the quality of civil servants, and therefore it became an integral part of the personal policies of the government. Almost all the reports on administrative reforms from Gorwala report on Public Administration (1951) to reports of Administrative Reforms Commission (ARC) (1966-72) and those in the post ARC period have emphasised the need for a systematic and coherent training and career development of public services.

The Administrative Reforms Commission was of the view that training is an investment in human resources, it is an important means of improving the human potential and increasing the efficiency of personnel. Training, the Commission felt was necessary immediately on induction to the service and after some years of experience a person must receive training to suit the specific needs of one's particular field. It laid considerable stress on mid-career management training and also recommended training for middle as well as senior management.

As a result of these attempts a number of training institutions have been set up at the Central and State levels to impart training in administration and management techniques with a view to cater to the generalised and specific needs of personnel of public services.

The Lal Bahadur Shastri National Academy of Administration, the premier Central Training Institute, trains IAS personnel after entry as well as, later, in their mid-career, through refresher courses, besides conducting on-entry foundational training for probationers of different non-technical group A Services. With the explosion in the number of trainees, Academy cannot cater to the total training needs of all, hence various training programmes have now been assigned to different Institutes, where not only IAS officers, but even others are sent. These are referred to as Central Training Institutions and National Training Institutions. These include institutions set up by the government to cater to the training needs of All India and Central Services like:

- i) Sardar Patel National Police Academy, Hyderabad
- ii) Forest Research Institute, Dehradun
- iii) Academy of Direct Taxes, Nagpur
- iv) Railway Staff College, Vadodara
- v) Postal Staff College, New Delhi
- vi) Indian Audit & Accounts Staff College, Shimla
- vii) Customs & Central Excise Training College, New Delhi

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

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

11.5 STATE TRAINING INSTITUTES

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

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

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

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

11.6 FUNCTIONS OF STATE TRAINING INSTITUTES

The STI normally performs the following specific functions;

- Provides training to officers of the All India Services allotted to the state with a view to acquainting them with the socio-economic, cultural and historical background of the state and the administrative system of the state government relevant to their functions and to sensitise them to problems peculiar to the state.
- Conducts courses for officers of the All India Services and the state services which are sponsored by the various concerned ministries of the Government of India.
- Organises foundation courses for officers of the state civil services with a view to foster a spirit of camaraderie in them and to orient them to common basic values of the administrative system of the state.
- Organises induction courses for directly recruited officers of the State Administrative Services and such other services which do not have induction training facilities in their concerned departments. Training is imparted, at times, in specific areas like general management, financial management, office management, computer application etc., in cases where the departments concerned do not have adequate infrastructure to impart training in the above areas.
- Conducts refresher and in-service training courses for officers of the state government in specific areas of interest.
- Organises programmes for training of trainers of the departments and other training institutions in the state.
- Ensures that appropriate and adequate training is imparted to officials of all the departments at all stages and at suitable intervals at departmental and other training institutions and coordinate all such activities in the state.

As discussed earlier there are about twenty one State Training Institutes in our country and it is necessary to bring about some degree of uniformity in their structure and activities. This can be done, by identifying the STI as the professional training institution for the State Administrative Service, adopting the pattern of training as imparted by National Academy of Administration (for IAS), for the State Administrative Service and also making the STI responsible for conducting a common foundational course for direct entrants to class II civil services to be followed by an inductional training programme.

11.7 MAKING STATE TRAINING INSTITUTION A NODAL AGENCY FOR TRAINING IN THE STATE

The State Training Institution as the Apex or nodal state level institution has a very important role to play in the training of personnel in the State. The main role of this Institution is to not only organise induction, refresher, in-service training programme for the main services of the state, but also to assess the training needs of officers at different levels of all the departments/organisations at the state, and provide necessary training programmes. It has to draw up master plans for training of all the civil servants in the state. If the STI has to discharge its nodal role effectively, it has to assume the responsibility of evaluating training activities from time to time with a view to upgrading the standards of training.

The state training institute if it has to develop as a centre of excellence in training has to develop linkages with relevant national level institutions in the country, horizontal linkage vertical with other STI's functioning at the same level in other states so as to strengthen each other and provide a Co operation effect in the field of training. Also, the training activity should be decentralised, with the setting up of

recruited at the district levels. For instance, the Himachal Pradesh Institute of Public Administration has ten branches at its districts. Similarly the Institute of Management in Government, (Kerala) has two centres at Cochin and Calicut.

Another important aspect is the training of trainers of the Institute, as the quality of trainers determines the impact of the training programmes. The trainers need to be exposed to field research work where they are confronted with real life problems faced by the trainees encouraged to develop case studies for discussion during training programmes. They are also made aware of developments in training technologies on a continuous basis. Replacing the lecture system by more sophisticated systems like syndicates, role play, case study methods etc. becomes an absolute necessity. Also if the STI has to discharge its nodal role effectively, it has to assume the responsibility evaluating the training activities from time to time with a view to upgrading the standards of training.

The general approach to training and crucial role that the STI has to play in the overall context of training in the state, should be unexceptionable with necessary modifications to take into account the special circumstances and conditions in a particular state.

11.8 CONCLUSION

The number of training institutes, both at the centre and the states, is indeed very large. There has been a phenomenal growth in the types of training programmes as well as the categories of participants. A noteworthy feature of this is that the significance of training in generating new knowledge, skills and attitudinal changes is being realised. But one is tempted to infer, judging from the explosion of training programmes that, there has been significant changes in the efficiency and effectiveness of the governmental machinery, in achieving its goals, but unfortunately such a correlation cannot be positively established. The mushrooming of central and state training institutes is not commensurate with the output in terms of performance. There is always a long gestation period for judging the efficacy of training. It is a slow but steady process. For this the faculty, material, infrastructural facilities and latest techniques have to be harnessed and their quality improved. The objectives of training have to be defined, training needs have to be assessed, the existing infrastructure has to be utilised and further strengthened to meet future needs and the roles and functions of different training institutions have to be coordinated. A system needs to be evolved to absorb new training techniques and innovations and to share variety of experiences in training with other national and international institutions.

Check Your Progress 2

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

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

- 1) Discuss the functions of State Training Institutes.

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- 2) What measures can be taken to enhance the role of State Training Institute as a nodal agency for training in the state.

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11.9 LET US SUM UP

Training has a very significant role to play as a basic input for performance. It acts as an aid to attitudinal changes and increases productivity. It is an important tool in the implementation of development plans. This unit has discussed the evolution of Central and State Training Institutes in our country. After independence, training became a focal point of concern of government and a part of personnel policies of the government. We also have read about the different types of training imparted to the personnel which includes foundational training, on-entry and in-service training. This unit has highlighted the functions of the State Training Institutes and has also discussed the steps to be taken to enhance the role of State Training Institute as a nodal agency for training in the state.

11.10 KEY WORDS

Camaraderie: Friendly fellowship

Comradeship: Companionship

Case Study Method: It is a technique of training which utilises actual or created problems as cases for trainees, who are expected to discuss, analyse the case and arrive at a course of action.

Gestation Period: The effect of training can be judged over a long period of time as it involves measuring the effect on various counts such as the adoption of tools and techniques whether quantitative or behavioural; all this can be seen only over a long period of time.

Learning by Objectives: Training imparted to the employees in the organisation, keeping in view the objectives of the organisation, its system and climate. It gives validity to whatever is learnt by the employees and also reinforces the application of new learning on the job.

Management Development: It refers to all learning experiences provided by an organisation to its employees for the purpose of providing and upgrading skills and knowledge required in current and future managerial positions.

Management in Government Programme: It is a training programme meant for officers of both central and state governments with 5-10 years of service in Group A or at least 8 years of service in Group B. This programme is aimed at acquainting them with theories and practices of management, its tools and techniques and upgrade their management skills. It orients them in general management, office management, financial management, project planning etc.

Organisational Development: It is a planned effort which involves systematic diagnosis of the organisation, the development of a strategic plan for its improvement and mobilisation efforts to carry out the programme or the plan.

Organisational Effectiveness: It refers to achievement of organisational goals, which contribute to overall objectives of the organisation through optimum utilisation of resources.

Role Play: It is a technique of training in which some problem, real or imaginary which involves human interaction is presented and then roles are assigned to the trainees which are enacted in the classroom. The central idea of role play is that the trainee understands the situation from a perspective different from his own like for example a manager attending a training programme and enacting the role of a trade union leader.

Rule of Thumb: A rule suggested on the basis of rough calculation by practical rather than scientific knowledge.

Systems approach to work: Developing in the employees a perspective of how the organisation has to be seen as one total system. Though organisation may consist of several parts, each part is dependent upon the other. Whatever decisions, problem-solving methods are to be adopted, the organisation as a whole has to be kept in view.

Syndicate Method: This method basically consists of dividing the trainees into a number of groups or syndicates to work on different subjects. These syndicates discuss the issues involved in the assigned subject and present a paper. This is learning through participation.

Trail and Error Method: It is that form of experimentation or problem solving in which a variety of methods or theories are tried and discarded before arriving at one which produces the desired result or correct answer to the problems.

11.11 SOME USEFUL BOOKS

Chaturvedi, T.N. (Ed) 1989. *Training in Public Administration: The changing Perspective*, IIPA: New Delhi.

Maheshwari, S.R. 1989. *Indian Administration* (4th edition), Orient Longman: New Delhi.

Mathur, Hari Mohan (Ed) 1982. *Issues in In-Service Training*, IIPA: New Delhi.

Mathur, Hari Mohan. 1980. *Training of Civil Servants in India in Training in Civil Services—India, Malaysia, Pakistan and Phillippines* Ed. by Amarakasataya and Henrich Siedentopf; Asian and Pacific Development Administration Centre: Kualalumpur.

Saxena, A.P. (Ed) 1985. *Training in Government-objectives and opportunities*, IIPA: New Delhi.

11.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Role of training as
 - a basic input for performance
 - an aid to attitudinal change
 - an aid to increased productivity
 - an important tool in the implementation of development plans.
- 2) Your answer should include the following points:
 - The foundational training is significant in that it provides exposure to the recruits regarding fundamentals of the country's socio-economic realities, political environment, ideology of the government and system of interrelationships between different organs, agencies of the government, between citizens and administration etc.
 - It helps in developing 'Camaraderie' and civil service comradeship.
 - It is considered on campus training where the civil servants undergo training under the same atmosphere, which gives them an idea of common living, understanding and functioning together.
 - It helps in generation of skill, promotion of competence and improvement of efficiency of job performance.
- 3) Your answer should include the following points:
 - In-service training contributes towards inducting in the employees fresh knowledge, newer skills, better attitudinal and behavioural patterns.
 - Develops coherent thinking, problem solving ability which enhances their performance levels.
 - Observations of the Conference on issues in in-service training organised in 1981, by the Training Division of Department of Personnel.

Check Your Progress 2

- 1) See section 11.6
- 2) Your answer should include the following points:
 - Developing appropriate linkages with relevant national level training institutions and also with other state level institutions.

- Training activities of the State Training Institutes to be decentralised with setting up of regional and district training centres.
- Training of trainers.
- Incorporating new techniques of training like case study method, syndicates, role play etc.
- Evaluation of its training activities from time to time to upgrade its standards of training.

UNIT 12 ADMINISTRATIVE TRIBUNALS

Structure

- 12.0 Objectives
- 12.1 Introduction
- 12.2 Administrative Tribunals — Evolution
- 12.3 Structure of the Tribunals
- 12.4 Composition of the Tribunals
- 12.5 Jurisdiction, Powers and Authority
- 12.6 Procedure for Application to the Tribunals
- 12.7 Advantages and Limitations of the Tribunals
- 12.8 Conclusion
- 12.9 Let Us Sum Up
- 12.10 Key Words
- 12.11 Some Useful Books
- 12.12 Answers To Check Your Progress Exercises

12.0 OBJECTIVES

After studying this unit you should be able to:

- discuss the evolution of the Administrative Tribunals
- explain the structure and composition of the Administrative Tribunals
- describe the jurisdiction, powers and authority of the Administrative Tribunals; and
- state the procedure for application to the Tribunals.

12.1 INTRODUCTION

The objective of a Democratic Socialist Republic has obviously to be the welfare of the people in terms of economic, social and political development, level of the living and quality of life. India's Independence in 1947, marked a significant transition from exploitation, domination and discrimination to emancipation, national reconstruction and development. People, and their enrichment, in all its many splendoured aspects became the focus of the state. It had begun the gigantic task of nation building on a systematic basis through Five Year Plans and social progress within the frame work of a national-cultural consensus.

Simultaneously with the basic transformation in the philosophy of the state, the goals of the government and the courses of action for the administration also underwent a drastic change. The old law and order and revenue collecting administration became "development administration", to reflect the programmatic metamorphosis. To translate the developmental goals into reality the development administration has to depend upon bureaucracy. Administration cannot rise beyond the level of its personnel and hence, contented and motivated public personnel are essential to put into action the preferred developmental goals.

The personnel employed in government organisations become part of the government. But as individual employees, they may have certain grievances, complaints regarding their service matters against the government. All their problems, conflicts, grievances etc. need to be looked into expeditiously and with justice, objectivity and fairplay. Hence an appropriate institutional structure in the form of Administrative Tribunals was set up in our country entrusted with the responsibility of adjudication of service disputes of public service personnel.

In this unit, we will study about the evolution of the Administrative Tribunals with special reference to Central Administrative Tribunal, State and Joint Administrative

Tribunals, their jurisdiction, powers and authority. The composition of the Tribunal and its functioning will also be dealt with. The unit will also discuss the advantages and limitations of the Tribunals.

12.2 ADMINISTRATIVE TRIBUNALS — EVOLUTION

The growth of Administrative Tribunals both in developed and developing countries has been a significant phenomenon of the twentieth century. In India also, innumerable Tribunals have been set up from time to time both at the centre and the states, covering various areas of activities like trade, industry, banking, taxation etc. The question of establishment of Administrative Tribunals to provide speedy and inexpensive relief to the government employees relating to grievances on recruitment and other conditions of service had been under the consideration of Government of India for a long time. Due to their heavy preoccupation, long pending and backlog of cases, costs involved and time factors, Judicial Courts could not offer the much needed remedy to the government servants, in their disputes with the government. The dissatisfaction among the employees, irrespective of the class, category or group to which they belong, is the direct result of delay in their long pending cases or cases not attended to properly. Hence, a need arose to set up an institution, which would, help in dispensing prompt relief to harassed employees who perceive a sense of injustice and lack of fairplay in dealing with their service grievances. This would motivate the employees better and raise their morale which in turn would increase their productivity.

The Administrative Reforms Commission (1966-70) recommended the setting up of Civil Service Tribunals to function as the final appellate authority, in respect of government orders inflicting major penalties of dismissal, removal from service and reduction in rank. As early as 1969, a Committee under the chairmanship of J.C. Shah had recommended that having regard to the very large number of pending writ petitions of the employees in regard to the service matters, an independent Tribunal should be set up to exclusively deal with the service matters.

The Supreme Court in 1980, while disposing of a batch of writ petitions observed that the public servants ought not to be driven to or forced to dissipate their time and energy in the court-room battles. The Civil Service Tribunals should be constituted which should be the final arbiter in resolving the controversies relating to conditions of service. The government also suggested that public servants might approach fact-finding Administrative Tribunals in the first instance in the interest of successful administration.

The matter came up for discussion in other forums also and a consensus emerged that setting up of Civil Service Tribunals would be desirable and necessary, in public interest, to adjudicate the complaints and grievances of the government employees. The Constitution of India was amended to enable the setting up of Civil Service Tribunals (through 42nd amendment Article 323-A).

This Act empowered the Parliament to provide for adjudication or trial by Administrative Tribunals of disputes and complaints with respect to recruitment and conditions of service of persons appointed to public service and posts in connection with the affairs of the union or of any state or local or other authority within the territory of India or under the control of the government or of any corporation owned or controlled by the government.

In pursuance of the provisions of Article 323-A of the Constitution, the Administrative Tribunals Bill was introduced in Lok Sabha on 29th January, 1985 and received the assent of the President of India on 27th February, 1985.

12.3 STRUCTURE OF THE TRIBUNALS

The Administrative Tribunals Act 1985 provides for the establishment of one Central Administrative Tribunal and a State Administrative Tribunal for each state like

Haryana Administrative Tribunal etc; and a Joint Administrative Tribunal for two or more states. The Central Administrative Tribunal with its principal bench at Delhi and other benches at Allahabad, Bombay, Calcutta and Madras was established on 1st November, 1985. The Act vested the Central Administrative Tribunal with jurisdiction, powers and authority of the adjudication of disputes and complaints with respect to recruitment and service matters pertaining to the members of the all India Services and also any other civil service of the Union or holding a civil post under the Union or a post connected with defence or in the defence services being a post filled by a civilian. Six more benches of the Tribunal were set up by June, 1986 at Ahmedabad, Hyderabad, Jodhpur, Patna, Cuttack and Jabalpur. The fifteenth bench was set up in 1988 at Ernakulam.

The Act provides for setting up of State Administrative Tribunals to decide the service cases of state government employees. There is a provision for setting up of Joint Administrative Tribunal for two or more states. On receipt of specific requests from the Governments of Orissa, Himachal Pradesh, Karnataka, Madhya Pradesh and Tamil Nadu, Administrative Tribunals have been set up, to look into the service matters of concerned state government employees. A Joint Tribunal is also to be set up for the state of Arunachal Pradesh to function jointly with Guwahati bench of the Central Administrative Tribunal.

12.4 COMPOSITION OF THE TRIBUNALS

Each Tribunal shall consist of a Chairman, such number of Vice-Chairmen and judicial and administrative members as the appropriate Government (either the Central Government or any particular State Government singly or jointly) may deem fit (vide Sec. 5.(1) Act No. 13 of 1985). A bench shall consist of one judicial member and one administrative member. The bench at New Delhi was designated the Principal Bench of the Central Administrative Tribunal and for the State Administrative Tribunals. The places where their principal and other benches would sit is specified by the State Governments by notification (vide Section 5(7) and 5(8) of the Act).

Qualification for Appointment

In order to be appointed as Chairman or Vice-Chairman, one has to be qualified to be (is or has been) a judge of a High Court or has held the post of a Secretary to the Government of India for at least two years or an equivalent-pay-post either under the Central or State Government (vide Sec. 6(i) and (ii) Act No.13 of 1985).

To be a judicial member, one has to be qualified to be (is or has been) a judge of a High Court or has been a member of the Indian legal service and has held a post in Grade I of that service for atleast three years.

To be qualified for appointment as an administrative member, one should have held at least for two years the post of Additional Secretary to the Government of India or an equivalent pay-post under Central or State Government or has held for at least three years a post of Joint Secretary to the Govt. of India or equivalent post under Central or State Government and must possess adequate administrative experience.

Appointments

The Chairman, Vice-Chairman and every other member of Central Administrative Tribunal shall be appointed by the President and, in the case of State or Joint Administrative Tribunal(s) by the President after consultation with the Governor(s) of the concerned State(s), (vide Section 6(4), (5) and (6), Act No. 13 of 1985).

But no appointment can be made of a Chairman, Vice-Chairman or a judicial member except after consultation with the Chief Justice of India.

If there is a vacancy in the office of the Chairman by reason of his resignation, death or otherwise, or when he is unable to discharge his duties/functions owing to absence, illness or by any other cause, the Vice-Chairman shall act and discharge the functions of the Chairman, until the Chairman enters upon his office or resumes his duties.

Terms of Office

The Chairman, Vice-Chairman or other member shall hold office for a term of five years from the date on which he enters upon his office or until he attains the age of

- a) sixty five, in the case of Chairman or Vice-Chairman,
- b) sixty two, in the case of any other member, whichever is earlier.

Resignation or Removal

The Chairman, Vice-Chairman or any other member of the Administrative Tribunal may, by notice in writing under his hand addressed to the President, resign, his office; but will continue to hold office until the expiry of three months from the date of receipt of notice or expiry of his terms of office or the date of joining by his successor, whichever is the earliest.

They cannot be removed from office except by an order made by the President on the ground of proven misbehaviour or incapacity after an inquiry has been made by a judge of the Supreme Court; and after giving them a reasonable opportunity of being heard in respect of those charges (vide Sec. 9(2), Act No. 13 of 1985).

Eligibility for Further Employment

The Chairman of the Central Administrative Tribunal shall be ineligible for further employment under either Central or State government, but Vice-Chairman of the Central Tribunal will be eligible to be the Chairman of that or any other State Tribunal or Vice-Chairman of any State or Joint Tribunal(s).

The Chairman of a State or Joint Tribunal(s) will, however, be eligible for appointment as Chairman or Vice-Chairman or any other member of the Central Tribunal or Chairman of any other State or Joint Tribunals. The Vice-Chairman of the State or Joint Tribunal can be the Chairman of the State Tribunal or Chairman, Vice-Chairman of the Central Tribunal or any other State or Joint Tribunal. A member of any Tribunal, shall be eligible for appointment as the Chairman or Vice-Chairman of such Tribunal or Chairman, Vice-Chairman or other member of any other Tribunal.

Other than the appointments mentioned above the Vice-Chairman or member of a Central or State Tribunal, and also the Chairman of a State Tribunal, cannot be made eligible for any other employment either under the Government of India or under the Government of a State.

The Chairman, Vice-Chairman or other member shall not appear, act or plead before any Tribunal of which he was the Chairman/Vice-Chairman/member (vide Section 11(f), Act No. 13 of 1985).

The Chairman shall exercise (or delegate to Vice-Chairman or any other officer of the Tribunal) such financial and administrative powers over the benches, as are vested in him.

Salaries and allowances and other terms and conditions of service, including all retirement benefits in respect of Chairman, Vice-Chairman and members of the Tribunal will be such as prescribed by the Central Government and cannot be varied to their disadvantage, after appointment.

Check Your Progress 1

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

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

- 1) Comment on the need for setting up of Administrative Tribunals.

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2) What are the different types of Administrative Tribunals?

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3) What are the qualifications for appointment of Chairman, Vice-Chairman and members of Tribunals?

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12.5 JURISDICTION, POWERS AND AUTHORITY

Chapter III of the Administrative Tribunal Act deals with the jurisdiction, powers and authority of the tribunals. Section 14(1) of the Act vests the Central Administrative Tribunal to exercise all the jurisdiction, powers and authority exercisable by all the courts except the Supreme Court of India under Article 136 of the Constitution. This relates to matters of recruitment, other service matters in respect of officers belonging to all India Services or of members of Civil Services of the Union or those holding civil posts under the Union or Defence Service. No court in the country, except the Supreme Court is entitled to exercise any jurisdiction or authority in matters of service disputes. The same authority has been vested in the State and Joint Administrative Tribunal.

One of the main features of the Indian Constitution is judicial review. There is a hierarchy of courts for the enforcement of legal and constitutional rights. One can appeal against the decision of one court to another, like from District Court to the High Court and then finally to the Supreme Court. But there is no such hierarchy of Administrative Tribunals and regarding adjudication of service matters, one would have a remedy only before one of the tribunals. This is in contrast to the French system of administrative courts, where there is a hierarchy of administrative courts and one can appeal from one administrative court to another. But in India, with regard to decisions of the Tribunals, one cannot appeal to an Appellate Tribunal. Though Supreme Court under Article 136, has jurisdiction over the decisions of the Tribunals, as a matter of right, no person can appeal to the Supreme Court. It is discretionary with the Supreme Court to grant or not to grant special leave to appeal.

The Administrative Tribunals have the authority to issue writs. In disposing of the cases, the Tribunal observes the canons, principles and norms of 'natural justice'. The Act provides that "a Tribunal shall not be bound by the procedure laid down in the Code of Civil Procedure 1908, but shall be guided by the principles of natural justicethe Tribunal shall have power to regulate its own procedure including the fixing of the place and times of its enquiry and deciding whether to sit in public or private".

A Tribunal has the same jurisdiction, powers and authority, as those exercised by the High Court, in respect of "Contempt of itself" that is, punish for contempt, and for the purpose, the provisions of the contempt of Courts Act 1971 have been made applicable. This helps the Tribunals in ensuring that they are taken seriously and their orders are not ignored.

12.6 PROCEDURE FOR APPLICATION TO THE TRIBUNALS

Chapter IV of the Administrative Tribunals Act prescribes the procedure for application to the Tribunal. A person aggrieved by any order pertaining to any matter within the jurisdiction of the Tribunal may make an application to it for redressal of grievance. Such applications should be in the prescribed form and have to be accompanied by relevant documents and evidence and by such fee as may be prescribed by the Central Government but not exceeding one hundred rupees for filing the application. The Tribunal shall not ordinarily admit an application unless it is satisfied that the applicant has availed of all the remedies available to him under the relevant service rules. This includes the making of any administrative appeal or representation. Since consideration of such appeals and representations involve delay, the applicant can make an application before the Tribunal, if a period of six months has expired after the representation was made and no order has been made. But an application to the Tribunal has to be made within one year from the date of final order of rejection of the application or appeal or where no final order of rejection has been made, within one year from the date of expiry of six months period. The Tribunal, may, however admit any application even after one year, if the applicant can satisfy the Tribunal that he/she had sufficient cause for not making the application within the normal stipulated time.

Every application is decided by the Tribunal on examination of documents, written representation and at times depending on the case, on hearing of oral arguments. The applicant may either appear in person or through a legal practitioner who will present the case before the Tribunal. The orders of the Tribunal are binding on both the parties and should be complied within the time prescribed in the order or within six months of the receipt of the order where no time-limit has been indicated in the order. The parties can approach the Supreme Court against the orders of the Tribunal by way of appeal under Article 136 of the Constitution.

The Administrative Tribunals are not bound by the procedure laid down in the code of Civil Procedure 1908. They are guided by the principles of natural justice. Since these principles are flexible, adjustable according to the situation, they help the Tribunals in moulding their procedure keeping in view the circumstances of a situation.

12.7 ADVANTAGES AND LIMITATIONS OF THE TRIBUNALS

Administrative Justice through Administrative Tribunals, serves more adequately the varied and complex needs of modern society than any other method. It has also proved useful and effective. There are certain definite advantages of the Tribunals which are:

Appropriate and effective justice: The Administrative Tribunals are not only the most appropriate means of administrative justice, but also effective means of providing fair justice to individuals. Now the public service employees feel assured that in cases of denial of justice and fairplay to them, the Tribunals restore to them the benefits that rightfully belonged to them.

Flexibility: There is considerable amount of flexibility and adaptability in the functioning of Tribunals. Principles of natural justice play an important role in the operation of Tribunals. They are not bound by rigid rules of procedure or previous decisions or rule of law. The rules of natural justice are adaptable to the situation. While court justice tends to be highly technical, Tribunals are free from technicalities of law.

Less Expensive: Justice by Administrative Tribunals is inexpensive in terms of costs involved. This is in contrast to the long and cumbersome procedures involved in judicial courts and huge costs incurred in engaging lawyers, court fees and other

incidental expenses. Hence, the Tribunals have now become popular judicial forums which provide easy accessibility to the government employees, who are encouraged to move the Tribunal even in minor service matters.

Relief to Courts: The Administrative Tribunals have provided great relief to the judicial courts which are preoccupied with so many petitions relating to Civil, Criminal and Constitutional matters.

Despite these advantages there are certain limitations in the functioning of tribunals. These include:

- i) The Administrative Tribunals, do not rely on uniform precedents and hence, this might lead to arbitrary and inconsistent decisions.
- ii) There is no hierarchy of Administrative Tribunals and this has completely excluded the scope of judicial review on service matters.
- iii) The Tribunal consists of administrative members and technical heads who may not possess any background of law or judicial work.
- iv) The Administrative Tribunals as discussed earlier have the power to issue writs, which till now was exercised only by the Supreme Court and High Courts under the Constitution.
There is no clear cut provision regarding the sharing of authority of issuing of writs, between the Courts and Tribunals.
- v) One more inadequacy noticeable in the present Administrative Tribunals is from structural-functional angle. This is the absence of an appellate forum within the Tribunal which causes considerable inconvenience. For example, if a bench of the Tribunal gives a judgement, it has got applicability all over the country as there is only one Central Administrative Tribunal for whole of India and the various benches located in different parts of the country are parts of the same Tribunal. If there was such an appellate mechanism within the Tribunal system, wherein appeals can be filed against any unsatisfactory judgment, it would have been a desirable form of obtaining justice both for the government employees as well as the government.

Check Your Progress 2

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

- 1) Discuss the procedure for making an application to initiate the matter before the Administrative Tribunal for redressal of grievance.

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- 2) Comment on the limitations of Tribunals.

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- 3) No court in the country, except the is entitled to exercise any jurisdiction or authority in matters of service disputes.

12.8 CONCLUSION

The number of Administrative Tribunals is constantly on the increase. This system has proved useful and effective. It not only provides relief to the ordinary courts but also ensures speedy and inexpensive justice for the public functionaries in cases involving their service matters. Administrative Tribunals claim a number of advantages which the ordinary courts of law do not possess e.g. low costs involved in fighting the case, accessibility, freedom from technicality, greater flexibility, expeditious disposal of the case and expert knowledge in specific field.

Despite these advantages there are two important factors which are posing problems in their effective functioning. Firstly, usually they are not manned by trained and experienced persons from judicial field, which is important to provide an adequate review of administrative action; and secondly, it is said that the officials working in the Tribunals generally do not have the impartial outlook and detachment which judicial officers would have.

Thus, it is essential to have judicial umbrella over the Tribunals to help in maintaining the 'quality of justice'. Therefore, there is a need for introducing more and more judicial elements in the Administrative Tribunals. Simultaneously, the law courts too should have sympathy and clear understanding of the administrative element to eliminate the unpleasant features.

12.9 LET US SUM UP

In this unit, you have read about the evolution of Administrative Tribunals, the objective of which is adjudication of disputes relating to service matters of public service personnel. It has given you an idea about the different types of tribunals, their structure, composition, jurisdiction, powers and authority. It has also highlighted the procedure for application to the Tribunals and also the advantages and limitations in their functioning.

12.10 KEY WORDS

Administrative Adjudication: Refers to a case in which an administrative agency in implementing legislative policy, determines issues or cases involving legal rights or obligations of private parties or agencies and is required to act judicially under a statute.

Administrative Tribunals: There are special bodies established by legislature to adjudicate upon certain disputes arising from administrative decisions or to determine specific issues; in a judicial spirit.

Bench/Bar: Traditionally the bench symbolically represents the judges and the bar, similarly represents the lawyers or the advocates.

Dissipate: Waste

Judicial Review: The Supreme Court of India has been vested with power of judicial review, which means, it can review the laws passed by the legislature and orders issued by the executive to determine their constitutionality.

Metamorphosis: Showing or relating to change of form, to develop into another form.

Principles of Natural Justice: The objective of these principles is to provide fair, impartial and reasonable justice. These principles include:

- i) No person should be a judge in his/her own cause
- ii) No decision should be given against a party without affording them a reasonable hearing.

- iii) Quasi-judicial enquiries should be held in good faith and without bias and not arbitrarily or unreasonably. To give every citizen a fair hearing is as much a canon of good administration as it is of a good legal procedure.

Rule of Law: Rule of law propounded by Lord Dicey, means that no person is above the law of the land and that every person, whatever be his/her rank or status, is subject to ordinary law and amenable to the jurisdiction of the ordinary Tribunals. Every citizen is under the same responsibility for every act done by him/her without lawful justification and in this respect there is no distinction between officials and private citizens.

Writ: It is a legal document that orders a particular person to do or not to do a particular thing.

12.11 SOME USEFUL BOOKS

Basu D.D. 1986. *Administrative Law* (2nd ed), Prentice Hall of India: New Delhi.

Gupta, Balram K., July-September 1985. *Administrative Tribunals and Administrative Justice (A review of the Administrative Tribunals Act, 1985)* *Indian Journal of Public Administration Special Number on Administrative Reforms – Revisited*, IIPA: New Delhi.

Jain, P.C., 1981. *Administrative Adjudication – A comparative study of France, U.K., U.S.A. and India*, Sterling Publishers Pvt. Ltd., New Delhi.

Maheshwari, Shriram. 1990. *Indian Administration*, Orient Longman: New Delhi.

Nayak, Radhakant. 1989. *Administrative Justice in India*, Sage Publications: New Delhi.

12.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - To provide speedy and inexpensive relief to the employees in dealing with their service grievances.
 - Judicial courts because of their heavy preoccupation, long pending and backlog of cases, costs involved and time factors could not offer the much needed remedy to the government employees.
- 2) Your answer should include the following points:
 - Central Administrative Tribunals
 - State Administrative Tribunals
 - Joint Administrative Tribunals
- 3) Your answer should include the following points:
 - To be appointed as Chairman or Vice-Chairman, one has to be qualified to be (is or has been) a judge of High Court or has held the post of a Secretary to the Government of India at least for two years or an equivalent pay post.
 - To be qualified for appointment as an Administrative Member, one should have held at least for two years the post of Additional Secretary to the Government of India or an equivalent pay-post.

Check Your Progress 2

- 1) Your answer should include the following points:
 - An application should be in prescribed form, accompanied by relevant documents, evidence and prescribed fee.
 - Tribunal may admit an application on being satisfied that the applicant has availed of 'all the remedies' available to him under the relevant service rules.

- 2) Your answer should include the following points:
- Arbitrary and inconsistent decisions.
 - Exclusion of scope of judicial review on service matters.
 - Lack of background of law and judicial work amongst members.
 - No clear cut provision regarding the sharing of authority of issuing of writs between the courts and tribunals.
 - Absence of an appellate forum within the tribunal.

3) **Supreme Court**

UNIT 13 CAREER PLANNING AND DEVELOPMENT

Structure

- 13.0 Objectives
- 13.1 Introduction
- 13.2 Career Planning and Development — Meaning
- 13.3 Importance of Career Planning and Development
- 13.4 Classification of Career
- 13.5 Steps for Career Planning and Development
- 13.6 Career Stages
- 13.7 Typical Career Pattern
- 13.8 Let Us Sum Up
- 13.9 Key Words
- 13.10 Some Useful Books
- 13.11 Answers To Check Your Progress Exercises

13.0 OBJECTIVES

After studying this unit you should be able to:

- define career planning and development
- highlight its importance
- discuss the various types of career
- describe the steps for career planning and development; and
- explain career stages and typical career pattern.

13.1 INTRODUCTION

Career development, both as a concept and a concern is of recent origin. The reason for this lack of concern regarding career development for a long time, has been the careless, unrealistic assumption about employees functioning smoothly along the right lines, and the belief that the employees guide themselves in their careers. Since the employees are educated, trained for the job, and appraised, it is felt that the development function is over. Modern personnel administration has to be futuristic, it has to look beyond the present tasks, since neither the requirements of the organisation nor the attitudes and abilities of employees are constant. It is too costly to leave 'career' to the tyranny of time and casualty of circumstances, for it is something which requires to be handled carefully through systematisation and professional promoting. Fortunately, there has lately been some appreciation of the value of career planning and acceptance of validity of career development as a major input in organisational development.

In this unit, you will study about the meaning, classification of career and objectives of career development. There will also be a discussion about the different stages of an employee's career and career pattern of a person belonging to the Indian Administrative Service.

13.2 CAREER PLANNING AND DEVELOPMENT—MEANING

Broadly, the term career is used to refer to an individual's entire work life. It can be defined in a narrow sense, to be the succession of jobs and/or ranks held by a person in a particular organisation. An individual's career begins with placement in a job and ends with departure from the organisation which may be through retirement,

resignation or death. In between, the career progression consists of changing tasks, tenure in various jobs, temporary or permanent promotions, transfers etc.

Now, let us first try to understand the concept of career development or career planning. In this context, three definitions are presented below:

- i) Career planning and development are concepts which include all those events either happening to or initiated by individuals which affect a person's progress or promotion, his/her widening and/or changing employment possibilities and acquiring a different and normally higher status, better conditions of service or increased satisfaction with the job.

This definition, revolves round events or occurrences an individual goes through during his/her working period, which take him/her through the hierarchic ladder, expand his/her areas of duties and responsibilities lead to pay-raise and elevate his/her status.

- ii) Career development is the process which enables an organisation to meet its current and projected manpower requirement, through provision of career opportunities for its employees. It aims at optimising the effectiveness of human resources of the organisation, through planned development and their knowledge, skills and potentialities.

This definition places greater emphasis on the organisation and the objectives which are accomplished through developing the careers of individuals working in it.

- iii) Career planning refers to planned and systemised progression of events and development in the field of work or vocation of individuals during the employable periods of their life.

This definition seeks to balance the two dimensions i.e., the objective of the organisation and the individual ambitions of getting to the top. Career, it cannot be forgotten, is intensely particularistic in its basics; it must relate to an individual without whom it loses all relevance.

Whatever may be the aspects and areas of emphasis, career development, essentially is an integral part of a holistic human resources management of the organisation. It must concern itself with the growth of both individuals and the organisation. For as individuals, the employees seek their total fulfilment (personal, ego, social and economic needs etc.) in the organisation, and organisation in turn fulfils itself, its charter of goals, only through its employees. This mutuality, thus, represents a commonality of concern in the development of career. Individual and organisational careers are not separate. It becomes their responsibility to assist employees in career planning, so that both can satisfy their needs.

The basic character of career development is futuristic in the sense that its policies and programmes are devoted to tomorrow. It envisions distant horizons i.e. futures of the human components of organisation in the context of complementary development potentials. It is multidimensional in the sense that broadly, all the functions of management and multi-tiered aspects of personnel policy and practices from entry in the organisation to the point of separation from it, including, for example, recruitment, probation, training, deployment, transfers, promotion, motivation etc. have a bearing on career development. Career development is considered to be the 'pivot' around which the entire personnel management system revolves; it is the 'hyphen' that joins each stage, phase, event of individual's work life; it is the 'buckle' that fastens an employee to the organisation.

Career planning or development is primarily 'proactive' in the sense that it must anticipate and take steps to manipulate future, rather than be overtaken by emerging situations. It does not belong to the realm of 'crisis management' nor is it related to mere 'maintenance' functions; it is the other name of 'future management'. The process involves smooth succession, symbolises systematised continuity and a planned progression with a pre-determined purpose.

13.3 IMPORTANCE OF CAREER PLANNING AND DEVELOPMENT

Since the most valuable asset of an organisation is human resources which generate the needed manpower, it is essential to retain them and develop them to their fullest potential. Career planning and development benefits both the individual and the organisation. Adequate succession planning helps an organisation by providing continuity and generating employee motivation. Also if the organisation is to survive and prosper in an ever changing environment, its human resources must be in a constant state of development.

Career planning and development is required and hence has to be designed to fulfil the following basic objectives:

- a) To secure the right person at the right time, in the right place. It assures the adequate availability of qualified personnel in the organisation for future openings. This has two facets:
 - positively, to make succession-planning timely and smooth;
 - negatively, to avoid a "square peg-in-a round-hole" in the organisation.
- b) To ensure that the road to the top is open for all.
- c) To facilitate effective development of available talent.
- d) To impart to the employee maximum satisfaction, consistent with their qualifications, experience, competence, performance as well as individualistic needs and expectations, leading to a harmonious balance between personal and organisational objectives. Individuals who see that their personal development needs are met tend to be more satisfied with their jobs and the organisation.
- e) To strengthen the organisation's manpower retention programmes based on adequacy of career compensation, motivation management. It seeks to improve the organisation's ability to attract and retain high talent personnel, since outstanding employees always are scarce and they usually find considerable degree of competition to secure their services. Such people may give preference to employers who demonstrate a concern for their employees' future. Proper career planning and development would insure against any possible dislocation, discontinuity and turnover of manpower.

To fulfil such a broad agenda of objectives, the organisation must analyse the strength and weaknesses of the existing infrastructure, its internal support system, the typical career patterns that require to be moulded according to particular needs, the elements that go into evolving and installing an effective career development programme etc.

13.4 CLASSIFICATION OF CAREER

Career can be of three sub-types:

- 1) Monolithic career is identified with pursuance of career in one institution or departmental jurisdiction.
- 2) Cadre-career is one where a cluster or conglomeration of posts are arranged vertically i.e. hierarchically from lower to higher with different levels of responsibilities. Here, any member belonging to that cadre, can be deployed to any of the posts, within the cadre-jurisdiction, commensurate with the seniority, pay, experience, qualification etc.
- 3) Inter governmental careers are identified with more than a single governmental jurisdiction. An example of this is All India Services, where members belonging to this service move from Centre to the States to occupy administrative positions. In America also, a good example of this kind of career pattern has been discernibly characterised by movement among the three levels of public employment—federal, state and local. This type of career pattern in a sense,

indicates the end of monolithic career identified with one institution or government.

There can also be two other concepts of career, namely, closed career and open career, depending on the limitations on entrance or the norm of recruitment. This closed career system can be described as 'Monastic' system, which means that once, at a young age, usually pre-determined, one enters the 'Monastery' or a specific cadre order, one has to spend an entire life time in that jurisdiction with no chance of coming out of it.

The open-type career system, permits entrance at any or all grade-levels, though this multi-level induction would be governed by certain qualification requirements and competitive eligibility conditions prescribed for such grades or groups of categories of posts. Those already in that service, on fulfilment of stipulated eligibility conditions, can apply for such recruitment. An important feature of the open career system is that there is positive encouragement for inducting of new talent at middle and upper levels.

There can be further classification of career system i.e. rank-in-job and rank-in-corps. In the former, the focus is on the assignments, the job to be performed and the fitting of an individual into the job. This job-oriented concept originating in the USA and Canada emphasises orderly classification of positions on the basis of duties and responsibilities. It is the logical corollary of systematic division of responsibilities and division of labour.

In the other type i.e. rank-in-corps, the focus is on the person. This is prevalent in the U.S.A. Here, assignment, training, utilisation, recognition, rank etc., are viewed in terms of the individual and the corps to which a person belongs rather than in terms of a merely structured hierarchy of positions. This system facilitates the matching of employee skills with job needs.

Of these various types of career, the cadre system enables a person recruited at the lowest point to go higher up, through a gradation of assignments which are all clustered or kept together in one cadre without a very precise and scientific position-classification system. This system of position classification is a characteristic feature of rank-in-job type of career, which we have discussed above.

Check Your Progress 1

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

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

- 1) Explain the meaning of career planning and development.

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- 2) What are the objectives of career planning and development?

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- 3) What do you understand by monolithic career, cadre career and inter governmental career?

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13.5 STEPS FOR CAREER PLANNING AND DEVELOPMENT

The career planning and development process is a continuous endeavour. If 'career' means a continuous and long stretch of professional work-life covering a series of jobs or positions of higher responsibility commensurate with time and experience, then there should be some planning, imparting management programmes for the incumbents whether they are operated through 'cadre' system or 'position-classification'. This begins with the placement of person through recruitment and goes on to ensure their growth potentiality through training, promotions, and adaptation of proper retention system.

Recruitment

Recruitment to positions in government is done from the open market to fill in the jobs in the organisation. It is undertaken, after doing a good preparatory assessment of current needs and anticipated manpower requirements on the basis of an analysis of estimated growth of the organisation, its diversification of functions and necessary skills required. This means there is an attempt at perfect matching of people and job. An important first step in this procedure is to prepare, an inventory of positions giving information about the duties, responsibilities and functions of each job, together with the requisite academic qualifications, training and skills, and personality traits essential for performing these duties and discharging the responsibilities. For building up this inventory, information has to be collected on the number of jobs and positions broken down into occupational groups and sub-groups at each level of career fields, the number of vacancies likely to occur due to normal turn-over, retirement etc. and the additional needs, or cadre expansions on account of implementation of developmental or new programmes. On the personnel side, for a proper development of career, it is simultaneously necessary to take stock of currently available manpower resources, compilation of requisite bio-data of existing incumbents, covering the levels of their knowledge, academic qualifications and training. This should also indicate a chronological record of different assignments held, skill drills gone through levels and kinds of exposure and quality of performance. Such informative data-details, together with an estimate for future manpower requirements (planned on the basis of available forecasting techniques) provide a sound base for planning, developing and managing the cadres of personnel in the organisation, including recruitment and selection of eligible and qualified personnel at various levels of hierarchy, at different points of time.

If recruitment from open market is to be designed, any such policy should be based on the organisation's philosophy or ideological concern. The organisation, has to decide whether problems of tomorrow can be solved by existing people with some appropriate training or re-training, whether there should be 'lateral entry' in each grade, what should be the correct age distribution of recruits etc., once the answers to these are determined, the organisation can proceed further.

At the same time, it is apparent that whatever option is exercised, the career development framework for all the people in the organisation is bound to be different. For obviously, career graph for a young recruit with 35 years to go will be differently drawn from the one for an older lateral recruit with only 10 years to go.

The policy of the management about an optimum mix of newcomers in the organisations and the old employees who have earned their way up, will determine what kind of career opportunities are to be made available to these two categories of personnel. In both the cases, the aspects that need to be kept in view in planning their careers are variety of exposures that need to be given to them in the corporate

interest, time span, hierarchy of grades to be built into the system, structure, policies of organisation and last but not the least the nature of management.

Promotions

There is no doubt that 'promotion' basically must be related to the 'tomorrows' of the organisation. It is important to note that current competence of individuals cannot alone be the basis for elevation but certain relevant traits are required like growth-potentiality, capacity to take on higher responsibilities, risk-bearing dynamism, a vision and a perception for total organisational progress. Indeed, if rewards are not commensurate with demonstrated accomplishments, the organisation is bound to suffer. Career planning, must include not only the very best and brilliant achievers in the organisation, but also those who are senior, averagely competent and adequate and who have rendered long service by growing with the organisation.

The whole system of promotion, owes its rationale to two important factors:

- Personnel factors connected with the reward for longevity, loyalty and good work; motivation for better performance, urge for recognition; search for job satisfaction and goal of self actualisation or fulfilment.
- Organisational factors connected with accomplishment of its objectives through obtaining of right persons at the right time within its own jurisdiction, generation and availability of such requisite skills and specialised knowledge specific to the relevant tasks and programmes.

Career development thus, will need to be balanced and dovetailed with the appropriate criteria for promotional decisions. The organisation should pay proper attention to the handling of people of different nature like for example, those who are over confident, those who are impatient, insecure etc. Programmes of re-training, redeployment etc. are to be suitably adopted as per the situational compulsions and adapted to individual needs of each target groups as different career types require to be planned and managed differently.

Retention

Apart from the promotion system, the employees' retention programmes policy must cover all other compensation packages, including salary, bonus, wages etc., which are financial in nature. Non-financial compensation covers the satisfaction that a person receives by performing meaningful job tasks or from the physical and psychological environments in which the job is performed. Needless to say, all this builds up an image of the organisation and exert influences against migration of employees from it. Developmental policy coupled with succession planning, particularly at the middle and top levels, which are critical ingredients of career development help in boosting the morale of personnel and strengthen the organisation organisational growth and progress. The motivation management operating through fringe benefits, satisfiers, motivators and so on, is crucial in career planning and development. Creating a sound infrastructure for satisfying the hierarchy of needs is equally an essential components. Motivation and satisfaction should be built into the job, internalised in the organisation's culture system. We cannot expect people working in the organisation to put in their best unless they are contented, are sure that they can look for a progressively better future through a just and fair deal in terms of compensations, rewards for good performance, futuristic job enrichment programme and other measures aimed at their self-fulfilment, it means, in short, a progressive and satisfying career. In other words, the organisation must have continual concern in the future of the employees, their career, whose development management has to be within their agenda of activities.

13.6 CAREER STAGES

Individuals have different career development needs at different stages in their careers. When an organisation recruits an employee in any of the grades of its cadre for a fairly long tenure, the employer must not only take interest in but also take constructive charge of the employee's career from then on. On entry, the employee is in a kind of 'budding' stage which really is the formative phase of his/her career. This stage is that of establishing identity. The organisation's responsibility at this stage is to

ensure that the employee's concerns are taken care of, he/she is helped to settle down and establish himself/herself. As you have read in unit 11 of this block at this stage, not only induction-training in the form of organisational work familiarisation programmes, but also technical or professional training or on-the-job training at the institutions are imparted to the employees. But at times, generalised foundational programmes are also developed, for example, like for civil servants so as to give them an 'input' (primarily academic) in economics, history, culture, social policy, constitution, issues of public administration etc. This sort of training also serves an important purpose of bringing together civil servants of different cadres for cross culturisation among themselves who would be meeting as colleagues while working in different areas in future.

The next phase is the establishment and developmental stage (also known as 'blooming' stage). This involves growing and getting established in a career. During this early career period, the executive would be in the junior administrative grade or selection grade. This is the period when the organisation must not only orient the employees in a manner that will create maximum learning opportunities and favourable attitude towards the organisation. It should also be ensured that the assignments assigned to them are optimally challenging by giving them a genuine test of their abilities and skills. In this stage, it is necessary to develop strategies for motivating a plateaued employee so that he/she continues to be productive. Another way could be to ensure an adequate transition from technical work to management work with suitable training and developmental opportunities, particularly for those who have management talent and want to occupy a managerial position. The programme that usually is organised at this level is what has come to be known as Management Development about which you have read in unit 11 (if the seniority range of the participants is slightly lower, then it is referred to as Management Orientation). Some area-specialisation input is also to be imparted so as to enable them to update their specialist skills. In other words, the developmental strategy is a blend of specialist-professional exposure combining certain aspects of theory and practice.

The executives/managers from this point, reach the higher career stages which would be stable or 'mature' (also known as 'full bloom' stage). People here would be in the super time scale, occupying senior management positions, involving high level policy and programming assignments. The organisation must at this stage help people to flourish, to the maximum extent possible by giving them wider range of responsibilities for performance and broader opportunities for adjusting to their changing role as their career shifts from the more specialised to generalised advisory role. In this top level stage of policy-planning-advisory area, the organisation must see to it that their career interests are catered for and self actualisation facilities are provided, which enables the employees to devote their full time, attention, energy to the organisation. Developmental strategies in this part of career, must then be oriented towards policy making, programme planning and review and problem solving. The focus should be on advanced study and education for professionalised efficiency, total preparation for leadership, a kind of spiritual attitude reflected in a spirit of dedication to public service, and an urge to work for a cause higher than oneself etc.

The table below, gives an idea of the different phases of an individual's psycho-social and personality gradation and career elevation patterns. This helps in installing the career development and management programmes in an organisation.

Psycho-social phases and the career stages

	Social	Individual	Organisational
1)	Formative stage (Budding Stage)	On-entry career	Junior scale/grade
2)	Developmental stage (Blossoming stage)	Early career	Senior scale/grade
3)	Mature stage (Full bloom stage)	Mid career	Selection grade/ supertime scale
4)	Decline stage (withering stage or retiring stage)	Late career	Top management positions

13.7 TYPICAL CAREER PATTERN

Let us now understand the typical career pattern of a person belonging to the Indian Administrative Service. An IAS Officer in the junior scale on entry to the service, takes up junior positions in sub-division, Magistracy in cities/metropolitan areas, senior sub divisional charge or independent office charge in Collectorate. While in charge of such positions, spanning about four years, one prepares himself/herself for higher responsibility, before moving to senior scales in fifth year or so. In that phase he/she heads developmental departments, becomes Under Secretary or Deputy Secretary in the State Government. After nine years of service, an IAS officer while on deputation to Central Government, can be Deputy Secretary and Director, in the fourteenth year before entering the Selection Grade. After seventeen years of service, he/she can become Joint Secretary in the Centre, and in the State, become Commissioner of a Division or equivalent positions including Secretary to the State Government, in the super-time scale, Super-time Scale Officers i.e. Joint Secretary and above, including Additional Secretary and Secretary to the Government of India constitute Senior Management, who after periods of exposure to difficult challenges in the field, responsibilities in the Secretariat, and wide ranging experience in the developmental departments and public undertakings, take charge of the policy formulation, discharge planning, evaluation functions etc.

Check Your Progress 2

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

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

- 1) What are the different stages in the career of an employee?

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- 2) Explain the typical career pattern of a person belonging to the Indian Administrative Service.

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13.8 LET US SUM UP

Career planning and development, as a concept, though of a recent origin, has a very important place in personnel administration. It has become an integral part of human resources management in organisations. This unit has discussed about the meaning of career planning and development and the broad objectives it seeks to achieve in order to be beneficial for both the individual and the organisation. The unit has also dealt with the different types of career which includes monolithic career, cadre career, inter-governmental career, closed and open career. This unit highlighted the continuous process of career planning and development, which has to find place in the system of recruitment, promotion and retention. It has also given you an idea about the different career stages a person undergoes i.e. budding stage, blooming and mature stages and different career development needs required in these stages. As an illustrative case, the unit has described a typical career pattern of a person belonging to the Indian Administrative Service.

13.9 KEY WORDS

Deployment: Appropriate arrangement/organisation of personnel for fulfilment of functions.

Hierarchy of Needs: Abraham Maslow, in 1943 outlined the overall theory of motivation in his classic paper 'A theory of Human Motivation'. He analysed the relationship between the human beings and organisations from the stand point of 'human needs'. According to him, a person's motivational needs are arranged in a hierarchical manner running from lower to higher level. These needs are: physiological, security, social, esteem and self actualisation needs. Fulfilment of each need is a goal to a person at a point of time and hence once that need is satisfied, the person moves to the next order need. This process continues in the daily life of all human beings.

Incumbent: Refers to a person who officially holds a particular post at a particular time.

Motivation: Willingness on the part of employees to put forth their efforts in fulfilment of organisational goals.

Plateaued employee: An employee whose career reaches a stage when job functions and work content remain the same, with no change or further development. This condition demotivates the employee in work performance.

Position classification: It is the process of categorisation of positions in the organisation into groups or classes on the basis of their duties, responsibilities, qualifications, skills required to perform them. Here duties and responsibilities of positions determine pay and qualification requirement of persons.

Probation: It is the period which follows the appointment of a person in employment, during which the person's work performance, conduct and personality is assessed, by the superiors.

Redeployment: Reorganisation or redistribution of people for achievement of certain tasks.

Square peg-in-a round-hole: It is an informal expression meant to describe someone who does not seem to be suitable to fit into a particular position.

Succession Planning: An exercise done with the objective of providing continuity in succession or movement of qualified people to the positions in the organisation as and when the opportunities arise.

13.10 SOME USEFUL BOOKS

- Dey, Bata K., 1989. '*Civil Service Training and Career Management in India*' in *Training in Public Administration: The Changing Perspective*, IIPA: New Delhi.
- Goel, S.L., 1986. *Public Personnel Administration*, Sterling Publishers: New Delhi.
- Stahl, O' Glenn, 1983. *Public Personnel Administration*, (8th edition), Harpert Row: New York.
- Hondy, Wayne R. and Noe Robert M., 1987. *Personnel: The Management of Human Resources*, Allyn and Bacon Inc.: Boston

13.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Career planning and development includes all those events an individual undergoes in an organisation during working period, which takes the person through the hierarchic ladder with expansion in duties and responsibilities with resultant increase in pay and status.

- It is a process which enables an organisation to meet its current and future manpower requirement through provision of career opportunities for its employees.
 - Planned and systematised progression of events in the field of work of individuals during their employable periods of life.
- 2) Your answer should include the following points:
- Monolithic career is one which an individual pursues in one institution or department.
 - Cadre career is one where a person moves from lower to higher levels of responsibility as here the posts are arranged vertically. A member belonging to that cadre can be deployed to any of posts within that cadre jurisdiction that is commensurate with seniority, pay, qualification etc.
 - Inter governmental career is one in which a person moves from one level of government to another as in the case of members belonging to All India Services.

Check Your Progress 2

- 1) Your answer should include the following points:
- The 'budding' stage of an employee at the time of entry in the organisation. A person tries to establish oneself in this stage. It is the responsibility of the organisation to impart induction training at the stage.
 - Next is the 'blooming' stage where a person tries to develop and establish in the career. Maximum learning opportunities need to be provided and favourable attitude towards the organisation is tried to be created.
 - The third is stable or 'mature' stage where people reach the higher career stages in the organisation. The organisation needs to help the person to develop to maximum extent, give wide range of responsibilities.
- 2) Your answer should include the following points:
- A person belonging to the Indian Administrative Service on entry takes up junior positions in sub division, Collectorate for nearly four years.
 - Movement to senior scales in fifth year, where a person heads development departments.
 - Deputation to Central Government after nine years of service.
 - Entry to selection grade after fourteen years of service.
 - Reaching super time scale, where one becomes Joint Secretary, Additional Secretary in the Centre and in the State become Commissioner of a Division or Secretary to the state government or any other equivalent position.

UNIT 14 PERSONNEL POLICY

Structure

- 14.0 Objectives
- 14.1 Introduction
- 14.2 Policy Making : Meaning
- 14.3 Public Personnel in India
- 14.4 Organisation for Personnel Policy
- 14.5 Department of Personnel
- 14.6 The New Policy Perspective
- 14.7 Let Us Sum Up
- 14.8 Key Words
- 14.9 Some Useful Books
- 14.10 Answers to Check Your Progress Exercises

14.0 OBJECTIVES

After studying this unit, you should be able to:

- examine the various normative personnel policies and practices that are followed at the macro level;
- highlight the gaps that exist between personnel policies and practices; and
- discuss the mechanism for evolving cohesive framework of constructive personnel management system.

14.1 INTRODUCTION

Administration is the means of translating the state policies into programmatic action. An administration can discharge its role only through the media of required resources, the most important of which is the human resource or human capital. Public Administration must, therefore, so fashion its policies and programmes that the resources upon which it depends are not only adequately mobilised but also effectively utilised. The same is true of the human resource also. Management of human resources, therefore, is an important ingredient in the management system of the government. For managing the human resource of the system, what is inescapably necessary is a well co-ordinated policy framework which integrates different aspects of personnel as an input.

The human input in management as a basic resource and not just a material commodity, has been a rather late realisation with the top management. For a long time, personnel in the administration has been taken for granted, they had not been taken as something which required to be treated with special consideration and distinctive differentiation. Personnel were considered to be nothing but mere cog in the organisational mechanism — which had its counter-productive toll on the system-efficiency. All this was due to wrong and misplaced policy-perception about the important contribution made by the personnel. This unit will try to highlight the meaning of personnel policy and constitutional policy especially in Indian context. The unit will deal with modern personnel functions and reports of the Estimates Committee and Administrative Reforms Commission on Personnel Organisation. A brief discussion on Department of Personnel and new policy perspective will also be made.

14.2 POLICY MAKING : MEANING

'Policy making' is one of the common terminologies used in the discipline of Public Administration and management, though more popular one is the 'decision-making', the differences between the two being those of depth and sweep, and not of quality of process. Decisions are taken by everybody, every moment, on every thing — whether they are of great significance or on comparatively inconsequential matters. Though, from a normative angle, decisions ought to refer to planned and calculated exercise in

rationality, in actual practice they are often subjective, probabilistic and arbitrary, as more often they are arrived at individually and not collectively.

Policy making is also a variety of decision-making, differentiated by the fact that policies are "generally taken to belong to the jurisdiction of more substantive or heavier significance, valid for a longer time-range and operative as a guiding framework for more sweeping action". Thus, policy making has been defined as "that dynamic process for a normative event, arrived at through assessment of relevant facts and evaluation of judgement, providing major guidelines for further action directed at the future with the object of achieving a given objective by the best possible means." The stages that are resorted to in this procedural exercise are — (i) isolation of issues, (ii) identification of problems, (iii) analysing the problems and looking for ideas, (iv) incubation (re-analysis of problems and development of ideas), (v) synthesis, (vi) evaluation, (vii) adoption of programme, (viii) implementation and (ix) follow-up.

However, though every decision and every policy are expected to be made on any subject after taking into account all available, relevant facts and evaluating requisite dimensions and alternatives involved, all the stages mentioned above are generally not relied upon in the actual practice. Under imperfect conditions of Public Administration, often the required data are not either available or made available to the policy-makers who, consequently, depend on their own particularistic experience, individualistic knowledge and professionalised expertise, combined with intuition, to come to what could be described as 'optimal' decision-cum-policy-making. It is not as if such decisions are necessarily 'bad decisions or policies' arrived at on such considerations are 'irrational policies'. The real issue in decision/policy-making in Public Administration is not that it is not formulated in accordance with a proper procedure but it is often formulated in an ad hoc manner, as a reactive response to certain emerging situations rather than in a pro-active manner based on futuristic planning, fore-thought or far-sight. This is also true of Indian Public Administration and policy-making in the country.

Indian Public/Personnel Scenario

Public Administration in India inevitably suffers from the same vices or inadequacies in forms of well-integrated, well co-ordinated and comprehensive policy framework. The public personnel administration is also characterised by similar ad hocism, confusion, chaos and haphazardness.

It is a common knowledge that Public Administration in this country has travelled a long way off, from the law and order and regulatory days of 1947 and before. Administration was then far removed from the people, having very little to do with the national development, economic regeneration, social progress and people's well-being; its temper was authoritarian and its style was deeply formalistic. Its aim being preservation of status-quo, administration was not developmental and promotional. 1947 was the significant watershed, providing the final parting of the ways with the past not merely in the administrative ideology but also in its operational ways.

These new changes were reflected in atleast the following three dimensions :-

- i) the purpose of the State has changed with the adoption of a new vision and mission of people's welfare;
- ii) the functions of the State have registered fundamental growth and phenomenal explosion in terms of variety, complexity and scale, together with the large size of machinery and structure;
- iii) the methodology of the State-operation has also undergone radical transformation in terms of innovative practice, dynamic process, data-handling technology and leadership styles;
- iv) the personnel in the system has also numerically expanded, in terms of categories, groups, specialities, etc.

But the old characteristic however, continue in that there has been no significant and radical change in the thinking and back-up action for reforming the system in the new functional context. There has been no new, novel and dynamic policy thrust in public management system in general and personnel system in particular.

The reality is that the days of negative, 'night-watchman' role performed earlier by the government are gone. The government, now has to play a more positive and pervasive part in shaping the citizen-life in all its multi-faceted aspects, more as an all round change-agent, accelerator of economic and social advancement, animator, if not the prime-mover, of total national development. Any modern government must harmonise the goals of the collective, communitarian welfare with the ideals of individual progress and enrichment of the quality of every life. General landscape of the new government is that it has to cater to the needs, demands and challenges of "the revolution of rising expectations" of the people who now, refuse to live under the shadow of poverty, hunger, illness, ignorance and squalor.

The Constitutional Policy

The personnel, in the context of the New Public Administration, as in India, have to be fine-tuned to the new ideology of the State and technology of dynamic, yet people oriented governance. They have to be enthused with the vibrant commitment towards the developmental objectives as enshrined in the basic charter of the State, that is, the Constitution of the country.

The Indian Constitution promulgated w.e.f. 26th January, 1950, makes eloquent pronouncement of the lofty ideals in its Preamble which assures justice, liberty, equality and fraternity to all its citizens; its section on Fundamental Rights makes provision for the individual safeguards against State authoritarianism and ensures fundamental freedom for all citizens. The Directive Principles of State Policy enjoin upon the State the fundamental duty to create a promotive environment so that the citizens can lead a life of happiness, richness and fulness. This Constitutional culture has developed on the government a much wider rectangle of responsibility to shape the entire fabric of social and individual life in a more positive and constructive fashion.

14.3 PUBLIC PERSONNEL IN INDIA

Against this changed ideological backdrop of the State, as a carrier of new values, the traditional 'folk-lore' administration in India has become development administration — "action-oriented, goal-oriented administrative system" concerned with the achievement of definite programmatic goals, in which the most important component is the personnel. Public Personnel Administration similarly constitutes the central focus of Indian administrative system. If this vital sector is neglected, deficiencies would develop in the other sectors as well. As in human organism so in administrative organisation, vitality is a function of internal health and not derived from external cosmetics or superficial make-up. People in the administration must be efficient, effective, professionalised and well-motivated to accomplish the goals set for them. This requires adoption of strategic policy for the induction, retention and optimal utilisation of personnel in the administrative system. The policy must cover all the aspects in the life of the human beings or personnel in government right from their birth in the bureaucracy to their separation from it.

Modern Personnel Functions

Some of the modern personnel functions of some significance may be noted, which would define in the ultimate analysis, the policy frame for personnel management :

- Survey of the contingent needs of the public services in the context of total development goals of the administration.
- Manpower planning
- Cadre management
- Job evaluation and position classification system
- Recruitment
 - Positive recruitment
 - Talent-hunting
 - Selection techniques
 - Psychological tests
- Training and development programmes
- Career systems planning
- Compensation and remuneration administration
- Motivation and productivity, participative management principles
- Welfare programmes

- Conduct, discipline and public service ethics
- Terminal benefits systems (Retirement benefits etc.)
- Developing personnel organisation and capability

The Government of India has also undertaken to perform many of these functions as its new charter of activities. The awareness to look at the personnel from new angles, as input needing constant renewal has not come overnight. Initially, there was no planned policy-guide for handling personnel in the public organisations. There was on the contrary, vast army of persons at the lower echelons, particularly at the messengerial (Group 'D' or Class IV) and clerical (Group 'C' or Class III) levels who, mostly were denied opportunities of growth and were engaged in non-productive and routinistic functions. They were psychologically demotivated and highly discontented as promotions in the civil service were beyond their easy reach; they were not suitably trained, and were left to fend for themselves; they constituted a kind of drainage on the efficiency of the government. The middle levels consisting of Group 'B' (or Class II) and some segments of Group A (or Class I) were also not comfortably, certainly not ideally, placed in terms of decision-making, delegation of power and exercise of constructive authority. The general management at the Group 'B' level was devoid of any sense of positive responsibility and felt cut off from the mainstream of functional bureaucracy.

Post-Independence Studies for Formulation of Personnel Policy

The conditions in pre-Independence period were attributable to a lack of well-thought-out policy and programming for the proper utilisation and motivation of public personnel. There was no plan for their career development; there was no uniform policy for objective performance appraisal and management of bureaucracy for result-oriented achievement. This paucity of policy has not only hindered transaction of developmental goals but also nearly crippled the personnel administration.

After Independence there had been several investigations undertaken into the personnel system, together with structural and methodological aspects of Public Administration in India. Upto mid-60s there have been atleast twelve such investigations conducted by different Committees and Commissions as also by some eminent experts. They may be mentioned as follows :

- 1) The Secretariat Reorganisation Committee 1947
- 2) The Central (First) Pay Commission 1946-47
- 3) Report on Reorganisation of the Machinery of the Govt., 1949
- 4) Report on Public Administration, 1951
- 5) Report on the Machinery of Govt. — Improvement of Efficiency, 1952
- 6) Public Administration in India — Report of a Survey, (Paul Appleby) 1953
- 7) The States Reorganisation Commission, 1955
- 8) The Report on the Public Services (Qualification for Recruitment) 1956
- 9) The Commission of Enquiry on Emoluments and Conditions of Service of Central Government Employees (2nd Pay Commission) 1957
- 10) V.T. Krishnamachari's Report on Indian State Administrative Services etc. 1962
- 11) The Report of Committee on Prevention of Corruption, 1964 (Santhanam Committee)
- 12) Five Year Plans

All these reports have made their contribution towards making the personnel system more effective, and to align with the challenges of new environment. Their recommendations have made impact on policy formulation with an eye to dynamise public personnel management. But obviously, all these were not enough. The system still needed a lot of changes.

Check Your Progress 1

- Note :** i) Use the space given below for your answers.
ii) Check your answers with those given at the end of the unit.
- 1) What do you mean by policy making ?

2) Briefly list out the functions of personnel management in modern times.

14.4 ORGANISATION FOR PERSONNEL POLICY

Apart from a lack of policy, there was also organisational deficiency to tackle the problems of personnel. There was no cohesive, centralised organisation in the Government of India from which the unified direction regarding personnel policies and programmes could flow. In the field of Central Government, with regard to personnel, the Ministries of Home Affairs (Services and Establishment Wings) and Finance (Establishment Division) all along had joint management responsibilities, with Union Public Service Commission playing an important advisory role. The Establishment Officer to the Government of India, functioning under the Cabinet Secretary, was another official agent for performing some high level personnel-placement tasks. All this made for division of responsibility and resulted in negation of unified central direction. There was more of crisis-oriented personnel management and less of a centrally planned, positive or forward looking thrust in personnel programming. It had led inevitably to attending to mere 'maintenance' functions at the minimum level, leaving out the more significant 'growth' functions at the optimum level. The casualty was again the personnel.

Estimate Committee's Report (1966) on Personnel Agency

To plug this organisational loophole, the Estimates Committee (of the Third Lok Sabha) in its 93rd Report (April, 1966) observed that "the ever expanding role of the government, in a welfare state with its natural concomitant of a large civil service, calls for effective personnel control through a single agency." This unified agency should be under the control of the Cabinet Secretary and made responsible for regulating the terms and conditions in respect of services as a whole, replacing the earlier dual control of the Home Ministry and the Finance Ministry.

Administrative Reforms Commission on Personnel Organisation

To attend to the emerging problems in the field of administration, the systematic deficiencies of the public governance and to look at the various issues in Public Administration from a holistic angle, the Government of India constituted an Administrative Reforms Commission in 1966. The terms of reference were elaborate and comprehensive. The sectors of administration which it was asked to look into were also quite exhaustive. The Administrative Reforms Commission assisted by 20 Study Teams submitted 20 reports of which 5 reports dealt with the public personnel administration, namely :

- 1) Report on the Machinery of the Government of India and its procedures of work
- 2) Report on Public Sector Undertakings
- 3) Report on Personnel Administration
- 4) Report on Centre-State Relationships
- 5) Report on State Administration

ARC's Report on Personnel Administration

'Personnel' was also the exclusive subject matter of one report, namely, Report on

Personnel Administration aided and advised by as many as 3 study teams, namely :

- 1) Patil Study Team on Personnel Administration;
- 2) Thorat Study Team on Recruitment, Selection, UPSC/State PSCs, and Training;
- 3) Nagarkatti Study Team on Promotion Policies, Conduct Rules, Discipline and Morale.

The Commission formulated its own recommendations on the various facets of personnel administration in India. This Report formulated important policies and programmes on the country's future personnel management system.

The Commission made specific policy suggestions related to:

Functionalism, Specialism and Staffing

- A functional field must be carved out for the IAS, consisting of land revenue administration, exercise of magisterial functions and regulatory work in the states and in the fields other than those looked after by other services.
- All posts in a functional area whether in the field or at headquarters or in the Secretariat should be staffed by members of the corresponding functional services or by functional officers not encadred in a service.
- The posts at the level of Deputy Secretary or equivalent at the Central headquarters, which do not fall within a particular functional area, should be demarcated into eight areas of specialisms as follows :
 - i) Economic Administration
 - ii) Industrial Administration
 - iii) Agricultural and Rural Development Administration
 - iv) Social and Educational Administration
 - v) Personnel Administration
 - vi) Financial Administration
 - vii) Defence Administration and Internal Security
 - viii) Planning
- Senior management posts in functional areas should be filled by members of the respective functional services.
- Senior management posts outside the functional areas should be filled by officers who have had experience as members of the policy and management pool in one of the eight specialisms. They should have completed not less than seventeen years of service.

Unified Grading Structure

- The posts in the civil service should be grouped into grades so that all those which call for similar qualifications and similar difficulties and responsibilities are grouped in the same grade. The number of such grades may be between 20 and 25.
- All the Class I posts may be evaluated and assigned to, say 9 common pay scales. These nine grades or pay scales may be divided into three levels, namely junior, middle and senior. The progress of an officer of an established Class I service along with the grades within each level should be on the basis of proved performance. Promotions from the junior to the middle level and from the middle to the senior level should be by selection.

Cadre Management Planning

- For all the services, advance projections should be made of the requirement of personnel for five years at a time. Mid-term appraisal also should be made if circumstances warrant it and necessary correctives made on the basis of the appraisal. Such projections should be made by cadre management committees which should be constituted.

Recruitment

- For the Indian Administrative Service/Indian Foreign Service and other non-technical Class I Services, recruitment should be made only through a single competitive examination, it being left to the candidates to express their order of preference for the different services.
- A Committee should be set up to go into the questions of devising speedier methods of recruitment, in general, of bringing down the proportion of candidates to posts, of reducing the expenditure on publicity, and of revising the syllabus of the examinations for the higher services.
- The upper age limit for entrance to the competitive examination may be raised to 26

- In order to provide greater opportunities for the advancement of talented personnel who are not already in Class I :
 - a) The quota of vacancies in Class I to be filled by promotion may be increased upto a maximum of 40 where the existing quota falls short of that percentage ;
 - b) Every one who has completed 6 years of service in Government and is less than 35 year of age may be given one and only one chance to sit for the open competitive examination for Class I non-technical services, irrespective of the chances already taken, provided that he/she fulfils conditions relating to educational qualifications.

Training

- Government should, with the assistance of experienced administrators and experts in training techniques, formulate a clear-cut and far sighted national policy on civil service training, setting out objectives and priorities and guidelines for preparation of training plans. Training for middle level management in the Secretariat (for Deputy Secretaries and other officers with equivalent status) should have the following three broad elements:
 - a) training in headquarters work;
 - b) special courses in each of the eight broad specialisms ; and
 - c) sub-area specialism training.
 Training in policy and planning should be provided as a part of training for all specialisms.

Performance Appraisal

- At the end of each year, the official reported upon should submit a brief resume, not exceeding three hundred words, of the work done by him, bringing out any special achievement of his. The resume should be submitted to the reporting officer and should form a part of the confidential record. In giving his own assessment, the reporting officer should duly take note of the resume and after making his own comments and assessment, submit the entire record to the next higher officer, namely, the reviewing officer. The reviewing officer should add his own comments, if any, and also do the grading.

Promotion

- Half of the vacancies available for promotion of Class II officers to Class I, including All-India Services, may be filled up by the existing method and the other half on the basis of an examination. Class II officers may be allowed to sit for this examination, provided that they have put in a prescribed minimum number of years of service, say, five, and have not been graded as 'not yet fit for promotion'.

Discipline

- Provisions should be made in the rules for summary disposal of disciplinary cases in respect of any misdeed or other irregular acts arising from insubordination, contempt, and unbecoming conduct including intimidation or threat of violence.

Tribunals

- Civil Service Tribunals should be set up to function as final appellate authorities in respect of orders inflicting major punishments of dismissal, removal from service and reduction in rank.

Voluntary Retirement

- A civil servant may be allowed to retire voluntarily after he has completed fifteen years of service and given proportionate pension and gratuity.

Incentives

- Incentives for timely completion of a specific project may be provided through suitable awards such as rolling cup or a shield. In individual cases, commendatory certificates may be issued.

These and other recommendations of the Report on Personnel Administration have far-reaching significance in terms of restructuring the new personnel policy and affecting almost all public services.

14.5 DEPARTMENT OF PERSONNEL

The Administrative Reforms Commission (ARC)'s recommendations envisaged careful handling of the new dynamic and forward-looking functions in the field of

personnel. It required new policies in many areas and aspects. The old organisation for handling personnel matters was obviously inadequate to tackle the new personnel problems based on the recommendations of the Administrative Reforms Commission on the Central Personnel Agency. The Government set up in August, 1970, a new Department of Personnel. One of the Study Teams of the ARC, namely, Deshmukh Study Team on machinery of the Government of India and its Procedures of Work, had first made the suggestion that "the fashioning of an effective Central Personnel Agency and the allocation to it of all functions of an overall character in the field of personnel administration is one of the most important reforms required in the machinery of the Government of India." It was envisaged that progressive leads could flow out from the Department of Personnel if only the new departments were to induct into it persons from a variety of services, including the technical and professional, so that the leadership of the agency in the matter of personnel rested on a solid foundation.

The organisational structure of the Department of Personnel was as follows:

- Policy and Planning Wing
- Training Wing
- All India Services Wing
- Establishment Wing
- Vigilance Wing
- E.O. s Wing

It may be noted barring the Policy and Planning Wing, all the other Wings together with their functions existed in the Ministry of Home Affairs from which the Department of Personnel was carved out in August, 1970. The Policy and Planning Wing had been entrusted with the task of formulating and giving shape to the policy and planning activities in the field of personnel administration in the Government of India. This Wing also formed a base for a kind of 'perspective planning' — approach to personnel management and for all foundational-cum-applied research on overall aspects of public personnel administration. This charter of responsibilities could have been met only by staffing the Policy and Planning Wing with experts and professionals in personnel management. Also, it would have been better if certain amount of 'prioritisation' was done at the beginning itself, as there was a potent risk of the 'routine' taking over the germinal and significant activities in the government. This was exactly what happened. Policy Planning Wing (PPW) was entrusted with the normal responsibility of handling the Administrative Reforms Commission's recommendations contained in the report on Personnel Administration as also the day-to-day routine activities like Cadre Reviews through all the usual hierarchies of the government. No proper methodology for handling research studies was in fact evolved. Later several other items of routine work were also added to the PPW which took away research-thrust from its activities. The PPW degenerated into another normal Wing of the government, doing mostly regular routine functions and not, as originally envisaged, futuristic personnel studies on major policy issues.

Training Division, no doubt, did quite a bit of leadership role in the area of training, and functioned as a clearing house for all training ideas and programmes. But it also had to attend to so many routine jobs that its main functions as an apex policy-maker on training lost their focus and consequently suffered considerably.

The other Wings/Divisions had nothing very new to offer; they continued to do in the new Department of Personnel what they were doing in the old Ministry of Home Affairs. In the matter of staffing, the same old policy of relying on the conventional sources like IAS and other Central Services was followed, with no change at all. Structurally, the same old hierarchy and procedurally, the same old work-ways and styles were continued. No worthwhile professional infiltration was in sight, even though administration was assumingly getting technical and science and technology were making deep dent into governmental programmes. The tragic gap surfaced, because of the total lack of concern for new personnel policy, interlinking all the new ventures

Department of Personnel, as a Central Personnel Agency was a new structure-functional innovation in India on the lines of Britain's Fulton Committee recommendation on establishment of Civil Service Department to which the personnel functions of the Treasury (counterpart of India's Ministry of Finance) as also those of Civil Service Commission (counterpart of India's UPSC) were

transferred, in order to make it an integrated organisation for personnel administration. While British experiment was hailed by many as satisfactory, India's, however, was not considered to be very satisfactory and successful, as the later experience has proved. After the initial euphoria, it was seen that the Department was routinised, like any other Department of the government. None of the recommended measures relating to functional charter in the new areas, the dynamic thrust in procedural aspects of work, bold agenda of research, unconventional staffing patterns, cutting stranglehold of age-old bureaucratic hierarchy etc., were taken to make the new Department really effective. The leadership role of the Department was neglected and advantages of its direct working link with the Prime Minister through Cabinet Secretary were soon lost!

Even so, some, though not many new policies in the field of personnel were evolved at the initial stages of its existence, mainly on the basis of ARC's recommendations. These are:

Advisory Council on Personnel Administration

An Advisory Council on Personnel Administration, consisting of good mix of inside and outside experts, known professionals in the field, experienced Directors of Institutes of Management and Public Administration/National Academy etc. was set up, which was to function as a feederline of new ideas, developing research-base for radical policies and suggesting novel programmes. (After a two year tenure, however, the Council was disbanded!)

Premature Voluntary Retirement

The new scheme for Premature Voluntary Retirement with five years additional service benefit was adopted as a policy to weed out the dead woods or the inefficient personnel and those who are not comfortable in the government from functional and adjustmental points of view.

Administrative Tribunal

The Administrative Tribunal was another milestone in new policy experiments in the personnel. The civil servants all over the country have largely benefited from these Administrative Courts in terms of time, cost, harassment in alternative systems of grievance-handling.

Joint Consultative Machinery

Another important schematic innovation was Joint Consultative Machinery and Compulsory Arbitration (based on 2nd Pay Commission's recommendations) for conflict management with the employees. The Staff Relations Policy had its fruition in this JCM experiment which has largely been successful in averting agitational methods to settle employer-employee disputes. But these few new policy schemes apart, the history of the public personnel administration here is a story not to be very eloquent about!

14.6 THE NEW POLICY PERSPECTIVE

Personnel policy is an integrated function which encompasses many aspects of the personnel management. In fact, there are inseparable inter-linkages as amongst the diverse personnel activities. Personnel management starts even before the actual employment or recruitment in the organisation. In fact, recruitment itself has to be moulded by the overall employment policy of the organisation. Whether there has to be a greater proportion of direct recruitment i.e. emphasis on 'catch them young' as a principle or there should be more reliance on age, experience and longevity by promoting the people already in the organisation to higher positions are matters of policy which management has to decide before-hand. The long-term planning of cadre (if there is a 'cadre system' in the services) or determining individual positions (if there is a 'position classification system') have to be done in the beginning and also as a part of a policy of having the right person on the right job in the right time at the right cost. Even this salutary personnel principle is not followed in most of the organisations, though all pay lip service to this dictum. The methodological issues of recruitment and selection processes — whether there should be positive recruitment, 'campus'-recruitment or other forms of aggressive lateral recruitment, also constitute matter of overall recruitment programmes. The employment policy must have to be linked up with training and development policy, retention policy, promotion policy,

compensation policy, motivation policy, career management policy etc. Besides, there have to be well thought-out and positively articulated staff welfare policies and conflict management policy (i.e. Employer-Employee Relationship Policy). It is obvious that all these are basic building blocks of a comprehensive personnel policy. Unfortunately, they are not framed in any systematic manner nor are they followed in any effective fashion. There is too much of casualness and adhocism in this regard.

No serious attempt has been made to focus attention on the positive aspects of personnel growth and development of potentials. Looking into the 'human side of tomorrow' seems nobody's business. Talent hunting has been conspicuous by its absence. Careers for most are not managed by the senior management of the administration, on any scientific and objective basis with an eye on the future but they appear to manage themselves! Both rewards and punishment in the government and in other public organisations are tardily handled, no one can, under the rules, be sumptuously rewarded even if there is a high level of performance nor can any person be punished heavily for failure to achieve or even to perform. There is too much of safety, security and safeguard mechanisms in the government so much so that there can be only 'hiring' but no 'firing', once one is in. Public organisations in India do not seem to have any commitment toward staff motivation nor do they work for the development of their own people, with the result that there is no semblance of 'succession policy' anywhere in the public administrative system. The most common experience is the pervasive existence of a pernicious phenomenon called 'toplessness' in a large number of establishments. Vacancies, and consequential vacuum, often exist and persist for months at a stretch with concomitant adverse effect on efficiency. Targets are fixed but never seem to be achieved and there is no disgrace attached to target-slippage because goal-consciousness and result-orientation are not taken to be basic to our personnel policy framework.

Check Your Progress 2

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

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

- 1) Analyse the working of Department of Personnel.

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- 2) Discuss any three policy suggestions relating to personnel administration as made by the ARC.

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- 3) Briefly discuss the new policies that have been evolved in the field of personnel.

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14.7 LET US SUM UP

The analysis in the preceding unit reveals that whatever has happened is due to lack of professional approach to the personnel management. There is even less concern for evolving any positive policy towards public personnel who have been the object of callous neglect, and thoughtless indifference. The Public Administration has unfortunately ignored, the human being, the only asset that appreciates in time, the only resource that represents the 'dynamic difference' between success and failure of the organisation. The system has so far taken the human element for granted — while it should have been the other way round, the human element needs to be taken into account, in the computation of organisation's future policy planning, growth and prosperity. By not doing so, the administrative system has naturally plunged into irrationalities, anti-scientific attitudes, and exaltation of nowness and todayism i.e. functioning only for the present and not the future, the 'futurism' has been side-tracked, in fact jettisoned completely.

No holistic perception is there anywhere — there is too much of sectarianism, clannishness, and divisive outlook on the part of system managers and policy makers.

In the turbulent environment of dynamic development involving destabilisation, disequilibrium and discontinuity, human resource management policy needs to be equipped with thoroughgoing professionalism, scientific rationalism and objective futurism. But nothing of the kind is in evidence. Whatever the policy-makers do has nothing to do with policy making.

The result is that the personnel system has been suffering from crippling insufficiency, deficiency and incapacity to rise to the occasion, to meet the challenges of change. Personnel, because of a lack of back-up policy for them, have been doomed with no result-orientation, no innovation, no achievement- motivation, no dynamism, no hope for future. The people in the system have become and would remain prisoners of frozen orthodoxy, mindlessly following archaic rules and regulations tied to the apronstring of the past, and interested only in maintenance, not breakthrough. The system reflects negative characteristics and positive dysfunctionalities, but no policy to correct this imbalance and mismatch between vision and mission, between dream and reality, between promise and performance, has been adopted.

This unit has tried to throw light on the concept of public policy, efforts made so far to improve personnel system in India and the problems and loopholes confronting this system. One thing has to be remembered that the time is long past to rectify the past mistakes. Time is now to adopt the right policy for ushering in a right personnel system. There is no time to wait, no time to waste ! The subsequent units will give you an idea about the different policies and practices of public personnel system.

14.8 KEY WORDS

Directive Principles of State Policy : These principles are enshrined in Chapter IV of the Constitution, these are in the nature of general directions or instructions to the State. These embody the objectives and ideals which the Union and State governments must bear in mind while formulating policy and making laws.

Fraternity: The idea of fraternity ensures the dignity of the individual and unity and integrity of the nation.

Fundamental Rights: The citizens in a democracy enjoy certain rights without which he/she cannot achieve the fullest physical, mental and moral development. These rights are fundamental. The doctrine of fundamental rights implies that the government exists for the sake of individuals whose freedom and happiness are of great importance. These are justiciable rights and are enshrined in Parts III & IV of the Constitution. These rights are available to all citizens and are binding on all public authorities in India, on the Central Government as well as state governments and local bodies. These rights are right to equality, right to freedom, right against exploitation, right to religious freedom, cultural and educational rights and right to Constitutional remedies.

Human Capital : Sum total of knowledge, skills and aptitudes of the people in the society.

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

Perspective Planning: Long-term overall planning.

14.9 SOME USEFUL BOOKS

- Ghosh, P, 1969. *Personnel Administration in India*, Sudha Publications (P) Ltd.: New Delhi.
- Goel, S.L. 1984. *Public Personnel Administration*, Sterling Publishers Private Limited : New Delhi.
- Odiorne, George S, 1962. *Personnel Policy : Issues and Practices*, Charles E. Merrill Books, Inc.: Columbus, Ohio.
- Stahl, O. Glenn, 1975. *Public Personnel Administration*, Oxford & IBH Publishing Co.: New Delhi.
- Sampson, Charles, 1983. *Values, Bureaucracy and Public Policy*, University Press of America: London.

14.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points
 - policy making is a variety of decision-making
 - it is arrived at through assessment of relevant facts
 - it is a procedure that involves identification of problems, analysis, adoption of programme, implementation and follow-up
 - sometimes policy makers depend on their own particularistic expertise, knowledge and experience to formulate policies.
- 2) Your answer should include the following points
 - manpower planning
 - cadre management
 - job evaluation
 - position classification
 - career systems planning
 - remuneration administration
 - motivation
 - welfare programmes

Check Your Progress 2

- 1) Your answer should include the following points
 - the organisational structure of the Department of Personnel comprises Policy and Planning, Training, All India Services, Establishments, Vigilance and E.O.'s Wings
 - the Wings are involved with performance of their respective functions
 - the functioning of the Department showed a lot of problems
 - none of the recommended measures relating to functional Charter in the new areas, was taken to make the new Department effective
 - the leadership role of the Department was neglected.
- 2) Your answer should include any three of the following points recommendations regarding
 - unified grading structure
 - cadre management planning
 - recruitment methods
 - training
 - performance appraisal
 - promotion
 - discipline
 - tribunal

- retirement benefits

3) Your answer should include the following points

- setting up of Administrative Tribunal
- introduction of voluntary retirement scheme
- establishment of Joint Consultative Machinery
- establishment of Advisory Council on Personnel Administration.

UNIT 15 RECRUITMENT (RESERVATION IN SERVICES)

Structure

- 15.0 Objectives
- 15.1 Introduction
- 15.2 Importance of Recruitment
- 15.3 Meaning of Recruitment
- 15.4 Process of Recruitment
- 15.5 Types/Methods of Recruitment
- 15.6 Merit System
- 15.7 Methods of Testing Merit
- 15.8 Essentials of a Good Recruitment System
- 15.9 Recruitment System in India
- 15.10 Need for Reservations
- 15.11 Constitutional Safeguards
- 15.12 Reservation of Posts in Public Services
- 15.13 Let Us Sum Up
- 15.14 Key Words
- 15.15 Some Useful Books
- 15.16 Answers to Check Your Progress Exercises

15.0 OBJECTIVES

After reading this unit, you should be able to:

- explain the meaning and importance of recruitment in the personnel administration
- highlight different steps in the process of recruitment and throw light on the different types of recruitment
- describe the origin and importance of 'merit system' in recruitment and the various methods followed for testing the merit and suitability of the candidates
- discuss the Indian system of recruitment of civil servants and its limitations; and
- examine the need and provisions relating to reservation for scheduled castes and scheduled tribes etc., in the civil services in India.

15.1 INTRODUCTION

We all know that the manifold functions of modern governments are carried out jointly by the ministers and civil servants. Civil servants are the full-time, paid, permanent, professional servants of the State. They are taken in the service of the State by a process which is called the process of recruitment. The quality and efficiency of the civil service depends upon the policy of recruitment. If the recruitment policy is good, then the country will have better and efficient civil servants and then naturally the administration will be successful. But if the recruitment is neglected, then the administration will fail and the civilised life may collapse. We can, therefore, say that 'recruitment' is considered as the most important aspect of personnel administration in all the countries. If undeserving and inefficient persons are recruited in the services, no amount of training can improve the country's administration. In the present conditions, due to the scientific and technological progress many new problems have come up before the administration. In order to solve these problems, able and meritorious persons are needed in administration. Old methods of recruitment have now totally changed and today, almost all the countries have accepted the 'merit system' for the recruitment of civil servants. Recruitment system of a country depends, to a great extent, upon the constitutional provisions and socio-political policy of that country. In this unit we will discuss the importance, meaning, types and process of recruitment. The merit system of recruitment will be highlighted. We will also examine the Indian recruitment system and the policy of reservation in the civil services.

15.2 IMPORTANCE OF RECRUITMENT

Recruitment is the most important process in the administrative system. The tone and calibre of the civil servants is decided by the process of recruitment. The usefulness and relevance of the government and administration to the society depends upon a sound system of recruitment. If the recruitment policy is faulty and wrong, the dull, incompetent and inefficient persons will get into the civil services which will make administration permanently weak and inefficient. Even best policies of training and promotion cannot improve the capacity and efficiency of faultily recruited persons and make them bright and efficient. It is, therefore, necessary that the recruitment policy should be sound and it should be implemented impartially and efficiently.

Recruitment is the entry point of the persons in the civil services. It is the key to a strong public service. According to Stahl, recruitment is "the corner stone of the whole public personnel structure". In the modern times, due to technological progress, administration has become more and more complicated and complex. It requires the best, the talented and the most efficient persons to run the administration. Moreover civil service has become the most important career service in the present times. No element of the career service is more important than the recruitment policy.

Need of sound recruitment policy was realised in ancient India and China, where principles of merit system and competitive examinations were adopted. In modern times almost all the countries have adopted the merit system for the recruitment of public servants.

15.3 MEANING OF RECRUITMENT

The term 'recruitment' does not have a precise meaning. According to some writers like L.D. White, meaning of the term 'recruitment' is limited to attract the suitable and proper candidate for the post to be filled up. Some other writers think that recruitment is the entire process of filling up the vacant posts, beginning from advertisement to the appointment and placement of a selected persons in the vacant post. In the words of J.D. Kingsley, "Public recruitment may be defined as that process through which suitable candidates are induced to compete for appointments to the public service"

We can, thus, say that recruitment is an integral part of the wider process of 'selection', which includes the process of examinations, interviews and certification etc. The entire process of filling up the vacancies in the government services seem to be wider than recruitment. Recruitment is, however, commonly understood as the process by which persons are taken in the services to fill up the vacant posts.

Recruitment is a common activity both in the private and public administration. However, we should remember that in public administration, recruitment policy is determined by the constitutional requirements and political outlook. No such limitations are there in the case of private administration.

15.4 PROCESS OF RECRUITMENT

The process of recruitment, normally, consists of a number of steps which may be briefly stated as:

- 1) Requisitioning of the jobs/posts,
- 2) Determining the conditions and qualifications and other aspects of recruitment policy,
- 3) Designing of the application forms,
- 4) Advertisement of the posts/examinations etc.,
- 5) Scrutiny of applications,
- 6) Holding of examinations, interviews, other tests etc.,
- 7) Certification,
- 8) Selection,
- 9) Appointment, and
- 10) Placement.

Requisitioning of the Jobs/Posts

The process of recruitment in the government begins with asking the various government departments and agencies about their requirements of personnel. How many persons are required? How many posts are to be filled up by direct appointment? How many posts are to be filled up by promotions? All this information is collected by the recruiting authority before the beginning of the process of recruitment. Different vacant posts are classified and total final requirements are estimated. At the same time, requirements of the different vacant posts are also considered for determining the qualifications, experience etc., required for the posts.

Determining Qualifications, Conditions and Requirements

The second step after the requisition of jobs is to determine the required qualifications, and other conditions for announcement in the newspapers, bulletins and other methods. The decision regarding the minimum educational qualifications, previous experience, age limit, residence, nationality, physical fitness etc. are taken at this stage. The constitutional provisions and government's policies relating to recruitment are considered before finalising these matters.

Designing the Application Form

At this stage, it is necessary to design a suitable application form, which will be given to the applicants for different posts or vacancies. The application form should contain the columns which will give all the relevant information about the applicant's age, educational qualifications, residence, nationality, experience, physical and family background, religion, caste etc. Different application forms are designed for different posts or examinations or for different services.

Advertisement

After determining the qualifications, other conditions and requirements etc. the next stage is to announce the post/examinations in the newspapers and bulletins or in radio and television etc. All the information necessary to attract and induce the maximum number of competent applicants to apply for the competitive examination is given in the advertisement. Application forms are supplied, within a specified date, to all those who want to apply. Sometimes the 'proforma' of the application form itself is printed in the newspapers and the candidates are asked to apply on their own.

In order to attract more and more suitable candidates, many times the 'advertisement' is repeatedly printed, broadcasted or telecasted. The recruiting agency may publish their own periodicals for the benefit of the prospective candidates e.g. the Government of India publishes 'Employment News' every week. Sometimes a specific day of every week is reserved for this type of advertisement by the Government's recruiting agencies e.g. UPSC. Advertisements are published in all newspapers on every Saturday of the week. Advertisement is thus an important step in the process of recruitment.

Scrutiny of the Applications

The applications, in the prescribed proforma are received within an announced date, time and the applications are scrutinised. All those who do not fulfil the minimum prescribed requirements/qualifications or conditions of application, are rejected at this stage and informed accordingly, whenever possible.

Those candidates, who possess the minimum qualifications required for being eligible to take the competition, are given information about their selection, interview or examination schedule. If necessary, 'call letters' for interviews or 'hall tickets' for the examination giving necessary details, about the date, time, place of examination/interview etc. are sent to the eligible candidates. At this stage many of the incompetent and unqualified applicants are eliminated from the process of recruitment. However, it should be noted here that scrutiny of the application forms should be done very carefully by the competent authorities, so that no injustice is done to a qualified candidate.

Holding of Examination/Interview/Tests etc.

In order to select the most suitable and competent candidates it is necessary to test their ability or 'merit'. This can be done by conducting examination or interview or other type of tests. Examination is the formal process of testing the merit of a person. Through examination we can test (a) the qualification of a candidate, (b) determine the rank or position of a candidate, (c) determine the order of merit of the candidates or (d) establish a list or register of eligible candidates. Examination or interview are

conducted for one of the above mentioned purposes. The scheme of examination is decided according to the job requirements and government's policy. The pattern of examination therefore, depends on different types of examinations like qualifying and main examination, general studies or technical examination, objective type or essay type examination etc. A list of successful candidates is prepared at the end of the examinations.

Similar procedure is also followed in case of interviews or other type of tests. Then a final list of successful or qualified candidates is prepared.

Certification

After conducting the examination, interviews or other type of tests etc., the names or roll number of the successful candidates are declared in the newspapers or on the notice board. A list of successful and hence, eligible candidates, is prepared and it is certified by the personnel agency like the Public Service Commission. This list of certified candidates is sent to the Government with the recommendation that the candidates may be selected and appointed from this final list of certified candidates only. This is the final work of personnel agency like the Public Service Commission. Normally the Government makes the selection and appointment of the qualified candidates from this certified list only. But in exceptional cases, only because of some very concrete reasons, a candidate may be rejected from this list by the Government. But in such a case it has to give an explanation in the Parliament.

Selection

Selection is an activity of choosing from among those candidates who are eligible, qualified and available. Although the eligibility of a candidate is tested through examinations/interviews and eligible candidates are certified by the personnel agency like the Public Service Commission, the final act of selection is the responsibility of the government. Even if a list of eligible and certified candidates is sent by the personnel agency, it is ultimately the government which has the power to select or reject a candidate. The normal practice is to select the candidates from this list only. But if the government finds that a particular candidate has an objectionable past record, or had been involved in violent, anti-national or criminal kind of activities then it has the power to reject appointment to such a candidate. For this purpose police records are verified and secret enquiry about the candidate and his character is conducted in many countries. If the government is satisfied then only the candidates are selected for appointment.

In democratic countries like India, the government normally makes appointments out of the certified list of candidates recommended by the Public Service Commission. However, due to some reasons, if a candidate is rejected, the government has to give a reasonable and satisfactory reason for it, in the Parliament. Because in democracy the Government has to be ultimately responsible and responsive to the people.

Appointment

After selecting the suitable and qualified candidates, the formal appointment is done by the government. It should be noted that in all the countries appointments are done by a 'competent executive authority' and not by the personnel agency like the Public Service Commission. The constitutional and legal system of a country determines as to who should have the powers to make appointments. The formal appointment letters are issued by or in the name of the legally recognised 'appointing authority' only. For example in India, all appointments in the Central Government are done in the name of the President of India, whereas all appointments in the State Governments are done in the name of the Governors of the States.

Appointment letter issued by the Government are of different types like:

- a) Permanent Appointment
- b) Temporary Appointment
- c) Provisional Appointment
- d) Appointment on Probation
- e) Appointment for indefinite term.

Initially no candidate is given permanent appointment letter. Normally a selected candidate is appointed on 'probation'. The probation period may range from 6 months to 1 year or upto 2 years. During the probationary period a person is considered to be in 'Temporary service'. During the probationary period a candidate

is posted in different positions and his/her performance is evaluated by the immediate superior authorities and the relevant reports are submitted to the 'appointing authority'. After the successful completion of the probationary period a candidate is given 'confirmation' in the service and then this appointment is considered to be permanent. After this he is posted on a permanent government post.

Placement or Posting

After the successful completion of the 'probationary period', service of a candidate is 'confirmed' and he is placed or posted in a right place. This is called as placement or posting. He is given charge of some specific nature of work associated with that post. He is given a chance to work on that post for a few years, so that he can learn from his experience. In some cases, before a person is posted, some kind of pre-entry or orientation training regarding the particular work assigned to him, is given. But in many other cases he is posted and allowed to learn while doing his work.

Check Your Progress 1

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

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

1) What is the importance of recruitment in Personnel Administration?

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) What are the important steps in the process of recruitment?

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15.5 TYPES/METHODS OF RECRUITMENT

There are different kinds or methods of recruitment followed in different countries of the world. They are:

- 1) Direct Recruitment or Indirect Recruitment
- 2) Positive or Negative Recruitment
- 3) Mass Recruitment or Individual Recruitment

Let us understand these different kinds of recruitment one by one.

Direct and Indirect Recruitment

There are two methods of Recruitment — Recruitment from within i.e. by promotion and recruitment from without means from the outside available sources of supply. When the vacant posts in the government are filled up by the suitable and qualified candidates available in the open market then it is called as Direct Recruitment. But when the vacant posts are filled up by the suitable and experienced candidates who are already in the service of the Government then it is called as Indirect Recruitment by promotion. Both the methods of recruitment have some advantages and disadvantages. But in all the countries of the world both direct and indirect methods are adopted for the recruitment of the Civil Servants. Posts at the lower levels are normally filled up by direct recruitment and posts at the higher level are filled up by promotion i.e. by indirect recruitment. A judicious and practical combination of both types of recruitment is adopted in different countries according to their political and administrative policies.

Advantages of direct recruitment on the basis of merit principle and disadvantages of indirect recruitment by promotion

**Direct Recruitment
(on Merit Principle)**

Advantages

- 1) It gives opportunity to all qualified persons. It is, therefore, a democratic principle
- 2) The source of supply is wider
- 3) Young and better qualified people enter the civil services.
- 4) New ideas and changing technical, administration and socio-political conditions are reflected in the services.
- 5) Service can keep pace with the changing conditions and techniques.
- 6) Employees will work hard to improve their qualifications.

Disadvantages

- 1) Inexperienced young persons are recruited to responsible positions. They do not have the confidence and skill in the discharge of their duties, at least in the beginning.
- 2) Training becomes very necessary for the inexperienced young persons appointed by direct method of recruitment.
- 3) Curbs the chances of progress for those who are already in the services of the government.
- 4) Employees do not work efficiently and loyally, if they have no chance of promotion for them.
- 5) This method increases the burden of the Public Service Commission.
- 6) Employees will go to other prosperous services if there are no future chances — Competent and able persons will migrate to other employments.
- 7) Employee's experience, hard work and efficiency is totally neglected.

**Indirect Recruitment
(by Promotion)**

Disadvantages

- 1) It gives opportunity to only limited persons, who are already in service. It is undemocratic.
- 2) The source of supply is narrow and restricted.
- 3) Young and competent persons are denied the chance to enter the services.
- 4) There is a fear of stagnation and conservatism in this as new ideas are not inducted.
- 5) Civil services cannot keep pace with the rapidly changing world.
- 6) Employees will wait for the opportunities for promotion.

Advantages

- 1) Persons appointed have the necessary experience of administration and government work. They discharge their duties with responsibility and confidence.
- 2) Prolonged training is not necessary for the persons recruited by this method.
- 3) It provides ample opportunity for employees for progress and advancement in the service.
- 4) It encourages employees to work hard for promotion. They continue to work efficiently and loyally.
- 5) This method reduces the burden of the Public Service Commission to a great extent.
- 6) If there are chances of promotion, employees will continue in the service and civil services become attractive for the competent persons.
- 7) Hard work, efficiency and experience of the employees is utilised for the good of the country.

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| <p>8) Examinations, interviews and other methods of merit testing are not foolproof and faultless methods of testing the ability and qualities of the applicants. The direct recruitment is less reliable method.</p> <p>9) Direct method of recruitment is time-consuming and costly.</p> <p>10) If all top positions are filled up by direct recruitment, then the Government service cannot become an attractive career service. Young persons will become the higher 'bosses' of the old aged and experienced persons.</p> | <p>8) Work on the desk and experience of work really reveals the qualities and ability of the persons. Indirect recruitment therefore is more reliable method.</p> <p>9) Indirect method is less time-consuming and less costly.</p> <p>10) Promotions are essential aspect of 'career-service'. Civil service is taken up in the prime youth with expectations of advancement and pursued until retirement. Without chances of promotion career service cannot exist.</p> |
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After studying the merits and demerits of the two types of recruitment, we can conclude that each system has some positive and negative aspects. In the process of appointment of government servants no one system can be adopted exclusively. A good recruitment policy should combine the two methods to achieve the best results. In almost all countries, including India, both direct and indirect methods of recruitment are followed by the government.

Positive and Negative Recruitment

When the recruiting agency actively searches the best qualified and most competent candidates for appointment in the government service, it is called as positive method of recruitment. On the contrary negative method of recruitment aims at keeping the unqualified and unfit candidates out without adopting any active role in attracting the best candidates. At present in most of the countries, the positive methods like newspaper advertisements, propaganda, literature, cinema slides etc. are adopted to attract the best men and women to come forward. At the same time when the number of applicants is much more than the available vacancies, then negative method of eliminating the unqualified and less competent persons are adopted.

Mass or Individual Recruitment

When a large number of non-technical unspecialised posts of general nature are to be filled up, then mass recruitment techniques are adopted. Advertisement in mass media of communication, a large number of applications, cumbersome procedure of examination and interviews etc. have to be adopted to fill up large number of vacant posts in the government. But when particular posts requiring specialised knowledge, skill or technical know-how and experience, are to be filled up then individual recruitment method is possible and desirable. In such cases the number of posts to be filled up is very small. Both these methods are used by the Public Service Commissions in India.

15.6 MERIT SYSTEM

All the democratic countries of the world have now adopted the Merit System of recruitment. The vacant posts in the government services are filled up by selecting the most suitable and qualified persons on the basis of the principle of merit tested through open competition. The aim of open competition is to judge the merit, qualifications and competence of the candidates. This is mostly done through written examinations, oral tests, interviews, performance tests, verification of past records and experience etc.

Although it is believed that in ancient China and India, selection of the officials was made by merit principle the modern merit system, however, is of comparatively

recent origin. It was first introduced in India in the year 1854 and in Britain in the year 1855. In the USA the merit system was for the first time introduced by the Pendleton Act of 1883 when a disappointed job-seeker assassinated President Garfield.

Before the merit system was adopted the following three main systems were existing in different countries of the world.

- 1) Sale of Offices
- 2) Patronage System
- 3) Spoils System

In the pre-revolutionary France, the vacant posts were sold by public auction to the highest bidder. This brought revenue to the state, enabled the rich people to acquire the government posts and freed the government from patronage, favouritism and political interference.

Patronage system was followed in Britain and many other countries. Under it the appointments in the government were made by the appointing authority by selecting or choosing the candidates whom it wanted to favour on personal or political grounds. Family and kinship, relations, personal loyalty, political links and all kinds of favouritism and nepotism were involved in the patronage system of recruitment. This system continued in Europe and India almost until the second half of the nineteenth century.

Spoils system was followed in the USA, where appointments in the government were considered as the spoils for the party winning the elections. When a new party came to power it used to dismiss all the government servants appointed by the earlier government. Then it filled up all the vacancies, right from a secretary to a postman, with its own supporters. The permanent civil service was, therefore, not existing in America. Political supporters having sympathy and loyalty to the ruling party or those having personal loyalty to the newly elected President, were appointed as government servants. This system continued for more than a century till the Pendleton Act 1883 was passed and merit system was introduced in the USA.

Because of the growth of democratic sentiments and increasing complexity of the administration the above mentioned methods of recruitment became outdated and the system of recruitment on the basis of ability and merit has now been accepted by almost all the democratic countries of the world. The patronage or spoils system is nowhere followed now. On the contrary merit system has become universally accepted method of recruitment in the present times.

15.7 METHODS OF TESTING MERIT

We have seen that in most countries the appointments of the civil servants are made on the basis of merit and ability. The questions, therefore, arise as to who should test the merit and what methods of testing and determining merit should be adopted?

It is accepted in all the countries that the administration of recruitment by merit principle should be entrusted to a central, impartial, non-political and independent Personnel Agency, like the Public Service Commission or Civil Service Commission. The merit and ability of the candidates is tested by such Central personnel agencies appointed by the government.

The merit of the candidates is normally tested by adopting any one or the combination of the following methods:

- 1) Written examination
- 2) Oral test/Interview
- 3) Performance Test
- 4) Evaluation of qualifications, experience and past record of work
- 5) Physical test
- 6) Psychological test.

Written Examination

Written examination is the most common method adopted for testing intelligence, memory, knowledge, imagination and capacity for logical presentation of information. Written tests are of two types:

- 1) Free answer or essay type

2) Short answer or objective type.

Essay type examinations are common in India. The question paper contains a few questions and the candidates have to write fairly long essay type answers in two to three hours. In this method the candidate is tested in regard to his/her general intellectual capacity, factual information, his power of expression, his memory, his calibre of logical analysis and his clarity of thought. But there is one difficulty about essay type examination system. Its assessment is difficult and subjective depending upon the calibre of the examiner. It is not objective.

The other type of examination is short answer or objective type. The question paper contains a large number of questions requiring short answers to be given within a prescribed time. Candidate is asked to indicate whether a given statement is true or false, to point out 'correct' answer out of the given series of answers, to fill up the blanks with correct words, to match the different statements correctly. The candidate is not required to write long answers, but to tick mark on the question-sheet itself. This type of objective written examination is useful in testing the candidate's factual information and correct knowledge and at the same time his capacity of quick judgement and memory also. Making and assessment of such type of objective tests are objective and leaves no room for the examiner's subjective judgement. It is cheap, reliable and fair method of testing the ability and capacity of a large number of candidates.

Both these types of written examinations are followed in different countries. At higher levels where knowledge, expression and logical thinking is necessary essay type of examinations are preferred. At lower levels where the number of candidates is very large, objective type examinations are preferred. Sometimes written examinations are designed to test the general knowledge, ability and intellectual calibre of the candidates. In India and Britain, written examinations are held in some compulsory general papers like General knowledge, and General English etc. At the same time candidates are also examined in some optional academic papers of their choice, mostly drawn from the curricula of the colleges or University system. The philosophy behind this type of written examination is that intellectual capacity is more important than specialised knowledge, in administration. It is believed that an intelligent, and sharp person is useful for all kinds of administrative functions.

This philosophy is not accepted in countries like the USA and France. There written examinations are designed to test the candidate's knowledge of the specific subjects related to particular needs of different services or posts. For example for appointment in Police Department his knowledge of law, criminology and geography and for recruitment in Finance Department, his knowledge of finance, accountancy, economics etc. are tested through written examination. Therefore, in these countries, the common combined competitive examinations (like India) are not possible. Separate examinations have to be held for different services.

Oral Test/Interview

Written examinations cannot reveal the personality and personal qualities of the candidates. In order to be a successful administrator, a person requires certain qualities like patience, initiative, presence of mind, alertness, power of decision-making, drive, clarity and leadership qualities. These qualities cannot be tested by written examination. Therefore, oral test is necessary to correct the weaknesses and shortcomings of written examination.

Oral tests or interviews are of different types. For example oral test taken in the Universities is just a conversation between the candidate and his examiner this is called as viva voce test. The interviews taken for recruitment in the administrative service are intended to assess the total personality of the candidate and supplement the results of the written examination. Such interviews are called as personality tests. Sometimes interviews are taken to eliminate the unfit candidates. Such interviews are taken before the written examination. For specialised posts candidates are interviewed by experts in that field and his expertise, skill and knowledge is tested. Simultaneously the experience and past records of his work is also verified.

All the above mentioned interviews are held to assess the personality, personal qualities and suitability of the individual candidates for the job. This is simply impossible through the system of written examinations. In recent times group tests are also becoming common. In many countries group discussions, group meetings and

group behaviour tests are organised to test candidates' personality and personal qualities like behaviour, quickness, adaptability, leadership qualities, confidence, initiative, etc.

Performance Test

There are some jobs which require skilled and trained persons in particular trade, craft or work. For example mechanics, drivers, stenographers, typists, electricians etc. In the selection of candidates for these posts performance tests are taken. The candidates are asked to perform on the actual work to show how well they can do it. The performance test may be supplemented by written test to assess their knowledge of technical terms, tools and methods etc.

Evaluation of Past Record

There are many posts for which written examinations and/or interviews are not suitable. Specialist and technical posts in legal, medical, engineering, scientific and similar other services are filled up by assessing the qualification, experience and past record of the work of the candidates. The applicants, who fulfil the minimum required qualifications, are asked to produce their relevant documents regarding their qualifications, past experience and service record etc. A board of experts assesses these evidences produced by the candidates and makes selection after personally meeting and interviewing the candidates. This method is followed for the appointment of high level scientific, technical and specialised posts in the government service. University teachers are also recruited by this method.

Physical Test

It is necessary that the government servants must have good health. If they are not physically fit, they cannot give their best to the service. It is, therefore, almost compulsory that every person has to undergo a medical examination before joining the government service. Only after obtaining a certificate of physical fitness, a person is finally selected. Apart from this the physical tests are compulsory for recruitment in the police, armed forces, manual and field services etc.

Psychological Test

In recent times psychological test has been introduced in many countries. It is considered to be necessary to test intelligence, mental calibre and mental maturity of the candidates to be recruited in higher positions. Similarly, aptitude of the candidate is also tested by adopting modern psychological tests. Psychological test is only to supplement other types of tests. It is not a full-fledged and independent method of selection.

We can conclude that merit system of recruitment is common in all the countries. In this portion of our unit, we have studied different methods of testing merit like written examination, interviews, performance test, evaluation of past record of work, physical and psychological test etc. All these methods are made use for recruitment of suitable and able candidates in the Government Service. The ultimate purpose of all this is to get the best persons recruited to the service.

Check Your Progress 2

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

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

- 1) Discuss the different kinds or methods of recruitment followed in different countries.

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- 2) Explain the different methods of testing merit?

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15.8 ESSENTIALS OF A GOOD RECRUITMENT SYSTEM

So far we have studied various methods of recruitment followed in different countries. We know that recruitment is the most important step in personnel administration. If recruitment policy is not good then incompetent and unqualified persons will enter the civil services and they will spoil the administration of the country. It is, therefore, essential that the recruitment policy should be well planned and sound. It is also necessary to understand as to what are the essentials of a good recruitment policy. What makes a recruitment system good and sound? This is the question we are going to discuss in this section of our unit.

- 1) Recruitment policy must be positive. It must be planned to attract the best, most competent and qualified persons in the government service.
- 2) Recruitment policy must be democratic. It must be planned to provide opportunities to the maximum number of qualified and competent persons. All sources of supply should be given information about the vacancies in the government.
- 3) Recruitment policy must be attractive. It must permanently create a good employment market for the government service. Attractive literature and publicity techniques must be used to attract the best talented persons to join the government service. This flow should continue.
- 4) Recruitment policy must be impartial and non-political. First of all recruitment must be done by an independent, impartial and non-political recruiting agency like the Public Service Commission. There should be no interference from the government or politicians in recruitment of civil servants. Government should normally recruit only those candidates who are selected and recommended by the Public Service Commission.
- 5) Recruitment must be based on merit principle. Only able, capable and meritorious candidates must be recruited after testing the merit and abilities of the candidates.
- 6) Recruitment agency must adopt scientific and modern methods of testing merit. It is necessary that scientific and up-to-date methods written and oral tests must be used to test the ability and calibre of the candidates. From time to time these methods must be reviewed and new up-date methods must be adopted.
- 7) Recruitment Policy must have a good combination of direct and indirect systems — able and capable candidates who are already in the service must be given promotions and recruited to higher posts. At the same time, fresh, new, talented young persons must be recruited directly. Both systems have to be combined to make a good recruitment policy and achieve best results.
- 8) Placement of right person to the right job. After the selection process is over, the candidates must be given placement in such a way that right person is appointed to the right job, that is the job which is suitable to him and takes into consideration his qualifications and capabilities.

15.9 RECRUITMENT SYSTEM IN INDIA

There are the following services in India

- 1) All-India Services (like I.A.S., I.P.S., I.F.S.)
- 2) Central Services
- 3) State Services

Our recruitment system is based on British model. It is based on testing the general ability and intelligence of the candidates by the merit system employing open competition method. In the Indian Constitution the work of recruitment to the

All-India Services and Central Services is entrusted to the Union Public Service Commission. The final recruiting authority has been given to the President. In case of State Services, the work of recruitment is entrusted to the State Public Service Commission and the final recruiting authority is given to the Governor of the respective state.

For the All-India Services and higher Central Services, the UPSC conducts combined competitive examinations. A systematic combination of written examination and oral test is employed for recruitment. For higher levels only graduates are allowed to appear for competitive examinations. Presently, the UPSC takes combined civil service examinations common for the All-India Services (I.A.S., I.P.S., I.F.S., etc.) and higher Central Services. Following stages are followed in this scheme of UPSC examinations:

1) Qualifying Preliminary Examination (Objective)

This preliminary examination consists of two papers — one paper is General Studies and one paper is optional subject chosen by the candidate. Both papers are objective type. Only those who qualify in the preliminary examination are allowed to appear in the main examination:

General Studies	— 150 marks
Optional Paper	— 300 marks

2) Main Examination — (Written and Oral)

The main examination consists of two parts — The written examination and the interview. Written examination consists of eight papers. Each paper carries 300 marks and all the papers are essay type.

1.	One Indian Language	— 300 marks
2.	English	— 300 marks
3 & 4.	General Studies (2 papers)	— 600 marks
5 & 6.	First Optional (2 papers)	— 600 marks
7 & 8.	Second Optional (2 papers)	— 600 marks

(written)

2400 marks

Question papers are set in English and Hindi and the answer can be written in any one of the languages.

Those who qualify in the written examination are called for an interview (of 250 marks) conducted by the UPSC. The marks obtained in the written and oral tests are added and merit list is prepared on that basis. The list is sent to the Ministry of Home Affairs for allocation, appointment and final placement.

Selection for the Central Services Class III and Class IV is entrusted to a different agency called as Staff Selection Commission. This Commission conducts competitive examinations for selection of persons for clerical, secretarial and typing positions in the Central Government.

State Public Service Commissions are there in all the states and they follow the similar methods in recruitment of Higher State Civil Services. For Class III and IV categories of State Services many states have also appointed State Staff Selection Boards or Regional Selection Boards.

Railways, Audit and Accounts Department, Industrial establishments and Public Sector Undertakings have their own recruitment arrangements in India. They are kept out of the above mentioned centralised recruitment scheme under the UPSC.

15.10 NEED FOR RESERVATIONS

In India, certain communities, like, the scheduled castes, scheduled tribes, low ranking castes and sub-castes were subjected to constant deprivation. The centuries of exclusion, humiliation, poverty, persecution, oppression, and all sorts of exploitation have left a scar on the history of India and a terrible mark on those communities and castes. The history has pushed them to permanent disadvantage and left them

to those people was felt justified on the premise of past discrimination and future advancement. Such preferential treatment is expected to overcome the frozen inequalities and effects of the past injustice. It is viewed that preferential treatment is nothing but egalitarianism and social justice.

15.11 CONSTITUTIONAL SAFEGUARDS

The Constitution of India guarantees equality of opportunity for all the matters of public employment. At the same time Article 16, Clause 4, of the Constitution allows that the State can reserve seats or posts for any backward class of citizens which, in the opinion of the State deserves it. Article 335 of the Constitution empowers the State to give special consideration to the depressed and backward sections of the society. It should be made clear that the term 'backward' was not defined in the Constitution. There is no fixation of percentage of jobs in the Constitution, for these backward communities. Beginning with reservation of posts in public services, ameliorative measures include reservation of seats in legislative and other representative bodies, preferential treatment in admission to educational institutions and incentives for their economic advancement. Thus we have the phenomenon of reservation in three spheres, reservation in legislature, reservation in educational institutions and reservation in government services.

The first reservation has been provided in the Constitution itself, while the second in creation of the Parliament and the third has emanated purely from an executive body concerned with the representation of scheduled castes and scheduled tribes in services. These reservations or special privileges were initially granted for a period of ten years only. They were extended subsequently from 1960 to 1970, 1970-1980, 1980-1990 and 1990 to 2000.

15.12 RESERVATION OF POSTS IN PUBLIC SERVICES

Reservation of jobs in government on caste and community basis is not new in India. A number of representations and agitations were made by a number of people particularly the non-Brahmin communities and castes for the adequate representation for all castes of people in the government employment. The Montague-Chelmsford Reforms in 1919 provided certain special representation for non-Brahmin classes. The Reforms encouraged the organisation of the less privileged classes to demand the removal of unequal representation in the Public Services. The Government of India in 1925, initiated action to reserve certain percentage of posts in government to the minority communities. In 1934, an order was issued to reserve 25% of all vacancies to be filled by direct recruitment to Muslims, and 8.75 per cent to other minority communities. In 1943, the Government also reserved 8.5 per cent of vacancies for the scheduled castes and raised it to 12.5 per cent in 1946 to correspond to the proportion of their population to the total population of the country. Thus, the importance of representative bureaucracy in Public Services was realised in view of socio and economic inequalities in India. However, the tribals are not provided with any reservation by the British Government. The claims of tribals for reservation of posts was only recognised by the Independent India.

The Government of India, after Independence reviewed the whole reservation policy and has withdrawn the reservations to the competitive posts for communities other than scheduled castes. In 1951 the Constitution was amended to empower (Article 15 (4)) the State to make a special provision for the development of socially and educationally backward class of citizens which in the opinion of State is not adequately represented in the services under the State. However, the Constitution has not prescribed the extent of reservation.

The reservations in the services are made for the scheduled castes and scheduled tribes by the Government of India and also by the State Governments. Rules and regulations are framed for implementation of the reservation policy. Originally 12 1/4% was reserved for the SCs. and STs. It was raised to 15% in 1970. At present government has reserved 15 per cent of the jobs for the scheduled castes and 7.5 per cent for the scheduled tribes.

Check Your Progress 3

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

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

1) What are the essentials of a good recruitment system?

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2) Why are reservations necessary in India?

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15.13 LET US SUM UP

Recruitment is the first and the most important step in personnel administration. If recruitment policy is faulty, the administration will fail, because unqualified, incompetent and inefficient persons will enter the civil services. In this unit, we have examined the importance, meaning, process and methods of recruitment. We have also studied the merit system and various methods of determining the merit. The Indian system of recruitment and the reservation policy has also been examined in this unit. In the next unit we will examine the process of promotion as a method of indirect recruitment.

15.14 KEY WORDS

Egalitarianism : principle of advocating equal rights for all.

Patronage system of recruitment : this type of system is also called spoils system.

Patronage in this is seen as a means of political control, the proteges of the ministers or the elected functionaries are nominated to the civil service. The public jobs are distributed as personal or political favours to their supporters. The system prevailed in Britain and the USA.

15.15 SOME USEFUL BOOKS

Avasthi, A and Maheshwari S.R., 1982. *Public Administration*, Laxmi Narayan: Agra.

Bhattacharya, Mohit, 1987. *Public Administration*, World Press: Calcutta.

Sharan, P., 1981. *Modern Public Administration*, Meenakshi Prakashan: New Delhi.

Sharma, M.P., 1988. *Public Administration in Theory and Practice*, Kitab Mahal, Allahabad.

15.16 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- recruitment is the most important process in the administrative system.
- the tone and calibre of the civil servant is decided by the process of recruitment.

- usefulness and relevance of the government and administration to the society, depends upon a sound system of recruitment.
- recruitment is the entry point of the persons in the civil services.
- it is the key to a strong public service.
- no element of the career service is more important than the recruitment policy.

2) Your answer must include the following points:

- requisitioning of the jobs/posts.
- determining qualifications, conditions and requirements.
- designing of the application forms.
- advertisement of the posts.
- scrutiny of applications.
- holding of Examination/Interview/Test etc.

Check Your Progress 2

1) Your answer should include the following points:

- direct recruitment or indirect Recruitment
- positive or negative Recruitment
- mass Recruitment or individual Recruitment

2) Your answer should include the following points:

- written examination
- oral Test/Interview
- performance test
- evaluation of qualifications, experience and past record of work
- physical test
- psychological test.

Check Your Progress 3

1) Your answer should include the following points:

- recruitment policy must be positive.
- it must be planned to attract the best, most competent and qualified persons.
- must be democratic, it must give opportunity to the maximum number of qualified and competent persons.
- must be attractive, impartial and non-political.
- must be based on merit principle.
- recruitment agency must adopt scientific and modern methods of testing merit.
- must have a combination of direct and indirect system of recruitment.
- placement of right person to the right job.

2) Your answer should include the following points:

- scheduled castes, scheduled tribes, low ranking castes and sub-castes were subjected to almost a constant deprivation.
- the centuries of exclusion, limitation, poverty, persecution, oppression and all sorts of exploitation have left a scar on the history of India.
- the history has pushed them to permanent disadvantage and left them economically, educationally and socially backward.
- preferential treatment to those people was felt justified on the premise of past discrimination and future advancement.
- such preferential treatment is expected to overcome the frozen inequalities and effects of the past injustice.
- it is viewed that preferential treatment is nothing but egalitarianism and social justice.

UNIT 16 PROMOTION

Structure

- 16.0 Objectives
- 16.1 Introduction
- 16.2 Importance of Promotion
- 16.3 Meaning of Promotion
- 16.4 Need of Promotion in Civil Services
- 16.5 Types of Promotion
- 16.6 Principles of Promotion
- 16.7 Methods of Testing Merit for Promotion
- 16.8 Essentials of a Good Promotion Policy
- 16.9 Promotion System in India
- 16.10 Let Us Sum Up
- 16.11 Key Words
- 16.12 Some Useful Books
- 16.13 Answers to Check Your Progress Exercises

16.0 OBJECTIVES

After studying this unit, you should be able to:

- describe the meaning, importance and need of promotion in personnel administration;
- discuss the types, methods and principles of promotion like merit principle, seniority principle;
- explain the essential elements of a sound promotion policy; and
- highlight the promotion system as followed in India in the past and at present.

16.1 INTRODUCTION

The vacant posts in the government services can be filled up directly by recruitment from outside and also indirectly by giving promotion to those persons who are already in the government service. This indirect method is called 'promotion system'. In all the countries, both the direct and indirect methods are followed. In India also promotion is considered as an integral part of the career service. The two important principles that are followed in making promotion are the principle of Merit and the principle of Seniority. Both of these have some positive as well as negative aspects. The best way is to combine the merit principle with seniority and make promotions on the basis of merit-cum-seniority.

In India promotions were given to the government employees right from the days of East India Company. Seniority was considered to be more important in the beginning but later on merit system was also accepted. Today also seniority-cum-merit principle is followed in the country.

16.2 IMPORTANCE OF PROMOTION

For a government servant promotion is a reward for his/her faithful and hard work. If there are no chances of promotion for a servant, he will not work hard. He will search for a better job outside and leave the place where he is employed as early as possible. For many servants the government service is a life long service. They enter this service when they are very young and continue to work till retirement. They are retained in the services by making provisions for promotion. Civil service cannot be called as a career service without promotions. Without promotions we cannot attract the best talents to join the government service; we cannot retain the most talented and potential persons in the service; and we cannot get the best from them for the service and for the nation. It is clear that without promotions, we cannot have efficient, competent and satisfied civil servants in the country. Promotion satisfies a natural human urge to make progress and advancement in life. It gives great moral boost to the employees of the government.

16.3 MEANING OF PROMOTION

Meaning of promotion can be understood from two angles. For the Government, promotion is a system of indirect recruitment i.e., filling up the higher posts by selecting able and competent persons from those, who are already in the service. For the government servant, promotion is an advancement from a lower post, class or service to a higher post, class or service involving higher duties, responsibilities and authority. It also means elevation in the status and increase in the salary for the employee. Mere increase in salary is not promotion. Going up or advancement in rank, status, duties, power, responsibilities and also increase in salary is referred as promotion in the civil service.

Promotion changes the rank, status, designation and salary of an employee. When a Junior Assistant becomes a Senior Assistant, a Deputy Secretary becomes a Secretary, a Class II servant becomes a Class I servant than it is called as promotion. Promotion may mean change in the grade, i.e., from a lower grade to a higher grade in the same class. Promotion may be from lower class to higher class i.e., from Class II to Class I. Promotion may also be from one service to another higher service i.e., from State Services to All India Services. It is thus clear that promotion may be from lower class to higher class, lower service to higher service.

It should be remembered that transfer from one post to another post of the same status or responsibility is not promotion. Similarly annual increment i.e. annual increase in the same salary scale is also not promotion. Promotion means change of status as well as pay-scale.

16.4 NEED OF PROMOTION IN CIVIL SERVICES

Civil Service is a career service. A person who joins the civil service spends his life time in it. He makes progress and advances up in the service with the passage of time. From his recruitment as a young person till his retirement as an old person, it is the chances of promotion which keeps him in the service. Promotion is thus, an integral part of the career service. A proper scheme of promotions can only make the civil service as an attractive career and attract the best talents to join it.

Promotions can also serve as rewards for the servants. Opportunity of promotion is a possible reward for hard work, efficiency and faithful service. Government servants will work hard to get possible promotions. This means that promotion chances increase the efficiency and contentment of the civil services.

Recruitment of best persons is the first and foremost important step in the personnel administration. But to retain the talented persons in the services is also equally important. By the device of promotion, it is possible to retain the best, talented and efficient persons in the civil services.

Human being is a growing creature. Everybody wants to make progress and advancement in life and seeks recognition from others. These basic human urges of advancement and recognition should be satisfied by the organisation, where he is working. Otherwise he will not be satisfied with his work and would like to change his job. This may cause problems for the civil services. These two basic human urges of recognition and advancement can be satisfied by the device of promotion.

A sound promotion system fosters the feeling of belongingness in the servants. It also contributes to maintaining a continuity in the policies and programmes of the organisation. Promotion system builds up sound traditions and conventions in the civil service and adds to the goodwill of the government.

If there are adequate chances of promotion to higher levels in the government service, then competent persons would be ready to join the services at lower levels also. This will increase the efficiency of administration.

With the passage of time in the government service, persons acquire up-to-date practical experience of work. Their continuity in the service makes them competent to shoulder higher responsibilities. This experience and competence acquired by the civil servants can be utilised by giving them chances of promotions to higher and more

responsible positions. The best use of manpower is possible only through a sound system of promotion.

As the servants grow older in age, their family responsibilities keep on increasing. They need more money. Promotions give them opportunity to satisfy their increasing material needs and give their best to the services. This also reduces the chances of the occurrence of malpractices and corruption in the services. The servants will not nurse grievances against the Government. They would render more efficient, honest and faithful service to the government. There would be greater discipline and higher morale among the civil servants.

16.5 TYPES OF PROMOTION

There are three types or categories of promotion:

- 1) Promotion from a lower grade to a higher grade in the same class, (i.e. from a Junior Assistant to a Senior Assistant or from a Junior Typist to a Senior Typist or Assistant Superintendent to Superintendent).
- 2) Promotion from a lower class to a higher class (i.e. from Class I to Class II, from clerical class to executive class).
- 3) Promotion from a lower service to a higher service (i.e. from State Service to All India Services, etc.).

Check Your Progress I

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

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

- 1) Explain the significance and meaning of promotion.

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- 2) Why is promotion necessary in the civil services?

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16.6 PRINCIPLES OF PROMOTION

The principles of promotion need to be established because, in any government service, the opportunities for promotions are limited. Only a limited number of higher posts fall vacant; sometimes or other and that too not at regular and frequent intervals. A large number of servants working at the lower levels wait for these few vacancies.

Everyone of them aspires to get promotion. But it is practically impossible to give promotions to all ambitious persons. In fact, only few of them are promoted to the higher positions and a large number of servants are denied the promotions. This is bad but unavoidable. Because the structure of administration is like a pyramid, the number of posts at the lower levels is large (level F in the Figure I). As we go up higher and higher, the number of posts are lesser and lesser (EDCB) and ultimately the pyramid ends at a single point (i.e. the Chief Executive or head of the

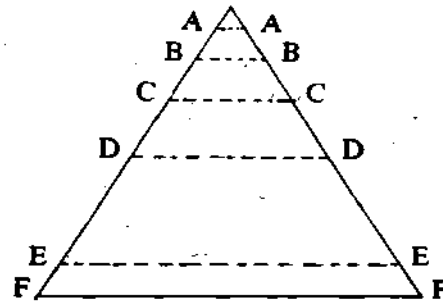


Figure 1 showing the pyramidal structure of Administration

Due to the above mentioned pyramid like structure of administration there is always an unavoidable conflict at the time of promotion. Those who are unsuccessful in getting promotion feel disappointed and lose interest in work. If the promotion is made *arbitrarily* then this adds to their indifference, inefficiency and insult. It is, therefore, necessary that promotions should be based on some well-defined and recognised principles.

Following are the principles of promotion, which are followed as alternatives or in combination.

- 1) Principle of Seniority
- 2) Merit Principle
- 3) Seniority-cum-Merit Principle

Seniority Principle: Seniority means length of service in a particular post or scale or grade. It is a very simple principle. The length of service or seniority is the sole basis in making promotions. According to it, one who has longer length of service must get the promotion. The seniormost person is eligible for promotion first. A seniority list can be prepared and order of **precedence** can be decided according to experience and age.

The principle of seniority is very simple to apply. It is most objective. It leaves no scope for favouritism or nepotism. It gives respect to age and experience. It is in accordance with the established practices in society. A younger person does not become a boss of the older and more experienced persons. It is more democratic because it gives a chance of promotion to everybody irrespective of merit. Everybody cannot become meritorious but everybody is bound to become senior with the passage of time. It is safe for every employee and, therefore, seniority principle is readily accepted by the staff as against the merit principle.

But principle of seniority has many drawbacks. Those who are senior are not necessarily fit for promotion. Mere length of service is not a criterion of fitness. Experience is gained by a person in the first few years of service, but afterwards his experience does not increase indefinitely with the length of service. It is said that ten years experience is nothing but one year's experience repeated ten times. Seniority and experience are, therefore, not a rational criteria. All persons in a grade are not fit for promotion. Promotions are few and, therefore, all persons cannot get promotions. Seniority does not necessarily coincide with age. A younger person who joined the service at an early age may be senior to a person who joined the service late in his life. Seniority principle does not ensure that only fittest person will be posted at higher posts. On the contrary inefficient and conservative persons may get promoted to higher post adversely affecting the over-all performance of the government services. Seniority principle is not rational and just. Hard work, efficiency and initiative of the energetic young persons is not rewarded. On the other hand, physically weak, aged and less energetic persons are promoted to higher positions where hard work, alertness and energy are required.

Principle of Merit: Principle of merit is contrary to the principle of seniority. This principle implies that the most meritorious, best qualified and most competent person must be selected for promotion to the higher post. In the civil service higher position means more powers and responsibilities and it requires more competent and hard working persons. Therefore, those who have merit and qualifications must be promoted to higher positions. Merit, therefore, must be the sole criterion for promotion. The principle of merit is accepted because able and competent persons only deserve promotions and incompetent persons should be left behind. At higher levels in administration only efficient, hard-working and meritorious persons are

required. The merit principle selects the most suitable person for promotion. Energy, initiative and hard work are rewarded by merit principle. This increases efficiency and competitive spirit in the administration. It motivates the employees at the lower levels to work hard and take interest in their work.

But merit principle of promotion is difficult to implement objectively. Merit is a complex concept. It includes intellectual attainment along with personality, capacity for leadership, strength of character, etc. It is not easy to measure the merit objectively. Merit principle of promotion excludes senior and experienced persons from the competitive chance of improvement. Experience, seniority and age is set aside by the merit principle. Older persons cannot compete in the written examination or interviews etc. against the younger persons. The administrative experience and skills attained by a person in the service with the passage of time, is totally neglected by the merit principle.

Practical Combination of Seniority and Merit Principles: We have seen that both the principles of seniority and of merit have some advantages as well as drawbacks. In practice, therefore, a third method is adopted where the seniority and merit principles are combined for making promotions. For example, a minimum length/years of service (seniority) is fixed and then the fittest and meritorious person amongst those who possess that minimum experience, is selected for promotion. This means the 'fittest amongst the seniors' is selected for promotions. Another way of combining these two principles is that the minimum qualification and competence is tested and then all other things being equal the seniormost of them is preferred for promotion. This means the "seniormost amongst the meritorious" persons is selected. It is observed that in most of the countries including India, the general pattern of promotion is based on the following lines :

- 1) Promotions to the higher posts are made on the basis of merit principle only.
- 2) Promotions to middle level posts are made on the basis of seniority-cum-merit principle.
- 3) Promotions to lower level posts, are made on the basis of seniority principle (but here also exceptional merit is rewarded).

16.7 METHODS OF TESTING MERIT FOR PROMOTION

We have seen that 'merit' is considered to be a more important element compared to 'experience' in making promotions in the government service. Now the question is how to test the merit essential for promotion to higher posts? In the last unit on Recruitment we have studied the methods of testing merit for direct recruitment in the civil service, like written examination, interview etc. Those methods are not applicable for testing the merit for promotions. It should be noted that here we have to test the merit of those persons, who are already in the service. They possess minimum educational qualifications required for recruitment in the service. They have already passed in the written and oral tests at the time of their recruitment. Now their merit is to be tested for promoting them to higher posts. This is more difficult and delicate.

Many employees, old and young, experienced and inexperienced, senior and junior working together for many years in the same grade and in the same organisation aspire to get promotion to the higher grade. The vacancies at the higher level are very few. Each of them thinks that he is most competent and fit for the higher post. In such a situation it is very difficult and delicate to test their merit for promotion to higher positions.

Normally the following three methods are employed for testing the merit for promotion:

- 1) Written and Oral Examination
- 2) Efficiency Rating
- 3) Personal Judgement of the Head of the Organisation.

Written and Oral Examination

In many countries written examination is taken for promotion. It is an objective

the authorities from the troublesome work of making judgement about individual employees. It keeps the employees up-to-date about the developments. It gives equal chance to everybody to aspire and compete for higher positions. It is good when the number of aspiring persons is very large or when the higher job requires specified knowledge. In many countries departmental examinations are taken. Everybody who wants a promotion, is required to pass the qualifying departmental examination. (It is common in the Banking Services in India.) Brilliant and hard-working employees get quick promotions by passing these examinations. The system of written examination for promotion has some drawbacks also. The employees neglect their routine administrative work because they are preoccupied with examinations. Faithful and devoted employees feel neglected. Older and experienced employees cannot study and memorise things for examinations. Less experienced younger employees who are fresh from their college, normally get more marks in written examinations compared to their experienced colleagues. Therefore, written examinations are not very popular for promotion among the experienced employees. Although these promotional examinations are competitive, but closed i.e. confined to those who are already in the service, they result in a lot of jealousy and heart-burning amongst the competent competitors.

In order to avoid the drawbacks of the system of written examination, in many countries, oral test or interviews are taken after the candidates pass the written examination. Candidate's overall personality, attitudes and manners etc. are judged through the interviews. His past experience and record is also assessed at the time of interview. Whether a person is fit to be appointed to a higher position and whether his personality is suitable for the higher post is also judged at the time of oral examination.

Efficiency Rating

It is an old and universal practice in the Civil Service to maintain the service records of each person. These service records are known by various names like confidential report, service book, personal record or personal file etc. In the past, these records were mostly used to locate a person with bad records and to keep him away from promotion. But now these service records are used to evaluate the relative merits of the employee for the purpose of promotion. This is comparatively a new method which was first adopted in the USA for rating comparative ability and merit of the employees for the purpose of promotion.

Maintenance of service record itself is not efficiency rating. The service record provides the necessary data on the basis of which evaluation or rating can be done. In large organisations, there are many branches, divisions and sections having large number of employees. In each section, branch or department every year a confidential report relating to the overall service-record of each and every employee is prepared and maintained by the concerned head or superintendent or superior officer. These records are used for rating the efficiency and suitability of an employee at the time of promotion. This efficiency rating system is now widely followed for testing merit for promotions.

The efficiency rating system is most useful for finding the most able and efficient person for promotion. It is a fair and reliable system of rewarding the most efficient person and eliminating those who are comparatively less competent. It not only rewards merit but also the careful and faithful service. It keeps the employees alert and up-to-date. It guarantees the promotion to the best out of the available staff. These are some of the positive points of the efficiency rating system. But there are many negative aspects of this system. It is not objective. It depends upon the subjective judgement of those superior officers, who prepare the service record, and also of the rating officers. It is difficult to prepare a good 'rating form' which will include all qualities, traits or criteria necessary for effective rating. More sensitive employees become nervous and self-conscious because of this system and their morale is depressed. The rating system leaves room for negligence, low integrity and subjective judgement of the rating officer. What qualities or traits must be taken for comparative rating and how to integrate the various judgements relating to different qualities or traits into one final decision? These questions pose many difficulties before the promotions are finalised. Therefore, this efficiency rating system does not provides an automatic basis of promotion. The final judgement has to be taken by the promotion making authority.

In this method, efficiency is rated on the basis of service records. Records are maintained in respect of all employees. Assessment is done on the basis of some qualities, traits, performance, output records, evidences, or check-lists, etc. Qualities or traits like knowledge of work, personality, judgement, initiative, accuracy, willingness to take responsibility, neatness, punctuality, organising ability, etc. or output of the employee is rated as below.

- a) Above average
- b) Average
- c) Below Average

or it may be rated as (in Britain & India)

- a) Outstanding
- b) Very Good
- c) Satisfactory
- d) Indifferent
- e) Poor

Sometimes it is rated as (in USA)

- | | |
|---------------------|--------------------------|
| a) Highest Possible | a) Extraordinary |
| b) Very good | b) Satisfactory |
| c) Ordinary | c) Unsatisfactory |
| d) Bad | or |
| e) Very Bad | d) Highly Unsatisfactory |

Sometimes rating is done by giving grades like

A+, A, B+, B, C, etc. or giving marks i.e. numbers.

Personal Judgement of the Head of the Organisation

In this system merit is determined by the head of the organisation. The head or the boss knows everybody. He has personal understanding about the overall performance of each and every employee working under him. He therefore, at the time of promotion, relies upon his own personal judgement and makes promotion of the persons of his own choice. This system is based on nepotism and favouritism. It is like the spoils system. It gives scope for dictatorial tendency. It encourages politics and sychophantism (flattery) in administration. Sychophants surround the head of the office all the time. As a result there is lot of inefficiency, insecurity and uncertainty among the workers. Consequently their morale is depressed. Only 'Yes men' and 'sychophants' have good chances of promotion in this system.

This system of promotion, left to the judgement of the head of the office, is mostly followed in business and industry but is not very common in the civil service. However, some very top level executive promotions are made in this system. Only in small organisations personal knowledge of the various employees is possible. Correct use of discretion and judgement depends upon the integrity and impartiality of the concerned head of the department. In practice, the actual judgement of the promotion authority is influenced by the service record, past performance and efficiency rating of the employee concerned. However, in the final selection of an employee, the personal judgement of head of the organisation plays its part.

We have discussed the various methods of testing merit for promotion in the preceding text.

In fact, all these methods are suitably combined to fill up posts by promotion. The combinations are different in different countries.

Check Your Progress 2

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

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

- 1) Examine the pros and cons of the principle of seniority.

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- 2) Discuss the disadvantages of promotion system based on the personal judgement

16.8 ESSENTIALS OF A GOOD PROMOTION POLICY

Civil service is a career service. It offers life time job to the capable persons. It provides opportunities for them for growth and advancement. Only good promotion system can make this possible. At the same time only a fair promotion policy ensures supply of capable and competent persons for filling up higher positions without any breakdown. A good promotion policy is absolutely necessary for the success of civil service. Following are the essentials of a good promotion policy.

- 1) Promotion policy must be well planned in advance.
- 2) There must be a clear and sound classification of the civil services.
- 3) Posts or grades in each service or class must be arranged in a hierarchical manner.
- 4) Line of promotion and rules of promotion must be clearly laid down in advance.
- 5) Instead of a single person a board or committee should be responsible for making promotions.
- 6) A systematically accepted method of promotion must be followed strictly.
- 7) Employee must know that the vacancy for promotion is an opportunity and not a right and he must earn the promotion in competition with others.
- 8) Seniority should not be given excessive weight. Principles of seniority, merit and efficiency must be combined. Candidate's past performance, service record, and capability to assume higher responsibilities must be decisive elements. Various suitable devices like efficiency rating, examination, interviews, etc. must be adopted to test the merit for promotion.

16.9 PROMOTION SYSTEM IN INDIA

The question of promotion was first discussed during the British Raj in India in the year 1669, when the principle of seniority was accepted for promotion by the East India Company. The Charter Act of 1793 clearly accepted the principle of 'seniority' for promotions in the civil service. This principle remained in force till the enactment of the Indian Civil Service Act 1861. Although the seniority principle was continued, allowance was also made for merit, integrity, competence and ability in making promotion. Formula of seniority-cum-merit was followed till 1947.

In Independent India, the matter of promotion received attention in 1947 itself. The First Pay Commission (1947) recommended that direct recruitment and promotion system must be combined for filling up the positions in the civil service. According to it, principle of seniority must be adopted for those posts where more familiarity with office work is a necessary requirement, top positions must be filled up on the basis of merit and middle level positions on the basis of seniority-cum-merit basis.

The Second Pay Commission (1959) also recommended the principle of merit for filling higher level posts and the principle of seniority-cum-fitness for middle and lower levels in administration. Administrative Reforms Commission (1969) also recommended the principle of seniority-cum-merit for promotions. The governing principle of promotion in India, during the last forty years is that of 'seniority-cum-merit'. The relative weightage of the two factors of 'seniority' and 'merit' varies from service to service.

Promotions in India are made by the Union or State Government on the recommendation of the Head of the Department, sometimes with the approval of the Union or State Public Service Commissions. In some cases approval of the Finance Department is necessary while in the cases of some top level promotions, the approval of the Prime Minister or Chief Minister is also required.

For the purpose of promotions, in many departments, we have Departmental Promotion Committees. Promotions are made in accordance with the seniority and

on the basis of confidential reports. Principle of seniority-cum-efficiency is adopted invariably for promotions at lower and middle level posts like Assistants, Senior Assistants, Section Officers, Superintendents, etc. In addition to this practice, in some cases, government employees are allowed to appear in competitive examinations held for promotions. At higher levels of promotion a Departmental Promotion Committee makes promotions out of a list prepared on the basis of 'merit and suitability in all respects with due regard to seniority'. The system of promotion varies from service to service and class to class in India. After critical evaluation of the present Indian system of promotion, we find that there are some shortcomings in it. They are:

- 1) heads of the departments deliberately exclude some persons from the list of potential competitors;
- 2) personal records of the employees are not maintained satisfactorily and impartially;
- 3) employees are not informed about the vacancies to be filled up by promotions;
- 4) seniority is given too much importance instead of merit;
- 5) absence of systematic promotion machinery makes promotions unjust, arbitrary and haphazard; and
- 6) there is no effective system of appeals in cases of injustices in promotions.

In order to overcome these shortcomings it is suggested that a suitable and systematic promotion policy must be adopted. Service-records must be kept objectively and impartially. An effective machinery for evaluation and for appeals must be established. Promotion boards or committees must be established in all government services at all levels. Qualifying examinations and interviews may be started for making promotion at middle level positions. Instead of seniority the merit system must be adopted.

Check Your Progress 3

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

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

- 1) What are the essentials of a good promotion system?

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- 2) Discuss the Indian system of promotion.

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16.10 LET US SUM UP

Promotion is nothing but a process of filling up the vacancies indirectly from within the service. Promotion is an integral part of the career service. It helps the competent persons to rise to higher positions in the service. It also helps the government to make use of the best talents and experience of the persons who are already in the service. In most of the countries of the world merit principle of promotion has been accepted but at the same time, seniority also is given due consideration. In this unit, we have discussed the importance, need, meaning and types of promotion. We have also examined the relative merits and demerits of the two principles namely 'Seniority' and 'Merit' and various methods of testing merit for promotion, including 'efficiency rating'. A discussion on the promotion system in India was also made.

16.11 KEY WORDS

Career Service: A service which a person joins at a very young age and continues throughout his life till retirement in the same service.

Seniority: Length of service counted from the date of joining the service.

Efficiency Rating: Comparative evaluation of the performance of an employee on the basis of his past service records.

Service Record: Personal record of service about an employee maintained by his office.

16.12 SOME USEFUL BOOKS

Avasthi and Maheshwari, 1982. *Public Administration*, Laxmi Narayan: Agra.

Bhattacharya, 1987. *Public Administration*, World Press: Calcutta.

Sharan P. 1982. *Modern Public Administration*, Meenakshi: New Delhi.

Sharma M.P. 1988. *Public Administration in Theory and Practice*, Kitab Mahal: Allahabad.

16.13 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- for a government servant promotion is a reward for his faithful and hardwork.
- without promotions we cannot attract the best talents to join the government service.
- we cannot retain the most talented and potential persons in the service.
- we cannot get the best from them for the service and for the nation.
- we cannot have efficient, competent and satisfied civil servants in the country.
- promotions satisfy a natural human urge to make progress and advancement in life.
- it gives moral boost to the employees.
- for the government, promotion is a system of indirect recruitment i.e. filling up higher posts by selecting able and competent persons who are already in the service.
- for the government servant, promotion is an advancement from a lower post, class or service to a higher post, class or service involving higher duties, responsibilities and authority.
- it means elevation in the status and increase in the salary for the employee.
- promotion may be from lower grade to higher grade, lower class to higher class, lower service to higher service.

2) Your answer should include the following points:

- civil service is a career service.
- a person who joins the civil service spends his life time in it.
- he makes progress and advances up in the service with the passage of time.
- from his recruitment as a young person till his retirement as an old person it is the chances of promotion which keep him in the service.
- promotion is an integral part of the career service.
- a proper scheme of promotions can only make the civil service an attractive career and attract the best talent to join it.
- opportunity of promotion is a possible reward for hardwork, efficiency and faithful service.
- government servants have to work hard to get possible promotions.
- promotion chances increase the efficiency and contentment of the civil services.
- by the device of promotion opportunity, it is possible to retain the best, talented and efficient persons in the civil services. Otherwise they will leave the civil service and join other prosperous services.
- the two basic human urges of recognition and advancement can be satisfied by the device of promotion.

Check Your Progress 2

1) Your answer should include the following points:

Pros**Cons**

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|---|---|
| • No scope for favouritism or nepotism. | Those who are senior are not necessarily fit for promotion. |
| • Gives respect to age and experience | Here length of service is not a criterion of fitness. |
| • In accordance with the established practices in society. | Seniority and experience are, therefore not a rational criteria. |
| • A younger person does not become a boss of the older and more experienced persons. | Seniority principle does not ensure that only fittest persons will be posted at higher posts. |
| • It is more democratic because it gives chances of promotion to everybody irrespective of the merit. | On the contrary inefficient and conservative persons may affect the overall performance of the government services. |

2) Your answer should include the following points:

- in this system merit is determined by the head of the organisation.
- this system is based on nepotism and favouritism.
- it is like the spoils system.
- it gives scope for dictatorial tendency.
- encourages sychophantism in administration.
- sychophants surround the head of the office all the time.
- as a result there is lot of inefficiency, insecurity and uncertainty among the workers.
- consequently their morale is depressed.
- only 'Yes Men' and 'Sychophants' have good chances of promotion in this system.

Check Your Progress 3

1) Your answer should include the following points:

- a good promotion policy is absolutely necessary for the success of a career civil service.
- promotion policy must be well planned.
- clear and sound classification of the civil services
- posts or grades in each service or class must be arranged in a hierarchical manner.
- line of promotion and rules of promotion must be clearly laid down in advance.
- instead of a single person, a Board or Committee should be responsible for making promotions.
- accepted method of promotions must be followed strictly.
- employee must know about the vacancy for promotion. He must be told that promotion is an opportunity and not a right.
- seniority should not be given excessive weight.
- principles of seniority, merit and efficiency must be combined.
- candidate's past performance, service record, and capability to assume higher responsibilities must be decisive elements.
- services like efficiency rating, examinations, interviews, etc. must be adopted to test the merit for promotions.

2) Your answer should include the following points:

- First Pay Commission (1947) recommended that direct recruitment and promotion system must be combined for filling up the positions in the civil service.
- Second Pay Commission (1959) recommended the principle of merit for filling higher level posts and the principle of seniority-cum-fitness for middle and lower levels in administration.
- Administrative Reforms Commission (1969) also recommended the principle of seniority-cum-merit for promotions.
- governing principle of promotion in India, during the last forty years has been that of seniority-cum-merit.
- the relative weightage of the two factors of 'seniority' and 'merit' varies from service to service.

Present Indian system of promotion, we find, has some shortcomings in it. These are:

- heads of the departments deliberately exclude some persons from the list.
- personal records of the employees are not maintained satisfactorily and impartially.
- seniority is given too much importance instead of merit.
- absence of systematic promotion machinery.
- no effective system of appeals in cases of injustices in promotions.

UNIT 17 TRAINING

Structure

- 17.0 Objectives
- 17.1 Introduction
- 17.2 Importance of Training
- 17.3 Training in Developing Countries
- 17.4 Meaning of Training
- 17.5 Objectives of Training
- 17.6 Types of Training
- 17.7 Methods and Techniques of Training
- 17.8 Historical Development of the Concept of Training of Civil Servants
- 17.9 Indian System of Training
- 17.10 Agencies and Institutions of Training in India
- 17.11 Critical Evaluation of the Indian System of Training
- 17.12 Let Us Sum Up
- 17.13 Key Words
- 17.14 Some Useful Books
- 17.15 Answers to Check Your Progress Exercises

17.0 OBJECTIVES

After studying this unit, you should be able to:

- bring out the need, importance, meaning and objectives of training;
- make an overall assessment of the various types and methods of training employed in different countries;
- discuss the historical evolution of the idea of training of civil servants in general;
- describe the past and present system of training and institutions of training in India; and
- make a critical assessment of the Indian system of training.

17.1 INTRODUCTION

In the earlier units, we have seen that only well educated, qualified and meritorious persons are recruited in the civil services. Most of them are graduates and degree/diploma holders. They have already obtained the minimum educational qualification required for entering the government service. Their education is normally completed before they enter the civil service but the process of education continues even afterwards. However, they need a different type of education, which will help in their daily work and improve their skill and efficiency in administration. This new type of work-education is called training in the civil service.

In modern times, the administration has become more and more complex and complicated. It requires special knowledge and technical skills. Normal college and University education does not fulfil these requirements of modern administration. Therefore, there is an increasing need of training the civil servants. Training has now become an integral part of the modern personnel management. In almost all the countries including India, elaborate arrangements are made to provide suitable and effective training to their civil servants. In this unit, we are going to examine the importance, need, meaning, types and techniques of training. We shall also discuss about the historical development of the idea of training of the civil servants and make a critical evaluation of the present system of training in India.

17.2 IMPORTANCE OF TRAINING

Before familiarising ourselves with the meaning of training, we should try to understand the importance of training in developing countries like India. Training of civil servants has become an important aspect of modern personnel management. It has been recognised by all the governments that suitable and effective training programme for their civil servants is absolutely necessary for efficient and up-to-date administration. On the one hand, the functions of the governments have increased

and expanded rapidly and on the other, administration has become more and more complex, specialised and technical. The recruitment policies and programmes based on 'merit system' try to select the best qualified and competent persons in the civil service. Most of the selected persons are well qualified and educated, they are degree or diploma holders. But the University degree or diploma is not enough to make them best administrators. It is necessary to have some practical knowledge of the actual work of administration. This practical knowledge is imparted through training. Training prepares an employee for the new administrative tasks. Training improves his/her skills and efficiency. Training prepares him for higher and higher responsibilities. In fact, the very induction of an employee into an organisation needs training. An employee must know about the goals and objects of his organisation; the nature of work he is expected to perform in the organisation; and the techniques and methods of doing his actual work. All this knowledge can be imparted only through a systematic training programme. Similarly, with the passage of time, the knowledge and skills acquired by an employee become out-dated. He needs new and up-to-date knowledge and skills. This up-dating of knowledge and skills is possible only through training which is a continuous activity.

Although the formal education of an employee is normally completed before he enters the civil service, but the process of education, in the form of training, continues even afterwards. Training is thus, necessary before entering the civil service and even afterwards. Like education, training is also a life long process. But training has narrow and specific objectives as compared to education. As you read in Unit 2, Block 1, education is much wider than training. Education influences the entire process of the upbringing of an individual from the childhood, the formation of the personality, character, habits, manners, attitudes, mental and physical capabilities etc. Education, in general, aims at broadening the mind. But training aims at improving the specific skills and knowledge required for some particular kind of work or profession. However, both education and training are, closely related to each other and many times they overlap each other. The importance of training has been recognised by most countries, including India. They have devised suitable training programmes for their civil servants and established many training institutions for implementing these programmes. However, these arrangements are inadequate and a greater need of training is felt in many countries.

17.3 TRAINING IN DEVELOPING COUNTRIES

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

- 1) There is generally a shortage of trained and qualified persons in most developing countries;
- 2) Training facilities and training institutions are inadequate in these countries;
- 3) Functions of the Government have increased rapidly. They are called upon to perform many new functions, which require highly skilled and technically trained personnel;
- 4) Administration is engaged with complex, technical and specialised functions,
- 5) Socio-economic conditions, in these countries are rapidly changing. In order to meet the challenge of these rapid changes, there is a need of innovation in administration; and
- 6) There is public pressure on the Governments to implement the development programmes with extraordinary speed and efficiency.

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

17.4 MEANING OF TRAINING

The dictionary meaning of training is "imparting instruction in a particular art,

profession or occupation". In Public Administration, training means conscious efforts made to improve the skills, powers, and intelligence of an employee and to develop his attitudes and value-system in a desired direction. In broad and general terms, training is a life long phenomenon. Training, informally and unconsciously begins with our childhood itself. But in the narrow and specialised sense, training of civil servants, is a deliberate effort, directed to increase the specific skills and vocational competence of the civil servants in their routine work. William Torpey (Public Personnel Management, New York, 1953) defined training as "the process of developing skills, habits, knowledge, and aptitudes in employees for the purpose of increasing the effectiveness of the employees in their present government position as well as preparing the employees for future government positions". About the meaning of training, we can say that:

- 1) Training is a conscious, deliberate and planned effort;
- 2) Training is specific and limited;
- 3) It means imparting instructions about a particular work or profession;
- 4) Its purpose is to improve the skill, knowledge and effectiveness of the employees in their task; and
- 5) It also aims at preparing an employee for higher responsibilities.

17.5 OBJECTIVES OF TRAINING

Following are some of the major objectives of training of civil servants:

Firstly, the training improves the efficiency of the employees in administration;

Secondly, training improves the occupational skill and knowledge of the employees, so that they can do their work effectively;

Thirdly, training inducts a new employee into the organisation and imparts him knowledge of the goals and objectives of the organisation, his own role in the organisation and techniques and methods of carrying out his duties. Consequently, the employees can best contribute to the attainment of organisational goals;

Fourthly, because there are constant changes in the goals and techniques of the organisations, training adjusts the employees with the new organisational changes;

Fifthly, training makes up for the deficiencies of the newly recruited persons. Fresh University graduates are given necessary training to shape and mould them in the desired direction and make them suitable for government work.

Sixthly, training keeps the employees informed about the latest developments in his field and thus, keeps his knowledge up-to-date;

Seventhly, training improves the integrity and morale of the employees. The very existence of the training process gives the trainees an added sense of dignity and pride in their work and office;

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

Ninthly, training makes the employees, people oriented. It inculcates a basic principle in them, that they are public servants and not masters. This is necessary in a democratic administrative system;

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

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

Check Your Progress 1

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

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

- 1) Explain the importance of training in modern times and make a distinction between training and education.

2) What are the aims and objectives of training?

17.6 TYPES OF TRAINING

There are different types of training imparted in different countries. Some of the major varieties of training are as follows:

- 1) Formal and Informal Training
- 2) Short-term and Long-term Training
- 3) Pre-entry and Post-entry Training
- 4) Centralised and Departmental Training
- 5) Skills Training and Background Training
- 6) Orientation Training.

Formal and Informal Training

Informal training is training by experience, which an employee acquires during the course of his actual routine work in his organisation. No special efforts are necessary for informal training. This is a routine organisational activity. It does not require planned training programme, specialist trainers or some training institutes. This kind of informal training neither prescribes a specific time period, nor a group of trainees is especially selected for it. This has been traditional method of training in Public Administration and is preferred even now by practical administrators. But this process is "very hard way of learning" and requires a lot of persistence and patience on the part of the employees. It is slow, ineffective and frustrating. Formal training is free from these defects. That is why informal training is not popular amongst most of the countries.

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

Short-term and Long-term Training

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

Pre-entry and Post-entry Training

It is clear from the names itself, that the training imparted before entering the civil service is pre-entry training whereas that which is given after a person enters the service is called as post-entry training. For pre-entry training, in recent times, many training institutions have been set up to provide training courses for administrative and managerial positions in the government. Similarly, there are many institutions and centres which provide training to the candidates appearing for competitive examinations. In some places, practice of internship and apprenticeship is commonly employed for pre-entry training of the probable potential recruits in the services. Practical administrative training is also provided in some Universities and Colleges. Comprehensive pre-entry training programmes are there in the USA and many Western countries.

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

Centralised and Departmental Training

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

Skills Training and Background Training

Background training is of general nature. It provides knowledge of such subjects which help the trainees to understand the social, economic, political, administrative, and constitutional background and conditions prevailing in the country. The purpose is to broaden the mind and knowledge of the employees and to make them aware of the society and their own role in the society. But when it is intended to improve the skills of the employee in a particular kind of work, it is called skills training. It aims at providing employees with the knowledge of special skills, techniques, procedures, methods, (craft) or complicated systems, etc., necessary to carry out his specialised kind of work. Craftsmanship training, income-tax officer's training are examples of the skills training whereas the I.A.S. entrants training at LBS National Academy of Administration at Mussoorie is an example of background training.

Orientation Training

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

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

17.7 METHODS AND TECHNIQUES OF TRAINING

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

Training by Experience on the Job

A person is posted on one job and allowed to learn from the experience gained by doing that job. Then he is posted to another section/department to learn by experience about that new section. In this way an employee may be transferred from branch to branch, section to section or department to department and allowed to learn by doing a job. Senior and experienced officers help the trainee in this process of learning by giving necessary oral and written instructions and directions from time to time. In order to give him wide experience of administration, a trainee is sometimes sent to work in an outside office or organisation. Short visits to other related offices, inter-departmental exchanges or study tours etc., are also arranged. This is like the method of internship or apprenticeship commonly used in industrial management training. This method is cheap and simple. With the passage of time a person learns the techniques of administration and improves his performance as an administrator. But this method is slow and time consuming. Many times it does not have clearly defined objectives and specific time limit. However, this method of training is extensively adopted in most of the countries.

Training by Formal Instructions

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

Conference Method of Training

This method of training has become very common now. A selected group of trainees from different departments are brought together to discuss various problems in a meeting or a conference. The trainees are the active participants in this method of training. Some specific cases are given for discussion in the conference. All the participants express their views and opinions based on their own experiences. This method, called as case-analysis method of training, provides the opportunity to learn from the experiences of others. In lecture method of training, the trainer has an active role whereas in conference method the trainees have the active role. They learn from each other by exchange of experiences and ideas. The chairperson of the conference plays the role of a guide and instructor. His role is to put the discussion on the right track. In the USA and many other countries the conference method has become very popular. In India also this method is used for short term training of higher civil servants like IAS, etc.

In conclusion we can say that all the governments have to make training arrangements and establish suitable training organisations for the civil servants. While the broad objectives of training are decided by the governments, it is the duty of the training organisations to plan the training programmes and adopt suitable methods of training. No one method is best. Different methods may be combined to suit the requirements of the jobs of the training programmes. Lectures and talks of the senior departmental officers or experts may be arranged. Seminars, conferences, workshops, group discussions and field visits may be organised. Refresher or orientation courses may be conducted. Case-analysis method can be adopted. All these methods may be employed singly or in combination according to the needs and facilities available.

17.8 HISTORICAL DEVELOPMENT OF THE CONCEPT OF TRAINING OF CIVIL SERVANTS

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

In modern times the social and political conditions have changed. Modern State has become a Welfare State. Functions of government have tremendously increased. All governments have to promote the welfare of the people, plan for the socio-economic development and implement development policies and programmes efficiently. Scientific and technological developments have rapidly changed the lives of the people. After the Second World War, many new states have come into existence, where the democratic governments are being established. All these changes have made administration a very complex activity. We need highly skilled personnel to run modern administration. For this purpose, the need of planned and purposeful training for the civil servants has been felt urgently everywhere in the world. More and more attention is now being given to civil service training in all the countries. In almost every country a National Academy or Institute has been established to provide some kind of training to its civil servants. There are also specialised training institutions in every country.

Check Your Progress 2

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

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

1) Explain pre-entry and post-entry training.

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2) Discuss the evolution of the concept of civil service training.

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17.9 INDIAN SYSTEM OF TRAINING

History of civil service training in India can be traced back to the days of East India Company which established Haileybury College in 1805 for the training of the young recruits to the civil services. The Indian Civil Service was manned by the products of the Haileybury College until 1855 when the first competitive examination was held. The successful ICS candidates were required to spend 1 to 2 years in British University and learn subjects like Indian History, Indian Law and Indian language, etc. During the Second World War, a camp school was set up at Dehradun to impart training to the new entrants in the ICS. After independence, the Indian Civil Service was converted into Indian Administrative Service and the institutional training was imparted to the new recruits at the IAS Training School, Metcalfe House, Delhi. The Indian Administrative Service Staff College was set up at Shimla to train senior officials and recruits other than direct recruits. Both these training institutions were subsequently merged and the National Academy of Administration was set up in September 1959 at Moussorie. The academy is now named as Lal Bahadur Shastri National Academy of Administration, which is the most important central institution of training of the higher civil services including the All-India services.

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

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

Indian system of the training of civil servants is largely conditioned on the British pattern. At the higher level the emphasis is on a University degree. The principle of catch them young results in recruitment of persons who have no education or training in Public Administration. They are usually brilliant youngmen and women with a background of liberal University education. Before giving them new administrative responsibilities, they need a systematic training in the skills and techniques of administration in the total ethos of modern democratic administration. Therefore, new entrants to the All-India Services and higher Central and State Services are provided with well planned institutional training in India. But systematic arrangements for the training at middle levels of Class II, Class III and subordinate services do not exist in the country. They are largely expected to learn by experience on the job. A few departments have their own staff colleges or training institutes e.g. Railways, Central Excise, Post and Telegraph etc. The Institutions like Central Secretariat Training School, Central Statistical Organisation, Institute of Economic Growth etc. provide practical job-related training to the middle and subordinate level staff. However for most of the services, at middle and lower levels, there is on the job training under expert supervision.

There is emphasis on the training of higher civil services in India. The initial post-entry training is imparted in two different ways:

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

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

- 1) Foundational Course, and
- 2) Professional Course.

Foundational Course: is a combined course for the new entrants of All-India Services, like, I.A.S., I.P.S., I.F.S. and Central Services Class I. The foundational course is of five month's duration conducted by the Lal Bahadur Shastri National Academy of Administration at Mussoorie. In the foundational course emphasis is laid on the teaching of the subjects like Public Administration, Economics, Planning, Law, Political Theory, Indian Constitution, Cultural History of India, the National Movement etc. For those entrants who cannot read and write Hindi, special lessons are also given in Hindi.

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

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

Professional Course: After the completion of the foundational course of five months at the National Academy, the second phase of training in professional course is given to the probationers. Those who belong to the I.A.S. continue to stay at the National Academy and a further professional training is given to them for a period of about two to three months. During this spell of professional training, they study in more details the problems of Public Administration, district administration, revenue administration, development administration, Indian Penal Code, Criminal Procedure Code, Legal and Constitutional system, economic theory and economic planning, etc. After completion of the first spell of professional training, the I.A.S. probationers are sent to the State to which he or she has been allotted, for practical on the job training for one year. At the end of the year, the IAS probationers again come to the Academy for the second spell of problem-oriented professional training. Emphasis is placed on the discussion of particular administrative problems. Case-analysis, and conference method of training are adopted. At the end of the second spell of training at the Academy, the I.A.S., probationers appear at an examination conducted by the UPSC. For the training of the probationers of other All-India Services (like IPS, IFS) and Central Services, the specialised and professional training institutions have been established. After the completion of the foundational course at the National Academy, they are sent to various specialised training institutions for further professional training. The IPS (Indian Police Service) probationers go to National Police Academy at Hyderabad to receive professional training in drill, handling of weapons, crime and criminology, law, combating techniques, etc. The probationers of Indian Audit and Accounts service receive professional training at Central Audit and Accounts Training School, Shimla. The duration of professional training ranges from one to two years.

Training Methods

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

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

Refresher Course

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

times in their career. For the purpose of conducting these short-term training programmes, there are many institutions in the country.

For the IAS officers apart from the intensive entry point training of two years as discussed earlier, there are two types of training programmes.

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

Apart from IAS officers, other officers of higher civil services like IPS, IFS, Income Tax, Railways etc., are also given refresher training at regular intervals in their career. These refresher courses are conducted by the National Academy of Administration, or other institutions like (i) Indian Institute of Public Administration, New Delhi, (ii) Administrative Staff College, Hyderabad, (iii) National Police Training College, Mount Abu, (iv) National Institute of Rural Development, Hyderabad (v) Indian Institute of Management, Ahmedabad, etc. Various professional institutions in the field of various services like Police, Income-tax, Audit and Accounts, Railways, Telecommunication, Foreign Trade, Forests etc., also conduct the refresher courses for the senior officers of their respective services. A majority of State governments have also established state training institutions in their respective states for providing post-entry and in-service training to their employees. Besides, many University Departments of Public Administration and the public enterprises etc., also provide short-term training courses for the higher and middle level civil servants.

17.10 AGENCIES AND INSTITUTIONS OF TRAINING IN INDIA

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

1) Lal Bahadur Shastri National Academy of Administration, Mussoorie:

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

- i) Combined foundational course for all the probationers of the All-India Services like IAS, IFS, IPS and of the Central Services Class I.
- ii) Professional and problem-oriented training for the new-entrants of the Indian Administrative Service.
- iii) Refresher courses of four weeks for the senior IAS officers.
- iv) One week training programme for the IAS Officers,

2) Central Police Training College, Mount abu: Upto 1975-76 it provided entry point professional training for the new entrants to the Indian Police Service. (It is now given at the National Police Academy at Hyderabad.) Now this college provides refresher training and in-service courses to the middle and higher level senior police officers of both IPS and of the State Police Service.

3) National Police Academy, Hyderabad: Established in 1976, it provides professional training for the new entrants to the IAS. It also conducts refresher course for the senior IPS Officers.

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

5) National Institute of Rural Development, Hyderabad: Established in 1956 — organises regular orientation courses for the higher and middle level civil servants engaged in the field of rural development administration. It is also engaged in research in the area of rural development.

6) Indian Institute of Public Administration, New Delhi: Established in 1953 — Apart from research in Public Administration, the IIPA organises short-term orientation and refresher courses for the senior and middle level servants of the Central and state governments. These courses are regularly conducted for the benefit of senior and middle rank officials. These specialised professional courses heavily rely upon lectures by senior officers and experts in the subject. At the same time exchange of ideas and experiences in the group discussions and field visits are also arranged. The IIPA also organises a nine month educational programme for the senior and middle level civil servants. This is the only course of its kind in the whole country.

Many of the Central Services also have set up their own training institutions, where institutional training of professional nature is provided to their respective civil servants. Some of the leading training institutions are listed below:

- 1) Indian Institute of Management, Ahmedabad;
- 2) Income Tax Training School, Nagpur;
- 3) Railway Staff College, Baroda;
- 4) Institute of Secretariat Training and Management, New Delhi;
- 5) National Forest Research Institute, Dehradun;
- 6) Central Audit and Accounts Training School, Shimla; and
- 7) All-India Institute of Local Self-government, Bombay.

17.11 CRITICAL EVALUATION OF THE INDIAN SYSTEM OF TRAINING

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

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

Secondly, too much emphasis is laid on entry-point and in-service training of the higher civil service like, All-India Services and Central and State Class I Services. The training needs of the middle and lower level personnel are neglected. Up-to-date in-service training and Refresher Courses for the lower level staff are not adequately planned. As a result of this neglect, a vast majority of civil servants (80 to 90%) have no opportunity of training.

Thirdly, there is a general lack of seriousness on the part of the Government in the matter of civil service training in the country. Many times wrong type of training programme is planned and wrong methods are adopted. Selection of the trainees is not done carefully. An unwanted and inefficient person is selected in place of a right and appropriate person. In most of the organisations, bureaucratic politics and patronage play an important role in the selection of trainees. If at all a right person gets, selected by chance, he may be sent to a training course which has no direct relation with his job. Serious thought is not given to utilise the training opportunity, after a trainee returns back to his organisation.

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

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

Finally, training system is not linked with the education and research in the country and systematic evaluation of the training results and follow-up of the effects of training on the efficiency in administration is not attempted. Thus there are various problems in training methods and techniques in India and there is a lot of scope to improve the Indian training system in the years to come.

Check Your Progress 3

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

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

1) Which are the important training institutions in India?

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2) Critically evaluate the Indian system of training.

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17.12 LET US SUM UP

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

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

In this unit, we have studied the objectives, need, meaning, types and techniques of training. We have also examined the historical development of the concept of civil service training in general and the rapid development of the Indian training system, in particular. The present system of training in India has also been critically evaluated in the unit.

17.13 KEY WORDS

Entry-point: Period after the selection but before the actual placement to a job.

Probationer: Recruits to the All-India Services during the training period are called probationers. A probation period normally lasts for one year.

Orientation: Updating of knowledge and skills of an employee in accordance with changing requirements of the job, development of new scientific and technological methods and specific subject knowledge. This is given at regular intervals in an employee's service in order to prevent him/her in becoming static and inefficient.

17.14 SOME USEFUL BOOKS

Avasthi, A and S.R. Maheshwari, 1982. *Public Administration*, Laxminarayan Agrawal: Agra.

Indian Journal of Public Administration, Special Number on Training in Public Administration. Vol. XXXIV. No. 3., July-September, 1988. Indian Institute of Public Administration: New Delhi.

Mathur, H.M. 1986. *Administrative Development in the Third World: Constraints and Choices*, Sage Publications: New Delhi.

Roy, S.K. 1970. *Indian Bureaucracy at the Cross Roads*, Sterling Publishers: New Delhi.

Sharan, P. 1981. *Modern Public Administration*, Meenakshi Prakashan: New Delhi.

17.15 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- in modern times, the administration has become more and more complex and complicated.
- it requires special knowledge and technical skills.
- College and University education does not fulfil the requirements of modern administration.
- training has now become an integral part of the modern personnel management.
- it has been recognised by all the governments that suitable and effective training programme for their civil servants is absolutely necessary for efficient and up-to-date administration.
- most of the selected persons are well qualified and educated.
- but the University degree or diploma is not enough to make them best administrators.
- it is necessary to have some practical knowledge of actual work of administration. This practical knowledge is imparted through training.
- training prepares an employee for the new administrative tasks.
- training prepares him for higher and higher responsibilities.
- training improves his skills and efficiency. In fact, the very induction of an employee into an organisation calls for training.
- an employee must know about the goals and objectives of the organisation, the nature of work he is expected to perform in the organisation, and the techniques and methods of doing his actual work. All this knowledge can be imparted only through a systematic training programme.
- similarly, with the passage of time, the knowledge and skills acquired by an employee become out-dated. He needs new and up-to-date knowledge and skills. This up-dating of knowledge and skill is possible only through training and orientation.
- training is a continuous activity.
- like education training is also a life long process.

2) Your answer should include the following points:

- training improves the efficiency of the employees in administration.
- improves the occupational skill.
- inducts a new employee into the organisation.
- gives him knowledge of the goals and objectives of the organisation.
- adjusts the employees with the new organisational changes.
- make up for the deficiencies of the newly recruited persons.
- keeps the employees informed about the latest developments.
- improves the integrity and morale of the employees.
- develops a sense of community service and belongingness in the employees.

- makes the employees people-oriented.
- prepares the employees for higher positions and greater responsibilities.
- fosters homogeneity of outlook and broadens the vision and outlook of the employees.

Check Your Progress 2

1) Your answer should include the following points:

- pre-entry training prepares future recruits for the service.
- in recent times many training institutions have been set up to provide training courses for administrative and managerial positions in the government.
- practice of internship and apprenticeship is commonly employed for pre-entry training of probable potential recruits in the services.
- comprehensive pre-entry training programmes are there in the USA and many western countries.
- post-entry training is given after a person joins the services.
- it is also called in-service training.
- the in-service training may be a combination of formal or informal methods.
- it is imparted at all levels in the service.
- it helps in improving the efficiency and performance of the employees.
- makes them professionally more competent and able.
- it helps to improve his general ability and organisational performance.

2) Your answer should include the following points:

- conscious and systematic training began only after the industrial revolution in the field of private industry, business and management.
- industrial expansion required skilled and expert workers to operate the intricate machines.
- the training of employees, thus, became necessary for the success of the industrial administration.
- but in the field of civil administration training was not considered to be necessary because of limited function.
- civil servants were expected to learn by experience through a process of trial and error.
- this method of the hardway of learning continued for a long time.
- in modern times the social and political conditions have changed.
- modern State has become a Welfare State, functions of governments have tremendously increased.
- all these changes have made administration a very complex activity.
- there is a need for highly skilled personnel to run modern administration.
- for this purpose, the need for planned and purposeful training for the civil servants has been felt urgently everywhere.

Check Your Progress 3

1) Your answer should include the following points:

- Lal Bahadur Shastri National Academy of Administration.
- Central Police Training College.
- National Police Academy.
- Administrative Staff College.
- National Institute of Rural Development.
- Indian Institute of Public Administration.

2) Your answer should include the following points:

- there have been many weaknesses in the Indian system of training.
- the training arrangements are not adequate to meet our requirements.
- only a small number of civil servants benefit from the present training facilities.
- too much emphasis is laid down on entry point.
- the training needs of the middle and lower level personnel are neglected.
- there is a general lack of seriousness on the part of the government.
- in most of the organisations, bureaucratic politics and patronage play an important role in the selection of trainees.
- the contents of the training programmes are not always relevant and meaningful for the trainees.
- in most cases the training institutes follow traditional lecture method of training.
- training system is not linked with the education and research methods existing in the country.

UNIT 18 PERFORMANCE APPRAISAL

Structure

- 18.0 Objectives
- 18.1 Introduction
- 18.2 Need and Importance of Performance Appraisal
- 18.3 Meaning of Performance Appraisal
- 18.4 Objectives of Performance Appraisal
- 18.5 Methods of Performance Appraisal
- 18.6 Factors Influencing Performance Appraisal
- 18.7 Performance Appraisal in Government
- 18.8 Recommendations of the Administrative Reforms Commission
- 18.9 Let Us Sum Up
- 18.10 Key Words
- 18.11 Some Useful Books
- 18.12 Answers to Check Your Progress Exercises

18.0 OBJECTIVES

After studying this unit, you should be able to:

- explain the need and importance of Performance Appraisal;
- describe the meaning, objectives and methods of Performance Appraisal;
- describe the various factors which influence the Performance Appraisal; and
- explain and assess the Performance Appraisal system followed by the Government in India.

18.1 INTRODUCTION

In the government, promotions are given to the civil servants on the basis of seniority or merit. The most important question is how to fairly judge the merit of a candidate who is already in the service? For being fair and impartial, it is necessary to assess the performance of the individual in the organisation. This is now systematically done in all the countries of the world. The assessment of an individual's performance in the organisation is called Performance Appraisal.

With the rise and development of modern management science, the system of performance appraisal, has gained additional significance in the study of personnel management. Since the concept of 'accountability' of the government has become more important in recent times, the need for performance appraisal of civil servants is more and more felt in all governments.

The system of performance appraisal draws upon the talent from within, based on the experience gained by the employees in the organisation. It compels the management to have a promotion policy based on the system of performance appraisal. It also gives justice to those employees who are efficient and capable. It serves the short-term purpose of assessing the capabilities and usefulness of an employee to the organisation and in the long-term it determines his potentials for elevation to the higher post and position.

18.2 NEED AND IMPORTANCE OF PERFORMANCE APPRAISAL

In every organisation all employees work to achieve the common aims and objectives of the organisation. But all employees do not have same capacities and qualities. The individuals' qualities differ from person to person. All are not equally efficient and able. But all have to work together. In order to keep their morale high, it is necessary to inform them, from time to time, about their own level of performance in the organisation. This can be done by adopting a fair system of Performance Appraisal. Performance Appraisal helps to improve the organisational health, viability and

growth through optimal utilisation of the human resources in the interest of the organisation. Individual employee gets feed back which enables him to develop himself to meet the objectives of the organisation. Performance Appraisal is, thus, a means and not an end by itself. Performance Appraisal system is necessary not only for individual's work improvement but also for the overall improvement of the organisation. It is necessary for the adoption of a fair and impartial promotion policy, which can only keep the employee's morale high. Performance Appraisal is also necessary to assess the usefulness and capabilities of a person in terms of his contribution towards the achievement of the goals of the organisation. It is also needed to develop the potentials of an employee to prepare him to accept more responsibilities of the higher post, which he aspires through promotion. It helps not only in improving the viability and health of the organisation but also pinpoints the shortcomings of an employee. By informing the shortcomings to the concerned persons, the superior officer can secure better utilisation of services either through correction or position-change. Performance Appraisal is, thus, a very important activity of modern personnel management.

18.3 MEANING OF PERFORMANCE APPRAISAL

Performance appraisal system has been defined in many ways. The simplest way to understand the meaning of performance appraisal is as follows:

"A regular and continuous evaluation of the quality, quantity and style of the performance along with the assessment of the factors influencing the performance and behaviour of an individual is called as performance appraisal."

Performance appraisal also means an appraisal of the growth potential of an employee, with a view to providing information to the organisation leading to positive action and enabling feed-back to the individual aimed at his performance improvement, personal growth and job-satisfaction. In short, we can say that performance appraisal is expected to result in an assessment of:

- a) growth potential of the employees;
- b) corresponding training needs for the employees;
- c) capabilities for their placement in higher posts;
- d) conduct and discipline of the employees; and
- e) the need of the organisation to evolve a control mechanism.

18.4 OBJECTIVES OF PERFORMANCE APPRAISAL

The main objective of the system of performance appraisal is to reward those who are working efficiently and honestly in the organisation. At the same time, it also aims at eliminating those who are inefficient and unfit to carry out their responsibilities. It has to be done almost continuously, so that no injustice is done to a deserving individual. It is, therefore, necessary to clearly define the organisational objectives, targets and priorities. It is further necessary to define clearly the role and responsibilities of the persons involved in the functioning of the organisation.

Performance appraisal also aims at helping the management in carrying out their tasks more effectively. A sound system of performance appraisal results in framing:

- a) a sound selection policy;
- b) an effective promotion and placement policy;
- c) an improved system of career and manpower planning;
- d) a realistic training programme;
- e) a good reward and punishment system; and
- f) an effective system of control and discipline in the organisation.

These elements are essential for any modern personnel management system. No country can neglect them for long.

We can thus say that the main objectives of performance appraisal are as follows:

- i) To carry out a fair and impartial assessment of the quality, quantity and style of the work performance of the individuals working in the organisation.

- 2) To assess the extent of the various factors which influence the performance of the individuals.
- 3) To reward the capable and efficient employees.
- 4) To provide opportunity for improvement of their potentialities to those who are less capable and efficient.
- 5) To make optimum utilisation of the available human resources for the fulfilment of the organisational goals.
- 6) To help management in evolving and framing sound policies and programmes relating to selection, placement, promotion, training, discipline, control and manpower planning, etc.

Check Your Progress 1

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

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

- 1) Discuss the need and importance of performance appraisal in Personnel Administration.

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- 2) What are the main objectives of performance appraisal?

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18.5 METHODS OF PERFORMANCE APPRAISAL

Different methods of performance appraisal are adopted in different countries. Usually, it is used as a control mechanism and an instrument for giving incentives or punishment. Promotions are usually based on performance appraisal system. Since 1956 the Government of India has been following a system of "grading" the performance in the following 'five' grades:

- 1) Outstanding,
- 2) Very Good,
- 3) Good,
- 4) Fair, and
- 5) Poor.

The work of 'grading' is done by a departmental promotion committee. Those who are placed in the 'outstanding' grade are given enbloc promotions, followed by 'very good' and 'good' grades.

Annual Confidential Report

Individual performance of the employee is usually assessed on the basis of an Annual Confidential Report given by the superior about the subordinate based on a form. This form contains all those entries which can determine the adequacy and quality of work done as well as the general personality and integrity of the person reported upon. The reporting officer also can comment about his fitness for promotion or otherwise. In order to avoid ambiguity and subjectivity in this system a common grading of 'outstanding', 'above average', 'fair' and 'below average' is prescribed to judge each item in the form. The A.C.R. written by a superior reporting officer is evaluated by a 'reviewing officer' and finally endorsed or countersigned by the next higher officer.

The above mentioned 'service-record rating' system based on 'Annual Confidential Report' which accounts for the individual's experience, previous contribution, personal history, personality traits, etc., has been accepted in almost all countries for performance appraisal. In recent years, there are further improvements in this system. If there is an 'adverse' remark in A.C.R. about a person, he is informed about it. The intention is that he should correct himself. He is also given an opportunity to represent to the higher authority about the 'adverse' remark. Such representation is considered by a higher reporting and reviewing authority and finally a decision about it is taken.

Service Rating Method or Efficiency Rating

For performance appraisal it is necessary to determine the efficiency with which an employee performs his several duties in the day-to-day working. This is done through service-rating or efficiency rating methods. There are several service rating/efficiency rating systems in vogue in advanced countries like, the USA and UK. Those commonly used in the USA are man to man comparison, linear scale rating, graphic scale rating, graded answer, and work report, etc. The computers are being used for the purpose of service rating in the USA. The two types of service rating systems which are most commonly used in the USA and many other countries are:

- 1) Trait Rating system, and
- 2) PROBST/Graphic System of 'Personality Inventory'.

(A) Trait Rating System

In trait rating system a person's qualities like knowledge of work, aptitude, attitude towards others, job performance, etc. are rated like satisfactory/unsatisfactory, below job requirements, normal or above job requirements, etc. The final performance appraisal is based on the result of the trait rating system.

(B) PROBST/Graphic Rating System

In the PROBST service rating system the personality factors are given more importance. Following items, for example, are taken into consideration in this system of service rating.

Number of days of absence
Reasons for remaining absent
Punctuality
Promptness
Quickness, Smartness, Lazyness
Talkativeness
Gentle/Blunt/outspoken
Accepts/shirks from taking responsibilities
Obedience/disobedience
Reliable/unreliable
Personal appearance; and
Fitness for higher position. etc.

Service rating is done in different ways. In advanced countries, like the USA, this is done in very systematic manner by computers. In India sometimes rating is done by awarding marks in different columns specified for different qualities. Different gradation systems have also been followed for this purpose. It is thus evident that different methods are followed for the purpose of performance appraisal in different countries.

18.6 FACTORS AFFECTING PERFORMANCE APPRAISAL

There are various factors which, directly or indirectly, influence the system of performance appraisal. There are some factors which introduce subjectivity whereas, some other factors hinder objective assessment. Both types of factors are discussed below.

Superior Officer's Value System

Usually the superior officers are entrusted with the work of assessment and write reports of the subordinates. They are expected to do this objectively. What usually happens is that the superior officer judges the performance of the subordinates on the basis of his own value-system. Different persons believe in different value-systems based on their own socio-cultural conditions. Often it is found that the reports are influenced by the superior officer's value-system. This subjective element has great impact on the Appraisal Report which is based on superior's final judgement.

Dominant Work Orientation

Sometimes the Performance Appraisal Report of a subordinate written by his superior is found to be influenced by the dominant work orientation of the superior officer. There is over-emphasis on certain aspect of the work by the superior. This dominant work orientation introduces subjectivity in the system of performance appraisal. A superior judges the performance of the subordinate on the basis of the following dominant elements:

- a) preference for work of dynamic nature;
- b) preference for strict maintenance of routine work;
- c) emphasis on status and inter-personal relations;
- d) emphasis on qualities which do not have much functional utility; and
- e) emphasis on confirmity to some ideology.

Above elements introduce subjectivity in the process of assessment, influence the judgement of the superior and create distortions in the performance appraisal of the subordinates.

Inter-Personal Relations

Many times the psychological make up of the subordinate and the superior influences their personal relationship, apart from other situational influences. The subordinates very often take those actions which are liked by their superiors. Subordinate judges his own actions on the basis of the approval and appreciation of the superior. Such action of the subordinates satisfy the superior psychologically. The adaptability or otherwise of the subordinate plays important role in the system of performance appraisal. The inter-personal relations introduce considerable amount of subjectivity in the system of appraisal.

Loyalty

On many occasions and particularly in the Indian context 'loyalty' factor has considerable influence on the performance assessment. Loyalty may be due to common values, objectives, emotional needs, interests, caste, religion, language or region. Loyalty factor usually brings the superior and the loyal subordinate closer and closer to each other. It also increases the distance and distrust between the superior and other less loyal subordinates. This brings subjectivity in the performance appraisal system as every superior judges the subordinates on the basis of the extent of loyalty to himself.

Level of Achievement

Superior officer's own level of achievement affects the appraisal of the subordinate. If the actual difference between the levels of achievement of the superior and subordinate is quite wide, it can create problems of adjustment and objective evaluation of performance.

Factors Hindering Objective Assessment

There are several factors which hinder the objective appraisal of the performance of the subordinates. These factors make it almost impossible for the superior to make objective assessment of the performance of the subordinates. These are as listed below:

- a) Superiority complex of the superior/reporting officer;
- b) Instead of assessment of overall performance, insistence of the superior to assess only specific aspect of the work;
- c) Past-record of the subordinate;
- d) Overall personality of the subordinate;
- e) Extent of work-contact between the subordinate and the reporting superior;
- f) Social status of the subordinate; and
- g) Capacity of the subordinate to exercise influence at higher level.

Check Your Progress 2

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

- 1) Explain the various methods of performance appraisal.

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- 2) Discuss the factors influencing the system of performance appraisal.

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18.7 PERFORMANCE APPRAISAL IN GOVERNMENT

The existing system of performance appraisal in India consists of an annual report given by the superior about the subordinate regarding his work, achievements, ability, integrity and personality. A printed form carries different types of questions, which is filled by the superior. Different grading like "outstanding", "above average", "fair", "below average" is prescribed to judge each question in the form. There are two to three officers who write the report, review the report and finally counter sign the report. Generally if there is any adverse remark, the concerned official is informed about the same, to which he can reply, if he so desires. Such reply is considered in consultation with the reporting and reviewing officer and a final decision is taken to expunge, modify or retain the adverse remarks in his report. The communication of adverse remarks to the person concerned is based on the principle of natural justice. That is, none should be punished without being heard.

There are many drawbacks in the present system of performance appraisal. The subjective elements in writing the report have been already discussed earlier. Firstly, yardsticks of value system are not commonly accepted by all the officers. Different yardsticks are applied by different officers. Secondly, many countersigning officers do not have any direct or intimate knowledge about the work of the person about whom the report is to be made. Thirdly, there is no uniformity or consistency in the method of appraisal. The reporting officer may command the clear thinking of one person and the drive of another one. Fourthly, it has been found on many occasions that the adverse remarks are not communicated to the concerned reported officer.

18.8 RECOMMENDATIONS OF THE ADMINISTRATIVE REFORMS COMMISSION

The Administrative Reforms Commission considered the issue of performance appraisal. It made the following main recommendations:

- a) The official should submit a brief resume of his own work done and any special achievements made by him. The reporting officer should take into consideration this document before making his own comments. Reviewing officer after recording both the comments should give his own comments, if any, and also do the grading.
- b) The Commission recommended that five point grading should be discontinued and instead of that three point grading should be made. The grading proposed by the Study Team was:
 - i) Fit for promotion out of tune;
 - ii) fit for promotion;
 - iii) not yet fit for promotion;
- c) Good work done during the year should receive prompt appreciation either on a file, or in a tour or inspection note. The concerned official should be allowed to quote these in his resume;
- d) Administrative Reforms Commission also recommended that in view of our new approach to the annual reports as a document spot-lighting the performance of an official during the course of the year, we recommend that this report should be called "performance report" instead of "confidential report"; and
- e) Whenever the merit of the candidates is equal, seniority should be considered for promotion.

The above recommendations have been accepted since 1977 by the Government.

Check Your Progress 3

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

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

- 1) Explain the performance appraisal method followed by the Government of India.

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- 2) Discuss the main recommendations of the Administrative Reforms Commission to improve the performance appraisal system.

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18.9 LET US SUM UP

In the personnel policy of any country, promotion of the servants plays a very significant role. It is, therefore, necessary that right type of persons must get promotions. The system of performance appraisal plays a key role in selecting persons of high quality and integrity to shoulder the responsibilities of higher positions. Performance appraisal has, therefore, become an integral and important aspect of personnel administration in almost all countries. It not only helps in improvement of the efficiency of the individual civil servant but also improves the overall efficiency of the organisation. Individual also gets feed-back which enables him to develop himself to meet the objectives of the organisation. In the Government, the performance appraisal system is used as a control mechanism and a tool to give incentives to those who are competent and efficient.

Several methods of performance appraisal are in vogue in different countries. In India the performance appraisal is primarily based on Annual Confidential Report written about each and every civil servant. Service-rating grading system and service-record rating system have also been recently introduced. There are several factors which affect performance appraisal system in India. The Administrative Reforms Commission made several important recommendations to improve our system of performance appraisal. Many of those recommendations have been accepted by the government. The unit has discussed all these aspects. Yet we cannot say that performance appraisal has become perfect and objective. Many reforms are still necessary to improve the performance appraisal system in India.

18.10 KEY WORDS

Performance: Refers to both the quantity (volume of output) and quality (excellence of accomplishment) of work by the performer.

Appraisal: An objective assessment, balanced judgement and unbiased evaluation of performance of the job by any performer.

18.11 SOME USEFUL BOOKS

Avasthi, A. and S.R. Maheshwari, 1982. *Public Administration*; Laxmi Narayan: Agra.

Maheshwari, S.R., 1972. *The Administrative Reforms Commission*, Laxmi Narayan: Agra.

Mathur, B.C., K. Diesh, C. Chandrasekharan (eds.), 1979. *Management in Government*; Publication Division, Govt. of India: New Delhi.

Sharan, P., 1981. *Public Administration*; Meenakshi Prakashan: New Delhi.

18.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- through fair system of performance appraisal, the employees can be informed from time to time about their own level of performance;
- it helps to improve the organisational health, viability and growth through optimal utilisation of human resources;
- performance appraisal is needed to prepare an employee to accept more responsibilities of the higher post which he aspires through promotion; and
- it also pinpoints the shortcomings of an employee thus giving him a chance to improve.

2) Your answer should include the following points:

The main objectives are:

- to carry out a fair and impartial assessment of the individuals working in the organisation

- to assess the extent of the various factors influencing the individuals' performance
- to reward the capable and efficient employees
- to make optimum utilisation of the human resources
- to help the management in evolving and framing sound policies and programmes relating to selection, placement, promotion, discipline, control and manpower planning.

Check Your Progress 2

- 1) Your answer should include the following points:
 - Annual Confidential Report
 - Service Rating Method or Efficiency Rating
 - Trait Rating System and PROBST/Graphic Rating System
- 2) Your answer should include the following points:
 - Superior Officer's value system
 - Dominant work orientation
 - Inter-personal relations
 - Loyalty
 - Level of achievement
 - Factors hindering objective assessment

Check Your Progress 3

- 1) Your answer should include the following points:
 - the performance of an employee regarding work, achievement, ability, integrity and personality is judged by his superior through Annual Report on a prescribed form.
 - different grading is prescribed to judge each variable in the form.
 - in the process of report writing two to three officers are involved. One writes the report, the other/s review/s it and finally countersigns the report.
 - the employee is informed about any adverse remark/s made in his report so that he could reply to it, if so desires.
- 2) Your answer should include the following points:
 - the officer concerned should submit a brief resume of his own work done.
 - instead of 5-Point Grading, 3-Point Grading should be made.
 - prompt appreciation for the good work done.
 - seniority to be considered for promotion in case the merit of candidates are equal.

UNIT 19 SALARY ADMINISTRATION (INCLUDING INCENTIVES AND OTHER BENEFITS)

Structure

- 19.0 Objectives
- 19.1 Introduction
- 19.2 Methods of Pay Fixation
- 19.3 Methods of Job Evaluation
- 19.4 Principles of Pay Fixation
- 19.5 History of Salary Administration during British Rule
- 19.6 Principles Adopted for Salary Administration during the Post-Independent Era
- 19.7 Incentives—Meaning
- 19.8 Other Benefits
- 19.9 Let Us Sum Up
- 19.10 Key Words
- 19.11 Some Useful Books
- 19.12 Answers to Check Your Progress Exercises

19.0 OBJECTIVES

After reading this unit you should be able to:

- describe the methods of pay fixation & job evaluation;
- discuss the principles of pay fixation;
- trace the history of salary administration in British India; and
- describe the salary administration, incentives and other benefits in the post-Independent era.

19.1 INTRODUCTION

Compensation plan has an integral role in personnel administration and it is based on the classification plan. The significance of pay rates is reflected long before the employee enters a job. They have impact on recruiting, on public service prestiges and on the extent to which youngsters will set out to prepare themselves for government work. As a result they have an impact on the nature of school and college curricula, and on every other aspect of public personnel administration. The importance of pay or compensation is very great for every employee. The standards of living and the social prestige of an employee depend to a great extent on the pay he/she draws. A person chooses his/her career on the basis of pay which he/she expects to receive. Mason Haive remarks "pay in one form or another is certainly one of the mainsprings of motivation in our society". This unit will highlight the methods of pay fixation and job evaluation. Principles of pay fixation will also be dealt with. The unit will discuss the history and principles of salary administration in India. The need for providing incentives to the employees will also be highlighted in the unit.

19.2 METHODS OF PAY FIXATION

There are various methods of fixing up salaries of the public servants, each country follows a different method of pay fixation. It is determined by her past traditions, administrative patterns, nature of her constitution and character of the people. Some of these methods are:

- 1) Salaries are fixed by statute of the legislature. This system prevails in countries having immature personnel systems, such as Middle Eastern countries, and in local bodies and small cantons.
- 2) The legislature lays down the plan in broad schematic outlines but leaves the details to be determined by the Executive. Such is the case in India and in the federal Governments.
- 3) Salaries are fixed up by collective bargaining. Such is the case with all private enterprises and also with most of the public enterprises.
- 4) Salaries are fixed by local or area wage boards, determination of salary is based upon periodic study of prevailing rates. This method is usually adopted in public corporations and other public utility enterprises.
- 5) Lastly, there is the unplanned, haphazard system of wage determination, which is a relic of the past and is a sign of immature personnel system, but is not altogether extinct in the modern world. When a government undertakes a new activity, it usually follows no planned system of wage determination in the beginning but leaves it to time to evolve a proper system to suit that service.

There is always a need to determine salary on the basis of inputs like education, training and working environment. We must develop a pay structure which would ensure equilibrium between the inputs and the salary structure pertaining to self and in relation to others. This requires job evaluation which is the process of enquiring into the inputs required of employees for minimum job performance and equating the relative worth of the various jobs within the organisation so that differential pay may be paid to jobs of different worth.

In most of the newly created organisations, the salary structures are adopted from other organisations as job evaluation is always expensive to administer and to keep up-to-date. Many top executives feel that job evaluation should be avoided as long as problems are not too serious. However, job evaluation is a scientific method to determine pay structure.

19.3 METHODS OF JOB EVALUATION

There are two methods of job evaluation that are normally used by the organisations :

- 1) **Non-analytical** : Non-analytical methods establish grade hierarchy but are non-quantitative while analytical methods are quantitative and can be expressed in some numerical form. Small organisations prefer non-analytical methods as compared to analytical which are used by large organisations.
 - a) **Job Ranking Method** : Ranking is a direct method of comparing jobs together so that they are ranked in their order of importance. This technique simply lists the relative worth of the various jobs under consideration; jobs are not divided up factor-wise but are considered as a whole. Because of the difficulties in ranking, a large number of jobs at one time, the 'paired comparison' technique of ranking is sometimes used. Besides, we can use the technique of selecting top and bottom jobs as bench-marks for the remainder of the ranking process and ranking based on organisational charts. Ranking system is easy and quick to administer. The chief disadvantage of the method is that it is subjective as there are no 'yardsticks' for the jobs and obviously the underlying assumption of those doing the ranking cannot be examined.
 - b) **Job Classification Method** : In this method, we select one or two jobs from each level of the grading structure and prepare standard descriptions of the duties, responsibilities and requirements of these jobs. These jobs are known as bench-marks or key jobs. Job descriptions are then examined, and jobs are classified into the grades or levels that seem to be the most appropriate. Since it depends upon the

existing jobs for classification, if becomes unrealistic and cannot gauge into the changes in job contents. Besides, jobs by total content rather than in the assessment of individual tracts go to make the position.

ii) **Analytical** : Analytical methods are quantitative. Therefore they can be expressed in numerical form.

a) **Weighted Point Assessment** : The point method of job evaluation analyses several factors common to the job being evaluated, and then rates each job along a scale of each factor. The general scheme is identical to that of graphic rating scale which is the most widely used device in the appraisal of employees. The rating scale includes a definition of each compensable factor.

b) **Factor Comparison Method** : The factor comparison method is more complicated than the point method. Its essential features are :

- i) Selects job factors or characteristics.
- ii) Constructs a scale for each job factor.
- iii) Measures all jobs in terms of the yardsticks.
- iv) Conducts a wage survey for selected key jobs.
- v) Designs the wage structure.
- vi) Adjusts and operates the wage structure.

To illustrate the above steps, let us take two jobs, i.e. lecturer and a clerk in a University. The factor ranking these jobs may be done as follows :

Factor Rank Order	Lecturer	Clerk
1)	Mental requirements	Skill requirements
2)	Skill requirements	Physical requirements
3)	Responsibility	Working conditions
4)	Physical requirements	Responsibility
5)	Working conditions	Mental requirements

The next step is to ascribe monetary values to each factor. If the composite wage is known, then each factor must have certain value. For the two bench-marks, we may ascribe the following monetary values :

Factor	Lecturer	Clerk
Mental requirements	800	50
Skill requirements	100	150
Physical requirements	100	150
Responsibility	300	100
Working conditions	50	150
	<u>1350</u>	<u>600</u>

The method discussed above has some limitations and not fool proof. The most difficult task in term of employment is the establishment of base compensation for the job. We must adopt a systematic method of compensation which could promote equity and satisfaction.

19.4 PRINCIPLES OF PAY FIXATION

The pay-scales of public employees are fixed in accordance with following principles.

i) Economic Position of the Country

The pay-scales of public services should be related to the means or per capita income and extent of economic position of the country. This involves the scaling down of salaries of the top officials.

ii) Cost of Living and the Price Level

Salaries in government services should also bear relationship with the cost of living, so there should be provisions for revision and adjustment of pay rates with at least

major changes in the cost of living. In short, salary scales in the public services should be both just and adequate. Inadequate salaries in the public service are an expense and not an economy. There should also be sufficient flexibility in the compensation plan to allow administrators to give some employees double or triple increment and to permit the appointment of recruits within a salary range rather than necessarily at the bottom step.

The cost of living varies from region to region in the same country. So regional and local variations should be kept in mind in compensating the employees. The level of consumer prices is among the factors relevant to the determination of rates of remuneration of government servants.

iii) State as the Model Employer

The 'model employer' principle is not suitable for determination of remuneration, but it should be taken into account.

The minimum wage of salary should not be determined only on economic considerations, but should also satisfy social tests. Even above the minimum level, government should remunerate their employees fairly.

In the present circumstances, the principle of the fixation of salaries should also take into account the remuneration in outside employment. Once the demands of efficiency of the public service are satisfied, social considerations require limitation of disparities between the highest and the lowest salaries, and their reduction as far as possible. With the minimum and maximum salaries having been determined on a combination of social and economic considerations, sound and equitable internal relatives constitute the most important single principle to be followed in the determination of the intermediate salaries and wages of government servants.

iv) Equal Pay for Equal Work

Equal pay for equal work is an important factor in the determination of pay scales. There should not be individual variations in the pay scales on the basis of favouritism. "There should be compensation of the position and not the individual."

v) Prevailing Market Rate

Four steps are involved in identifying and analysing the effects of the prevailing market rate in salary administration.

First of all, in the primitive era when human being's needs were relatively few, the Government servant was paid in kind, mainly in the form of foodgrains and the employer determined the kind of salary that had to be paid to the government servant.

The second stage brought forth the traditional labour market supply when the autonomous forces of demand and supply of labour in the market place determined what salary employer was going to pay to the government servants. The conditions of labour market as well as the competitive forces in the market determined the level of salaries.

In the third stage, we come across the institutional labour market supply, where labour organised itself in the form of trade unions with a view to protecting the economic interests of the government servants.

In the fourth stage, we perceive a tri-partite system of salary administration coming into vogue.

vi) The Policy of the Government

This is one of the main principles in the fixation of salaries. By and large, the political complexion of the Government; the ideologies professed and practised by it and the level of opposition faced by it, determine the policy of the Government in fixing the various scales of pay. The variety, magnitude and number of pay scales depend upon the challenges encountered by it from the private manufacturers and industrialists. The motive force behind salary administration by the Government is to attract, promote and retain efficient staff.

Check Your Progress 1

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

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

1) What are the methods of job evaluation?

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2) Discuss the principles of pay-fixation.

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19.5 HISTORY OF SALARY ADMINISTRATION IN BRITISH RULE

Rising prices and the consequent fall in the real pay of the Civil Servant was yet another factor in the decline of his/her status. While making general recommendations regarding the pay and pensions of the employees of Indian Civil Service, a Government of India circular letter of 23 January 1919 held out a promise to do something to restore the real pay of the Services to a level which had proved attractive twenty years ago. But it did not commit itself and merely sought the view of local Governments.

The rise in prices was of course an important factor in the new situation. While justifying its proposal to have salaries increased by at least 30 per cent, the Government of Bihar and Orissa, for instance, pointed out that between 1890-1912, the general level of prices had risen by as much as 30 to 40 per cent and that the average increase since 1900 might fairly be taken at 50 per cent. The U.P. Government even went so far as to say that as a result of the loss of real pay many officers were in debt, few officers had been able to put aside any savings, the new demands on the public services would be more exacting than in the past; the importance of securing good men/women would be greater than ever, while the attractions of service in India were likely to make a less effective appeal. It therefore recommended a 50 per cent increase of salary as justifiable and 33 per cent as essential. Other local Governments also expressed themselves generally in favour of pay increases, as the Service, even before the War, had lost its attractions; its initial terms and pay compared unfavourably with those obtained by Junior Assistants in the commercial houses of Calcutta. The Home Civil Service had thus started drawing away candidates at the top of the competitive list. The political changes in India and the increased opportunities created in England for promising young person after the War served as an additional inducement for top candidates at the combined examination to opt for the home Civil Service.

However, a more important source of dissatisfaction was the existing graded system which blocked promotion. Under this system officers were required to discharge, for a number of years, the duties of minor importance and then promoted to charges of major responsibility, such as Collectorships or District Judgeships. Separate scales of pay were accordingly fixed for officers employed on each of these classes of duties. It was laid down that no officer would be compensated on the higher scale unless (1) he

was declared fit for the higher job, and (2) a vacancy occurred where he could be placed. Thus, when promotion was retarded, an officer received no increments for an indefinite period, and even when he was promoted to the higher scale, he had to start at the minimum of that scale. This penalty continued for the rest of his career, for until he reached the maximum, he was always drawing less than he could legitimately expect. On the other hand, if promotion was accelerated, an officer could get the higher scale sooner and attain the maximum sooner than usual.

A circular letter of 23 January 1919 therefore suggested the introduction of a time-scale incremental system under which the lower grade was subject to maximum increments with a minimum being fixed for the superior grade. An officer holding an inferior appointment under this system, kept on drawing his pay according to the inferior scale, subject to an efficiency bar, which might, as indicated by the Islington Commission, be Rs. 900 per month. The holder of a superior appointment was to draw pay according to the superior scale up to the point at which selection outweighed seniority. In discussions at different levels opinions differed as to the minimum and maximum that should be fixed for each of the scales of salary. While the minimum suggested for an inferior appointment ranged between Rs. 450/- and Rs. 600/- that for a superior post varied between Rs. 950/- and Rs. 1,100/-. Similarly, the maximum limit suggested for a superior charge ranged between Rs. 2,400/- and Rs. 3,000/- while that for the inferior was to stop at Rs. 1,500/- or Rs. 1,600/- the efficiency bar being placed at the twelfth year. The whole question was studied in all aspects by Sir Malcolm Hailey who, in a Finance Department Note of 5 July, 1919, made his recommendations on the subject. The Government of India and Secretary of State accepted these with a few modifications which specially included the overseas allowance as an integral part of the whole pay structure. The picture that finally emerged on the revision of pay scales was embodied in a Resolution of the Government issued on 13 February 1920. It came into force with effect from 1 December 1919.

19.6 PRINCIPLES ADOPTED FOR SALARY ADMINISTRATION DURING THE POST- INDEPENDENT ERA

A wage and salary administration programme must follow certain basic principles, otherwise they are not sound. Often there is more emphasis placed on the techniques and processes than on the objectives and principles of salary administration. The following are the principles of salary administration:

- 1) Job evaluation (or rating) plan and compensation plan must be separate and distinct and so understood by all.
- 2) Both the job evaluation and compensation plans should be sufficiently flexible to accommodate peculiarities of local labour conditions.
- 3) Evaluation (or rating) must be scientifically sound and easily comprehensible.
- 4) Individual responsible for the administration of the wage administration plan should, wherever possible, report directly to the same administrative level as director of personnel.
- 5) Extreme caution should be exercised in selection of wage and job analysts and others who are to be concerned with the execution of the programme.
- 6) The plan offers satisfaction to the just or reasonable interests of the employer or, in the case of a corporate enterprise, the stockholders.
- 7) Wage administration plan must at all times be consistent with management policies or programmes.
- 8) The job rating and compensation plans should be understood by and acceptable to the employees affected, in order that they may appreciate the objectivity and impartiality of the procedure.
- 9) There should be employee representation in the administration of the plan, in the conduct of locality wage surveys and in the original rating of new positions.
- 10) The wage administration plan itself must be acceptable to and in the interest of that portion of the public which is affected, directly or indirectly, by the

- 11) The wage administration plan must be flexible and responsive to changing circumstances growing out of locality conditions.
- 12) The wage administration plan must be consistent with nature and objectives of the organisation.
- 13) The plan, therefore, must be geared to the type of conditions which prevail in the particular organisation, with due regard for the consequences of size, frequency of job changes and reorganisations.
- 14) The wage administration plan must simplify and expedite, rather than impede the other administrative processes.
- 15) The wage administrator must occupy a responsible niche in the organisation, and his/her responsibility must be to coordinate with, and in reciprocal relationship to, that of the other phases of administration.

The basic considerations or principles must guide the development, implementation and modification of salary administration system. From time to time, pay commissions have been set up to look into the matters of salary administration. They are as follows:

i) Salary Fixation by the First Pay Commission

The Indian system of classification, though not strictly based on the salary rates or the character of the work done, reflected these elements also. The First Pay Commission appointed under the Chairmanship of Sri Srinivasa Vardachariar, an Ex-Judge of the then Federal Court of India observed in its Report, submitted in 1949, that this classification was also linked up with differences in privileges in respect of disciplinary actions and right of appeal. The Pay Commission took exception to the description of the services as 'subordinate' and 'inferior', on the ground of its being derogatory and recommended its substitution by Class III and Class IV services. It rejected a plea for the Constitution of a Central Scientific Service, and instead, suggested the integration of the scientific and technical posts into the existing classification of Class I, II, III and IV. Since July 1974, the classification of Government officials under Classes I, II, III and IV was changed into 'Groups' 'A', 'B', 'C' and 'D'. The official circles view this change as the spread of democracy into the structure of services.

ii) Recommendations of the Second Pay Commission

As per the recommendations of the Second Pay Commission in its Report submitted in 1959, a single standard scale for Class II was accepted. Pay scales and/or grades in Class III were even more numerous. For the clerical staff there were four supervisory grades plus three more as U.D.C., L.D.C. and Stenographers. In the Central Secretariat, the entire hierarchy was broken down into nine grades consisting of Secretary, Additional Secretary, Joint Secretary, Deputy Secretary, Under Secretary, Section Officer, Assistant, U.D.C. and L.D.C.

According to V.A. Pai Panandikar, the present four-fold classification was not organised on any systematic basis. A conceptual framework was essentially lacking and the basic categories arose entirely by a historical accident. The numerical calling superimposed on the various services was merely a matter of convenience. In other words, the present classification system was never designed nor intended either for orderly grouping of services or as a tool for managing the personnel. The absence of a clear-cut principle of classification has certainly taken a toll of effective personnel administration. The Second Pay Commission estimated in 1959 that there were 517 different scales of pay, out of which only 177 had more than 100 employees each. For administering these differing provisions of pay and other benefits of service, the Government of India had to maintain a large staff to check and calculate these benefits. Because of Second Pay Commission's recommendation, the number of pay scales was reduced by nearly 200.

iii) Recommendations of the Third Pay Commission

The Third Pay Commission, set up by the Government of India on 23 April, 1970, submitted its report in two volumes in 1973, under the Chairmanship of Shri Raghubar Dayal, an ex-judge of the Supreme Court.

The Commission was to give consideration to the principles which should govern the structure of emoluments and conditions of service of Central Government employees

and to formulate measures which should be taken to change the structure of emoluments and service conditions. It had also to take into consideration the structure of death-cum-retirement benefits to the members of the armed forces and the all-India services, the main effort of the commission was to rationalise the pay scales numbering over 500 and reduce them to just 80 and, in the process, give better pay scales to different categories of employees. To reduce the disparity in pay scales, the commission raised the minimum salary to Rs. 185/- per month, as a result of which, the disparity ratio between the minimum and maximum salary was reduced from 15.4 on January 1, 1970 to 11.8. It did not recommend any change in the existing maximum salary. The Commission also made recommendations pertaining to working hours, holidays, overtime allowance and other welfare measures as well as classification of posts based on an assumed equivalence of work content of different levels of various occupational groups of employees. As regards reduction in the number of grades, the commission opined that it will result in curtailment of promotion opportunities in certain spheres. It felt that employees were now unlikely to accept a permanent reduction in their emoluments, however, small it may be. Any simplification of the pay structure can be expected to result more in the prevalent scales drawing level with the highest in a group rather than in any general lowering of these scales. The commission, therefore, did not think it appropriate to adopt the schemes of a unified grading structure. However, the commission did suggest the adoption of jobevaluation on a continuing basis.

In devising its pay structure, the Third Pay Commission kept in view the text of 'inclusiveness', 'comprehensibility' and 'adequacy'. It commented that an uncritical use of comparison between Government salaries and the salaries of organised trade and industry, without considering the work content and the totality of prevailing circumstances, is not justified. The Government had to take note of its dual role, both as employer, and as the supreme authority responsible for the governance and development of the country.

The commission recommended that a common wage policy should be evolved for public sector undertakings and an effective coordinating machinery should be established to ensure that the pay scale of any public sector undertaking do not go seriously out of line with those in other public sector undertakings and under the Government. The commission fixed the pay scales of various posts under the Government with reference to their duties and responsibilities, difficulty and complexity of the task, and qualifications. It recommended that there should be a more effective application of efficiency bars in the various scales and the crossing of efficiency bar should not be a routine matter.

iv) Recommendations of the Fourth Pay Commission

The Fourth Pay Commission, set up by the Government of India in July 1983, under the chairmanship of Justice P.N. Singhal, came into being on September 1, 1983. The terms of reference of the commission included the examining of the then existing structure of emoluments and conditions of service as well as other benefits available to all Central Government employees, personnel belonging to all-India Services, employees of Union territories and armed forces personnel and suggesting changes that may be desirable and feasible. The recommendations of the Commission covered about 52 lakhs Government employees including those of the armed forces. The Commission reduced the number of pay scales of civil employees from 153 to 36. The minimum and maximum scales of pay, recommended by the Commission were Rs. 750-940 and Rs. 9,000 respectively. Its other recommendations included, inter alia, enhanced allowances, upgradation of posts in the central police in the union territories, free rationing for armed personnel, leave encashment up to 240 days at the time of retirement, educational assistance for all employees, enhanced reimbursement of tuition fee of children and medical allowance, age relaxation up to 35 years for widows, divorcees and legally separated women, introduction of modern techniques for efficient administration, regular training for officials at all levels, rationalised and improved allowances and facilities for the armed forces, earned and accumulated half pay leave as privilege leave, elimination of communal holidays and a slight increase

19.7 INCENTIVES—MEANING

The term incentive is used to describe material and non-material benefits to employees in addition to their normal salaries for making their best efforts to promote productivity and efficiency. It may take the form of wage payments related to employees' performance in addition to the normal salaries given for the standard work assigned to them. Such incentive plans must have a 'base line' standard so that performance over and above this standard can be rewarded. These incentive plans are linked directly or indirectly to standards of productivity or the profitability of the organisation or to both the criteria. According to Wendell French, the purpose of incentive plans is to increase the morale and motivation of employees to contribute to the goals of the organisation by offering financial inducements above and beyond basic wages and salaries. Megginson defines incentive wages as the extra compensation, paid to an individual, for all production over a specified magnitude which stems from his/her exercise of more than normal skill, effort or concentration when accomplished in a pre-determined way involving standard tools, facilities and materials.

One of the biggest challenges to modern organisations is how to ensure productivity/efficiency. Most of the individuals become slow and lazy as they realise that their performance has no relevance to them. They are convinced that their extra interest or labour would not make any difference to them. Paul Pigors has rightly posed this challenge when he stated "A continuing challenge for management is how to share the gains from higher productivity in ways that will stimulate the interest of employees in improving their performance of the job and the productivity of the organisation as a whole." Incentive systems can impel an employee to earn more by working hard.

Non-material incentives may take the form of recognition of the work of the employees through appreciation letters, merit certificates, medals etc. Such awards benefit the employees indirectly i.e. promotion or nomination to higher posts.

It has been recognised that economic gain is not the only incentive. In this connection, Allport observes, "Employees in an organisation are 'not economic men' so much as they are 'ego-men'. What they want, above all else, is credit for work done, interesting tasks, appreciation, approval and congenial relations with their employers and fellow workers. These satisfactions they want even more than high wages or job security."

R.K. Misra favours the judicious use of both monetary and non-monetary incentives to achieve productivity. He says: While budgetary restrictions and temporary improvements in performance place a limit on the potency as a motivator, non-financial incentives involve only human ingenuity as investment and also ensure a relatively stable acceleration in output. Monetary incentives imply external motivation; non-monetary incentives involve internal motivation. Both are important. It is a judicious mix-up of the two that tends to cement incentives with motivation. There are various types of incentives which are discussed below:

1) Materials Incentive Plans (Individual Incentives, Group Incentives, Profit Sharing Plans)

It is the plan to award individuals or a group of individuals extra payment for the extra work done by them. According to Loudon the purpose of individual incentive plan "...Is to offer a financial incentive for a worker or group of workers to produce work of an acceptable quality over and above a specified quantity." According to Wolf, "Their primary purpose is to aid in obtaining minimum unit costs thereby contributing to enterprise profits." These individual incentive plans can be categorised into piece rate plans and production-bonus plans.

There are a large number of problems to institute individual incentive plans. The most serious problem is the criteria to fix standards. Besides, the scheme may generate friction among workers and also reduce quality. Employees in an organisation can be encouraged to make suggestions through a suggestion box to promote productivity and reduce costs. This would also encourage employees

participation in the policy-making and decision-making of the organisation. Supervisory and professional employees are excluded from these plans as this is a part and parcel of their job contents. Many companies use this system. Most Government organisations are spending huge amounts for research and development (R&D) which can be shared by employees. The suggestions given by employees would be quite effective as they understand the functioning of the organisations. However, care may be taken that such suggestion plans may not result in friction and lay offs etc.

Group-Incentive Plans

The purpose of group-incentive plans is the same as that of individual incentive plans except that the incentives are paid to a group rather than the individuals engaged in a particular plant or section.

Profit-sharing Plans

The purpose of profit-sharing plans is to distribute the additional profits among employees as incentives in the form of bonus which may be paid in cash or transferred to their account. The amount credited to their account can be withdrawn only if the employees have worked for minimum period of time.

ii) Non-material Incentive Plans (In the Form of Appreciation Letters, Award of Medals, Merit Certificates etc.)

These incentive plans may take the form of appreciation letters, award of gold/silver medals, merit certificates, etc. These incentive plans can be of great use in organisations where business, commercial or industrial outlook is absent. In organisations, dealing with welfare activities or law and order or defence and so on, it is very difficult to compensate the hard work of the employees with money. Here, we can make use of non-financial incentives which keep the morale of hard-working employees strong.

Problems of Incentive System

Incentive schemes if not properly implemented can create problems, e.g., (i) There is a tendency amongst employees to improve quality at the cost of quantity; (ii) there is a danger that the safety regulations may be disregarded by workers and this may result in higher accident rates; (iii) there is a danger that the workers may undermine their health under the strain of work and finally such schemes may generate misunderstandings and jealousies among the workers because of the difference in their earnings.

However, it must be clear that a properly planned and implemented incentive scheme can promote efficiency/productivity. The study group of the National Commission on Labour has recommended that

Under our conditions, a wage incentive is concerned with an effective utilisation of manpower which is the cheapest, quickest and surest means of increasing productivity. The only practicable and self-sustaining means of improving manpower utilisation is to introduce incentive schemes and stimulate human efforts to provide a positive motivation to greater output.

Recommendation of A.R.C. on the use of Incentives to Promote Efficiency in Organisations

ARC had advocated the use of incentives to promote efficiency in organisations. ARC has recommended Recommendation No. 64.

- 1) Incentives for timely completion of a specific project may be provided through suitable awards such as a rolling cup or a shield. In individual cases, commendatory certificates may be issued.
- 2) Cash awards or one or two advance increments may be given to those who give valuable suggestions for simplification of work leading to economy in expenditure or otherwise increase efficiency.
- 3) Any exemplary or special achievement may be recognised by grant of medals as is practised at present in the Police Department.

19.8 OTHER BENEFITS

A) Allowances and Perks provided to the employees (Dearness Allowance, C.C.A., H.R.A, Travelling Allowance, Daily Allowance, Leave Travel Concession, Medical Allowance, Conveyance and Uniform Allowance etc.)

Pay is not the only form of remuneration that an employee receives from the employer. Fringe benefits are the common supplement to his/her salary or wages. For the employees, fringe benefits represent extra income, additional security or more desirable working conditions and these have considerable value in raising the employees' morale to keep them happy in their jobs and thus are worth the cost. It is suggested that fringe benefit scheme should be carefully planned. Consequently, the management should take a logical, objective and integrated attitude towards the fringe package. Considerable attention is needed in determining the optimum combination of fringe benefits for the organisation that will maximise employees' satisfaction and assure more efficiency.

Fringe benefits, nowadays, represent a substantial portion of the total personnel cost for an organisation. Employee's morale is directly and indirectly influenced by the quantum of the allowances and perks provided to the employees from time to time.

Dearness Allowance (D.A.)

It is intended to compensate the employees for the ever-rising prices and cost of living from time to time.

City Compensatory Allowance (C.C.A.)

Cost of travel in cities and other highly developed towns is increasing due to other factors such as rising cost of petroleum products and the employees need help to reach their place of work.

House Rent Allowance (H.R.A.)

It means an allowance granted to an employee to cover the house rent facility. It will be paid to the employee according to his/her basic pay.

Travelling Allowance (T.A.)

This means an allowance granted to an employee to cover the expenses which he/she incurs while travelling on official work from one place to another.

Daily Allowance (D.A.)

It is an allowance for each day of absence from headquarters which is intended to cover the ordinary daily charges incurred by the employee to maintain himself/herself.

Leave Travel Concession (L.T.C.)

This is granted to the employees once in 3 or 5 years, as they cannot undertake such journeys without help from the employers. It is a welfare measure.

Medical Allowance

Medical facility is being provided to the employees as a welfare measure with a view to save them from abnormal cost of medicine.

Conveyance Allowance

It is given in connection with the transportation of luggage from one place to another.

Uniform Allowance

Some categories of the government servants have to put on special uniforms while discharging their duties. For example, the police, the peons, etc. They receive a special allowance for their dress.

Children's Education Allowance

It is given to the employee to enable him/her to get his/her children educated under certain conditions.

In addition to the above allowances and perks provided by the Government, the employees enjoy benefits of security of tenure, leave, advances (interest-free as well as with interest), holidays, promotion, provident fund and retirement.

B) Retirement Benefits Available to the Employees

There are three forms of retirement systems namely (i) non-contributory; (ii) partly contributory; and (iii) wholly contributory. Under the first system the Government, undertakes to defray the entire cost of making the retirement allowances. The employees are not called upon to contribute any money to the retirement fund. Under the second system, the cost is partly met by the Government and partly by the employees. The contribution of the employees is secured through compulsory deductions from their salaries which are carried to a provident fund along with the Government's contributions. Under the third system the entire cost is met by the employees through deduction made from their salaries.

Each of these systems has its merits. Many people are unwilling to accept the first system. They say that the employee is under the same obligation to make provision through saving for his future needs as the persons in private employment. They advocate the wholly contributory system. On the other hand, some people maintain that the entire cost should be met by the Government. Just as the Government pays for the salaries of its employees, so it must pay for their retirement allowances which should be considered as a part of their salary. From the viewpoint of expediency it will do away with the expensive and complicated method of making deductions from pay. Finally, there are many others who look upon the responsibility as a joint one and advocate partly contributory system which occupies a middle position between the two extreme systems of non-contributory and wholly contributory. It is argued that this system will not unnecessarily burden either and will create the spirit of marking sacrifices in the employees. In India there are two main schemes of retirement benefits for the Central Government employees, namely, the pension scheme and the Contributory Provident Fund scheme.

i) Pension Scheme

The pension scheme involves cash disbursement to the retired employees in fixed monthly amounts. It guarantees them a secure life as long as they live. Secondly, pension system enables the Government to exercise greater control over the employees even after retirement. Pensions can be withheld at any time when it feels that the pensioner is engaged in any subversive activity against the State or has otherwise acted against the prestige of the Government. Pension cannot be claimed as a right. It is earned on the basis of satisfactory and approved service and future good conduct is an implied condition of every grant.

But the pension scheme, unless specially adapted to meet hard cases, results in hardship to the family of the public servant who dies prematurely in service or at the time of retirement or a few years after enjoying pensionary benefits. Moreover, he cannot retire with pension without putting in the qualifying period of service.

Kinds of Pensions

According to circumstances and conditions under which pensions are admissible, they may be classified into ordinary and extraordinary pensions. The ordinary pensions may be of the following kinds:

- 1) Superannuation pensions, given to an officer who retires at the prescribed age.
- 2) Retiring pension, given to an officer who retires after completing a fixed period of qualifying service.
- 3) Invalid pension, given to an employee who is permanently incapacitated for his work.
- 4) Compensatory pensions, granted to an officer whose permanent post is abolished and the Government is unable to provide him with an alternative post.
- 5) Compassionate allowances when pension is not admissible on account of a public servant's removal from service for misconduct, insolvency or inefficiency.

Extraordinary pensions are either in the form of injury pensions or family pensions. Injury pensions are paid to the government employee himself in case of injury received in the course of duty. Family pensions are payable to the widow or minor

children or in some cases to the parents of an employee killed in the course of the discharge of his/her duties. The Central Government and also some of the State Governments have, of late, made provisions for family pensions for those permanent government employees who die prematurely. This is one step forward towards ensuring economic security of public servants.

Besides pensions, there are, in certain countries other benefits like insurance benefits given to the public servants at retirement. Insurance systems are usually wholly contributory, the Government incurring only the establishment charges. The Government of India and some State Governments have introduced the insurance scheme for certain classes of their employees.

ii) General/Contributory Provident Fund

Under the system, there is a provision for Provident Fund to which an employee also makes a contribution to the fund. Hence, till the time of retirement, the employee makes a big amount of Provident Fund which he/she enjoys for the rest of the life.

Circumstances of Availing the Fund Facilities

Now the question arises under what circumstances an employee may be granted the fund facilities? They can be classified under the following heads:

- 1) **Age** : Age is the main consideration of retirement. There was a time when much importance was paid to the period of service than the age. For example, 25 years of service was necessary for retirement. Age was not a decisive factor. Now a worker retires after attaining a certain age. Retirement at the age of 60 proved to be satisfactory.
In U.S.A. retirement age is 65 to 70 years.
In U.K. retirement age is 60 to 65 years and
In India retirement age is 58 but extension may be granted up to the age of 60.
- 2) **Disability** : It is necessary to grant all the facilities of retirement to a worker who has become disabled either due to illness or any accident. Generally, such accidents occur in factories which make a worker disable and for them there must be a provision of fund.
- 3) **Death** : Death may be natural or accidental. In the case of natural death if it occurs prior to the retirement, then it is necessary that the amount which the employee has collected as provident fund should go to his/her dependents after adding the interest. If the death is accidental, then it becomes the duty of the Government to look after the deceased's family.
- 4) **Resignation** : If any worker has resigned from his/her post prior to his/her retirement, due to any reason or he/she is dismissed, then he/she must be given that amount which he/she has collected up to the time of resignation or dismissal as provident fund.

So, this system of retirement is beneficial for the employees where everything is done in their own interest. The provident fund helps him/her in old age or when he/she becomes invalid. He/she always remains self-dependent. That is why all the nations of the world have adopted the system of retirement. In fact this system signifies a high level of civilization.

In certain cases, the employees have pressed for a mixed scheme which will partake of the character of a pension and a lump sum payment both. This is arranged by covering a part of the pension into a lump sum amount to be received on retirement. In India, gratuity is also paid to the employees in addition to the pension. For three classes of government servants in India viz., (i) the non-pensionable railways servants, (ii) specialists recruited on a contract basis for a period of five years or more and, (iii) temporary workmen in certain establishments like CPWD, the Mints and the Security Press, Ordinance factories, there are provident fund schemes.

Pay Commissions and Retirement Benefits

Retirement benefits have been dealt with in the 3rd and 4th Pay Commission.

i) Third Pay Commission and Retirement Benefits

The maximum qualifying service for pension was increased from 30 years to 35 years

and the maximum pay for earning pension from Rs. 1800 to Rs. 2500 while the maximum amount of pension was recommended to be raised from Rs. 675/- p.m. to Rs. 1000/- p.m., the maximum amount of death-cum-retirement gratuity was recommended to be raised from Rs. 24,000 to Rs. 30,000. Improvements in the rates of family pension to the families in cases where a government employee dies while in harness were also suggested. The minimum family pension was increased from Rs. 40 to Rs. 60 and maximum from Rs. 150 to Rs. 250/- p.m.

The Commission also recommended that in the case of death of an employee after a minimum service of 7 years the family pension at a higher rate should be paid to his/her family for a guaranteed maximum period of 7 years or till he/she would have attained the age of 65 years, whichever is less. Some improvements were suggested in the amount of terminal gratuity to temporary and quasi-permanent employees. In case of death attributable to service conditions family pensionary awards have been co-recommended to be nationalised and improved.

ii) Fourth Pay Commission and Retirement Benefits

The significant recommendation made by the Fourth Pay Commission related to leave encashment up to 240 days at the time of retirement.

The latest retirement benefits based upon the recommendations of the Fourth Pay Commission are as follows:

1) Superannuation Pension

- a) It is granted to a Government servant who retires after attaining the age of superannuation viz., 58 years or 60 years as the case may be.
- b) Quantum of pension is based on the qualifying service of the Government servant and his/her average emoluments for ten months immediately preceding the date of retirement.
- c) Periods of EXOL and suspension not counting for pension falling within ten months will be omitted but emoluments for corresponding periods prior to ten months will be taken into account.
- d) Pension under Government is payable only for those who have rendered a minimum of 10 years' qualifying service. For qualifying service of not less than 33 years, full pension is admissible. The amount of monthly pension admissible is 50% of average emoluments.
- e) In respect of persons who have put in minimum qualifying service, pension will be granted proportionately with reference to the full pension admissible for 33 years service.
- f) The minimum pension is Rs. 375/- and maximum is Rs. 4,500/-.
- g) Government servant after completing 20 years of qualifying service may retire voluntarily by giving three months notice and receive pension and gratuity. In this case, weightage of five years will be given and this weightage will be limited to 33 years only. The notice can be withdrawn within the date of retirement with the approval of appointing authority. Appointing authority can accept less than three months' notice also.

2) Commutation of Pension

Maximum 1/3 of the pension (excluding relief on pension) can be commuted with or without medical certificate and a lump sum in lieu thereof can be obtained. Family pension cannot be commuted. Commutation without medical examination can be had in respect of superannuation retiring pension provided application is given within one year from the date of retirement.

Calculation of commuted value is based on the amount of pension surrendered for commutation, factor in communication value table and the age next birth day of the pensioner.

$$\text{Lump sum} = \text{Amount of pension surrendered} \times \frac{12}{\text{Factor in commutation table corresponding to the age next birthday}}$$

Pension will be reduced to the extent of communication. However, after 15 years of retirement, the portion of pension originally commuted will be restored to the pensioner.

Check Your Progress 2

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

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

- 1) Discuss the various types of incentives in salary administration.

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- 2) What are the retirement benefits available to the Central Government employees?

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19.9 LET US SUM UP

By and large, it may be said, that the pay-scales of Government employees in India compare favourably with the scales in private unemployment. For organised crafts, the rates of payment in public service are the same as in private. For clerical and other posts of lower category, Government scales of pay are usually better than those of private employment. For the middle posts, they are the same as those in private business or industry. The remuneration of the higher, particularly, the highest, posts in Government is generally lower than that obtaining in private employment.

It is an indispensable fact that any compensation plan or salary structure cannot satisfy all the constituents. As a matter of fact, the efficiency of an administrative system can be promoted only through dedication and loyalty of the civil service. Incentives cannot be a substitute for good industrial relations, better work-planning and scientific management. As Pandit Nehru said, "The New India must be served by earnest, efficient workers who have an ardent faith in the cause they serve and are bent on achievement, and who work for the job and glory of it and not for the attraction of high salaries. The money motive must be reduced to the minimum."

19.10 KEY WORDS

Compensation : Salary or pay.

Gratuity : A part of the pension covered into a lump sum to be received on retirement.

Incentives : Material or non-material benefits given to the employees in addition to their salaries.

Model Employer : Ideal Employer.

Pension : Fixed amounts paid every month after retirement as long as the employee is alive.

Provident Fund : Lump sum amount paid after retirement.

19.11 SOME USEFUL BOOKS

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

Goel, S.N., 1984. *Public Personnel Administration*, Sterling Publishers Pvt. Ltd.: New Delhi.

Sachdeva, D.R., Sogani, Meena, 1980. *Public Administration: Concepts and Application*, Vol. I, Associated Publishing House: New Delhi.

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

19.12 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Non-analytical
 - Analytical
- 2) Your answer should include the following points:
 - Economic position of the country
 - Cost of living and the price level
 - State as the model employer
 - Equal pay for equal work
 - Prevailing market rate
 - The policy of the government

Check Your Progress 2

- 1) Your answer should include the following points:
 - Material incentive plans
 - Non-material incentive plans
- 2) Your answer should include the following points:
 - Pension scheme
 - General/Contributory provident fund.

UNIT 20 CONDUCT AND DISCIPLINE

Structure

- 20.0 Objectives
- 20.1 Introduction
- 20.2 Role of Conduct and Discipline in Personnel Administration
- 20.3 Matters Covered Under Conduct Rules
- 20.4 Disciplinary Action—Meaning
- 20.5 Causes of Disciplinary Proceedings
- 20.6 Types of Disciplinary Action
- 20.7 Mode of Taking Disciplinary Action
- 20.8 Disciplinary Proceedings Against the Civil Servants During the British Period
- 20.9 Constitution of India—Dealing with Disciplinary Matters
- 20.10 Successive Steps Involved in Disciplinary Proceedings
- 20.11 Issues and Problems
- 20.12 Let Us Sum Up
- 20.13 Key Words
- 20.14 Some Useful Books
- 20.15 Answers to Check Your Progress Exercises

20.0 OBJECTIVES

After reading this unit, you should be able to:

- discuss the role of conduct and discipline in personnel administration;
- describe the matters covered under conduct rules and the concept of disciplinary action;
- explain the disciplinary proceedings against the civil servants in pre-and post-Independent era in India; and
- describe the steps involved in disciplinary proceedings.

20.1 INTRODUCTION

Every organisation, public or private, has certain rules and regulations governing the conduct or behaviour of its employees. Human nature is a mixture of both vices and virtues. There should be a prescribed code of conduct and discipline to put the employees on the right track and get the goals of the organisation realised. A high moral standard of conduct among the public servants is of utmost necessity to set an example to the public at large. Integrity and discipline in the service are essential for an efficient personnel system. Promotion of the employees depends upon their good behaviour and observance of discipline in the service. In order to prevent misuse of powers, a code of conduct to regulate the behaviour of the civil servants is enforced.

With the transformation of passive police state into an active welfare state, drastic changes have been brought in the role of the state. The state's role in the management of development programmes and public affairs has been increasing. Its scope has been extended to cover all dimensions of human activity. Its administrative machinery influences every aspect of human life in numerous ways. Along with the ever-increasing responsibilities and powers of civil servants, administrative inefficiencies, such as red-tapism, lethargy, corruption etc. crept into administration. Rapid growth in the numerical strength, continuous extension in the powers of civil servants, change in the concept of civil neutrality, shift from negative to positive work and increasing emphasis on moral and professional standards have become the modern trends of personnel administration and thus it gained momentum. The success of democracy and implementation of development programmes largely depend on public personnel engaged in building the future of the country. If the public servants—the backbone of the government—are undermined by indiscipline and misconduct, it will lead to the collapse of administrative machinery.

20.2 ROLE OF CONDUCT AND DISCIPLINE IN PERSONNEL ADMINISTRATION

The Reader's Digest Great Encyclopaedic Dictionary defines conduct as "Manner of conducting any business or oneself" (behaviour) and discipline as "mental and moral training" or "order maintained among persons under control or command". Hence, conduct and discipline imply the behaviour of the personnel and bringing them under control and to train them to obedience and order. Hence, conduct and discipline are essential measures to be taken to build up sound personnel system.

All the staff members cannot be expected to conduct themselves with equal zeal in an unimpeachable manner. Hence, a provision for disciplinary action is made inevitable in every organisation. In order to correct the erroneous behaviour or poor performance of the employees the role and need of conduct and discipline is to be stressed.

20.3 MATTERS COVERED UNDER CONDUCT RULES

Different categories of Government servants are governed by separate but substantially similar sets of conduct rules. Different matters such as—restrictions on political activities, relationship with press, radio and outsiders, criticism of the Government, restrictions on public demonstrations, present restrictions on matters of property, private business and investments etc. fall under the purview of conduct rules. Some sets of conduct rules in India are (1) All India Services (Conduct) Rules, 1954; (2) Central Services (Conduct) Rules, 1955; and (3) Railway Services (Conduct) Rules, 1956.

The following are the matters covered under the conduct rules;

i) Restrictions on Political Activities

By virtue of the official position, a civil servant, has some peculiar powers as well as responsibilities. But besides being an employee, he/she is also a citizen and should have minimum political rights. But at the same time, he/she cannot be a simple citizen and the public interest demands the maintenance of political impartiality in the civil services and the confidence in that impartiality is an essential part of the structure of the Government.

Political Neutrality

Political neutrality of civil servants has been regarded as one of the essential conditions for the success of a democratic form of Government. It means that civil servants should not participate in political activities. To ensure political neutrality of the public services in many countries, the civil servants are denied direct participation in political life of the country.

The political rights of the public servants may be broadly categorised into (1) rights concerning the exercise of vote and general political activity and (2) rights in respect of candidature for legislative or municipal bodies. Some limitations on the enjoyment of political rights by civil servants are placed in almost all the countries. The idea of the restraints on the political freedom of Government servants has been justified on different grounds. In the U.S.A., the belief is that civil servants should not be allowed to participate in politics on the ground that politics should be kept aloof from administration. In the U.K. the prevalent idea is that since public servants are devoted to the fulfilment of public purposes, they should remain neutral. In some other countries like France, the common idea is that the civil servants should be allowed to enjoy the political rights common to all citizens, except for such restraints as can be justified as specific cases.

Position in India

Public employees in India have the right to vote and form associations; but they are prohibited from participating in other political activities. Civil servants can neither

become members of any political party nor subscribe to its funds. A circular issued by Home Ministry in 1960 says, "Government servants are, of course, expected not to take part in any political activities in any manner. Government of India, however, welcome all classes of their employees organising themselves in healthy associations for promoting their legitimate interest in matters concerning their work and welfare".

Some of the important rules of conduct prescribed for civil servants are as follows :

- a) No Government servant shall be a member of or be otherwise associated with any political party or any organisation which takes part in politics nor shall take part in, subscribe in aid of or assist in any other manner any political movement or activity. Rule 4 of Central Services (Conduct) Rules lay down that a Government servant should not canvass or otherwise interfere or use his influence in connection with or take part in any election to a legislative body.
- b) Seditious propaganda or expression of disloyal sentiments by a government servant is regarded as sufficient ground for dispensing with his service.
- c) Strikes : The formation of public employee organisations and the question of strike are closely interwoven. The question of strike is the most controversial of all other matters relating to organisation of public servants. In the U.S.A., public opinion is never in favour of strike by public employees. In the U.K., there is no prohibition against the right to strike by the public employees. In India too, there is no ban on the strike of public employees. But when the Central Government employees went on a general strike in July 1960, it was declared illegal under the provisions of the Essential Services Maintenance Ordinance, 1960. This ordinance authorised the Union Government to ban strikes, in any essential service such as Posts, Telegraphs, Communication media and means of Transportation etc.

ii) Restrictions on Relationship with Press, Radio and Outsiders and Criticism of the Government

- a) Moreover, the government servants are also subject to certain special obligations. Sections of the Official Secrets Act, 1923, prohibit the communication of any official document or information to anyone whom they are not authorised to communicate.
- b) Rule 8 of the Central Services (Conduct) Rules has similar provisions. In the interest of the integrity and discipline of the service, they are also prohibited to make public criticism of any policy pursued or taken by the Government.
- c) To ensure the security of the State, clause 2 of Rule 5 of the Central Services (Conduct) Rules requires the government servants to endeavour to prevent any member of the family from participating or assisting in any manner of activity, which tends directly or indirectly to be subversive of the Government as established by law.
- d) The Government of India does not object to broadcastings by government officers but point out that "broadcast talks by government servants are 'public utterances' within the meaning of the Government Servants' Conduct Rules". And the talks differ from newspaper articles in that the Government of India has undertaken that the Indian State Broadcasting Service shall not be used for the purpose of political propaganda.

iii) Restrictions on Public Demonstrations, Presents etc.

Rule 5 of the Central Services (Conduct) Rules, 1964 debar government servants from taking part in politics. They cannot be members of any political party nor can they subscribe in aid of or assist in any other manner, any political movement or activity. Rule 4(A) of Central Civil Service (Conduct) Rules, 1955, prohibited the participation of government servants in any demonstrations of any form of strike in connection with any matters pertaining to the conditions of service. According to Rule 4(B), government servants should not join any unrecognised service association or an association which was not recognised by the Government within six months.

The Indian Penal Code defining corruption says "whoever being or expecting to be public servant accepts or agrees to accept or attempts to obtain from any person for

himself or for any other person any gratification other than what is legal remuneration as a motive or reward for doing or forbearing to do any official act..."

The Rules of Conduct of All India Services says, "no member of the service shall, except with the previous sanction of the Government, accept or permit his wife or any member of his family to accept from any person any gift, of more than trifling value.

iv) Restrictions in Matters of Property, Private Business and Investments etc.

The Rules of Conduct for All India Services say:

- 1) No government servant shall except with the previous sanction of the Government, engage directly or indirectly, in any trade or business or undertake any employment.
- 2) No member of the service shall speculate any investment.
- 3) No member of service shall, except with the previous sanction of the Government, permit his son, daughter or dependent to accept employment with private firms with which he has official dealings with the Government.

Moreover, government servants are also subject to certain special obligations:

- 1) Sections of the Official Secrets Act, 1923, prohibit the communication of any official documents or information to any one whom they are not authorised to communicate.
- 2) In the interest of the integrity and discipline of the service, they are also prohibited to make public criticism of any policy pursued or taken by the Government.
- 3) To ensure the security of the State, Clause 2 of Rules 5 of Central Civil Services (Conduct) Rules requires the Government servants to endeavour to prevent any member of the family from participating or assisting in any manner or activity which tends directly or indirectly to be subversive of the Government as established by law. But, any how, the country should have the confidence that whatever party is in power, the services should serve the Government of the day with loyalty and devotion.

20.4 DISCIPLINARY ACTION—MEANING

Since all the staff members cannot be expected to conduct themselves with equal zeal in an unimpeachable manner, a provision for disciplinary action is made in every organisation. Stahl points out "No organisation is so perfect, no executive so ingenious, no personnel system so infallible that any of them can continuously avoid some measures of punishment for wrongful behaviour or poor performance of employees".

According to Dr. Spriegel,

"Discipline is the force that prompts an individual or a group to observe the rules, regulations and procedures which are deemed to be necessary to the attainment of an objective, it is force or fear of force which restrains an individual or a group from doing things which are deemed to be destructive of group objectives. It is also the exercise of restraint or the enforcement of penalties for the violation of group regulations."

Disciplinary action means the administrative steps taken to correct the misbehaviour of the employee in relation to the performance of his/her job. Corrective action is initiated to prevent the deterioration of individual inefficiency and to ensure that it does not spread to other employees.

A distinction needs to be drawn between disciplinary action of civil or criminal procedure. The former deals with the fault committed in office violating the internal regulations or rules of the administration while the latter is concerned with the violation of law to be dealt with by civil and criminal courts.

The following matters are covered in the Conduct Rules. More strictness is observed in those services where more discretion is involved:

- 1) Maintenance of correct behaviour towards official superiors,
- 2) Loyalty to the State,
- 3) Regulation of political activities to ensure neutrality of the personnel,
- 4) Enforcement of a certain code of ethics in the official, private and domestic life,
- 5) Protection of the integrity of the officials by placing restrictions on investments, borrowings, engaged in trade or business, acquisition or disposal of movable and immovable valuable property, acceptance of gifts and presents, and
- 6) Restriction on more than one marriage.

20.5 CAUSES OF DISCIPLINARY PROCEEDINGS

The following are the various causes of disciplinary proceedings.

1) Acts Amounting to Crimes

- a) Embezzlement
- b) Falsification of accounts not amounting to misappropriation of money
- c) Fraudulent claims (e.g. T.A.)
- d) Forgery of documents
- e) Theft of Government Property
- f) Defrauding Government
- g) Bribery
- h) Corruption
- i) Possession of disproportionate assets
- j) Offences against other laws applicable to Government Servants.

2) Conduct Amounting to Misdemeanour

- a) Disobedience of orders
- b) Insubordination
- c) Misbehaviour
 - i) with superior officers
 - ii) with colleagues
 - iii) with subordinates
 - iv) with members of public
- d) Misconduct
 - i) violation of conduct rules
 - ii) violation of standing orders
 - iii) intrigues and conspiracy
 - iv) insolvency

20.6 TYPES OF DISCIPLINARY ACTION

Disciplinary action may be informal or formal. Informal disciplinary action may mean assignment to a less desirable work, closer supervision, loss or withholding of privileges, failure of consultations in relevant matters, rejection of proposals or

recommendation. It may include curtailing of his/her authority and diminishing his/her responsibility. The reason for taking informal disciplinary action may be that offences are too slight, or too subtle, or too difficult to prove, to warrant direct and formal action.

Formal disciplinary action follows where the offence is serious and can be legally established. In such cases the penalties which are imposed on a member of the service are:

1) Minor Penalties

- a) Censure
- b) withholding of promotions
- c) recovery from pay of the whole or part of any pecuniary loss caused to Government or to a company, association or body of individuals... and
- d) withholding of increments of pay.

2) Major Penalties

- a) Reduction to a lower stage in the time scale of pay for a specified period...
- b) reduction to a lower time scale of pay, grade or post, and
- c) compulsory retirement.

In very serious cases of offence, even judicial proceedings against the offender may also be launched.

Check Your Progress 1

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

1) What are the matters covered under the conduct rules?

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2) What are the causes of disciplinary proceedings?

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3) Discuss the types of disciplinary action.

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MODE OF TAKING DISCIPLINARY ACTION

Like the power to promote, the power to take disciplinary action also should be vested in the Head of the Department because he/she is the person who is

responsible for the discipline and efficiency of the department. Some people advocate that the power of disciplinary action should be vested in an independent outside agency like the Public Service Commission. As, for example, in Australia, any employee, against whom an action has been taken by the departmental head, may make an appeal to the Commonwealth Conciliation and Arbitration Tribunal. In the State of Chicago, dismissal can be ordered by a trial board consisting of some members of the Civil Service Commission. This is advocated in the interest of impartiality and fairness to the employee, the argument being that since the departmental authorities are accusers, they should not also be the judges.

But in the opinion of experienced administrators, an outside agency should not be brought into sit in judgement on the action taken by the disciplinary authorities. This is because first, it undermines the authority of the Head of the Department and secondly, outside authorities are often swayed by considerations of abstract justice rather than due appreciation of the logic of administration and management. In India, the Central Pay Commission took the same view. "We do not think", it said "that it will be desirable or practicable in public interest to insist on the invention of an outside body in disciplinary matters."

All this, however, does not mean that consideration of fairness and justice should be lost sight of in taking a disciplinary action against an employee. On the contrary, suitable machinery and procedure should be provided so as to eliminate every possibility of personal prejudices.

Usually following provisions are made either in the Constitution or in the statute to check the misuse of power to take disciplinary actions:

- a) No employee shall be demoted or dismissed by an officer below in rank to one who had appointed him/her.
- b) No employee shall be punished except for a cause, specified in some statute or departmental regulation.
- c) No employee shall be punished unless he/she has been given reasonable opportunity to defend his/her case.
- d) The employee shall be informed of the charges laid against him/her.
- e) Where a Board of Inquiry is appointed, it shall consist of not less than two senior officers, provided that at least one member of such Board shall be an officer of the service to which the employee belongs.
- f) After the inquiry against an employee has been completed and after the punishing authority has arrived at any provisional conclusion in regard to the penalty to be imposed, if the penalty proposed is dismissal, removal, reduction in rank or compulsory retirement, the employee charged shall be supplied with a copy of the report of inquiry and be given a further opportunity to show cause why the proposed penalty should not be imposed on him/her.

20.8 DISCIPLINARY PROCEEDINGS AGAINST THE CIVIL SERVANTS DURING THE BRITISH PERIOD

The British Government in India relied primarily on its civil servants for its survival and strength. The then All India Services were consequently loaded with all kinds of favours, concessions and privileges. These services were not even under the control of the Governor General; they were directly under the Secretary of State for India and his council.

i) Provisions of Government of India Act, 1919 with regard to Disciplinary Proceedings

No All India officer could be dismissed from his service by any other authority than the Secretary of State-in-Council. He had a right of appeal to that body if he was adversely dealt with in important disciplinary matters. The Government of a province was required to examine the complaint of any such officer who thought himself wronged by an official superior and to redress the grievances if he thought it equitable to do so. No order effecting his emoluments adversely and no order of censure on him could be passed without the personal concurrence of the Governor and orders for his posting to appointments also required the personal concurrence of the Governor. His salary, pensions, etc. were not subject to the vote by the legislature

Those services, entrenched in the privileged positions and irresponsible to public opinion, found it difficult to adjust to the reform era introducing very limited responsible government under the Government of India Act of 1919. Criticism of individual members of the services by questions in the provincial and central legislatures, the 'ignominy' of working under Indian ministers in the provinces, the non-cooperation movement of 1920-22 putting the officers and their families in personal discomfort, the insufficiency of salaries due to the high level of prices prevailing in the wake of the First World War—all these embarrassed and discouraged the European members of these services and many of them were forced to opt for retirement. This trend facilitated more and more Indianisation of services because of the recommendation of the Lee Commission in 1924.

ii) Provisions of Government of India Act, 1935 in Respect of Disciplinary Proceedings

Because of the desire of some European Officers to retire rather than serve under Indian ministers, the British Government in India took more interest in providing special safeguard to the public service for the protection of its privileged position. The Government of India Act of 1935, therefore, included the protection of the interests of the public services in the list of the special responsibilities of the Governor General and the Governors (Secs. 247-249). Thus, if any officer of the Secretary of State's services was affected adversely by an order relating to his conditions of service, he had a right of complaint to the Governor (as the case may be) and the latter was to deal with the matter exercising individual judgement, that is, acting without consulting his minister.

20.9 CONSTITUTION OF INDIA—DEALING WITH DISCIPLINARY MATTERS

Article 309 provides that the Acts of the appropriate legislature may regulate the recruitment and conditions of service of the persons appointed to public services and posts in connection with the affairs of the Union or of any State. It shall be competent for the President or Governor as the case may be, to make rules regulating the recruitment and conditions of service of public service until provisions are made by an Act of the appropriate legislature.

According to Article 310, every person who is a member of a defence service or the civil service of the Union or an All India Service or holds any post connected with defence or any civil post under the Union holds office during the pleasure of the President, and every person who is a member of a civil service of a state or holds a civil post under a state holds office during the pleasure of the Governor of the State. Notwithstanding that a person holding a civil post under the Union or a State holds office during the pleasure of the President or the Governor of the State, any contract under which a person, (not being a member of a defence service or of an All-India Service or of a civil service of the Union or a State) is appointed under the Constitution to hold such a post may, if the President or the Governor deems it necessary in order to secure the services of a persons having special qualifications, provide for the payment to him of compensations, if before the expiration of an agreed period that post is abolished or he is required to vacate that post.

Article 311 as amended by Forty-second Amendment provides that no person who is a member of a civil service of the Union or an All-India Service or a Civil Service of a State or holds a Civil post under the Union or a State, shall be dismissed or removed by an authority subordinate to that by which he/she was appointed. No such person as aforesaid shall be dismissed or removed or reduced in rank except after an enquiry in which he/she has been informed of the charges against him/her and given a reasonable opportunity of being heard in respect of those charges. Where it is proposed after such enquiry to impose upon him/her any such penalty, such penalty may be imposed on the basis of the evidence provided during such inquiry and it shall not be necessary to give such person any opportunity of making representation on the penalty proposed. This clause shall not apply where a person is dismissed or removed or reduced in rank on the ground of conduct which has led to his/her conviction on a criminal charge or where the authority empowered to dismiss or remove a person or to reduce him/her in rank is satisfied that for some reason to hold such enquiry. Or where the President or the Governor, as the case may be, is satisfied that in the interests of the security of the State, it is not expedient to hold

such enquiry. If in respect of any such person as aforesaid, a question arises, whether it is reasonably practicable to hold the enquiry mentioned above, the decision thereon of the authority empowered to dismiss or remove such person or reduce him/her in rank shall be final.

20.10 SUCCESSIVE STEPS INVOLVED IN DISCIPLINARY PROCEEDINGS

The successive steps of the procedure of disciplinary action are:

- i) calling for an explanation from the employee to be subjected to disciplinary action;
- ii) if the explanation is not forthcoming or is unsatisfactory, framing of charges;
- iii) suspension of the employee if his/her remaining in the service is likely to prejudice the evidence against him/her;
- iv) hearing of the charges, and giving opportunity to the employee to defend himself/herself;
- v) findings and report;
- vi) giving another opportunity to the employee to defend himself/herself against the proposed punishment;
- vii) punishment order, or exoneration; and
- viii) appeal, if any.

As regards the power to hear appeal, an employee appointed by the President has no right to appeal from an order passed by the President himself. A member of the All India Service may appeal from the order of a State Government to the President. A member appointed by the President may appeal to the Governor from an order passed by the State Government. All employees of lower grade services may appeal to the authority which made the rule to which the order under appeal relates.

Appeals can be preferred only if:

- i) it is permissible under rules,
- ii) it is not defective in form and preferred through proper channel.
- iii) it is preferred within six months after the date of the communication of the order appealed against;
- iv) it is not a repetition of a previous appeal to the same authority;
- v) it is addressed to an authority to which appeal lies under the rules.

No appeal lies against the withholding of an appeal by a competent authority.

Thus in connection with appeals in India, no outside authority intervenes at any state. The Constitution no doubt provides for consultation with the Union or the State Public Service Commission as the case may be "On all disciplinary matters affecting a person serving the Government of India or of a State in civil capacity", but such consultation is limited only to those cases where disciplinary order is passed by the President or the Governor.

The staff made complaints before the Central Pay Commission that the right of appeal is not of much value because higher officers to whom appeals are made, are of the same mentality and tools of the same machinery and generally support the decision of the subordinates. They suggested the association of an outside authority with the hearing of appeals. The Commission, however, rejected the proposal.

A second complaint was against the provision which authorises officers to withhold appeals in cases where no appeal lies. It was said that an officer who has awarded the punishment would never like his/her decision to be upset and would, therefore, withhold appeals in most cases. While recognising that there must be a limit to appeals somewhere, the Commission recommended that persons dismissed from service should, where their appeal has been withheld, be permitted to petition to the higher authorities for a review of their case.

Finally, it can also be noted that an appeal to the courts of law against wrongful removal or dismissal can always be made, but only after all the remedies available to the employee under the service rules have been tried and exhausted by him.

In the end, it may be mentioned that an employee can be deprived of the right to make appeal in the following cases :

- a) where a person has been removed or reduced in rank on the ground of conduct which has led to his/her conviction on a criminal charge, e.g. for embezzlement;
- b) where an authority empowered to remove him/her or reduce him/her in rank is satisfied that for some reason, to be recorded as by that authority in writing, it is not reasonably practicable to give that person an opportunity of showing causes; and
- c) where the President or the Governor, as the case may be, is satisfied that in the interest of the security of the State, it is not expedient to give that person such an opportunity.

Check Your Progress 2

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

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

- 1) What were the disciplinary proceedings against the civil servants during the British period?

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- 2) Discuss the provisions in the Constitution of India to deal with the disciplinary matters.

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20.11 ISSUES AND PROBLEMS

There are various problems concerning the disciplinary proceedings. They are as follows :

i) Lack of Knowledge of the Disciplinary Procedure

It has been seen many a time that the appointing authorities as well as employees are unaware of the details of the disciplinary procedures resulting in many problems. Since employees are expected to conform to rules and regulations and behave in a responsible manner, it is essential that these rules and regulations are properly and carefully formulated and communicated to them. The purposes and techniques of the removal process should be explained to all so that complex and unnecessary appellate action can be avoided.

ii) Delays

The time taken to take disciplinary action is very long. When an employee knows of the impending action, he/she becomes more and more irresponsible and problematic. Delays cause hardship to the employees.

iii) Lack of Fair Play

There is a tendency that the appellate authority generally supports the decision of his/her subordinates. This defeats the purpose of appeal.

iv) Withholding of Appeal

Most of the officers do not like appeals against their decisions. There is a tendency to withhold appeals.

v) Too Many Rules

It is a sound policy to have as few rules as possible for the proliferation of rules leads to contempt and undermines the concept of discipline. The rules must be simple and clear.

iv) Lack of Proper Understanding

It is wrong to conceive of discipline as something restrictive which is imposed by force or threats of punishment.

It can only be maintained by self-respecting employees who follow the seniors in whom they have confidence. Optimum performance in any organisation depends on the willingness with which employees carry out the instructions and the way they conform to the rules of conduct established to aid the successful attainment of the organisation's objectives. If unreasonable rules are imposed, great damage may be done to morale.

vii) Lack of Tolerance

In any case, breach of disciplinary rules may be tolerated to some extent in practice. However, it should not exceed the point where the status and prestige of the supervisors is jeopardised.

viii) Lack of Concern for The People

T.N Chaturvedi mentions that the questions of ethical conduct has three implications.

First, all the people must be served equally and impartially. The sense of impartiality, fairness and justice are embedded in our ethical heritage. Acts that smack of favouritism only, undermine the faith of people in administration. Secondly, the public servants must try to work in harmony and co-operation with representative institutions and voluntary organisations so that there is greater rapport with the people and there is no breakdown of communication between the working of the system and the requirements or aspirations of the citizens. Thirdly, the internal working and administrations of government agencies and offices must be consistent with these modes of behaviour, that is, a sense of fair play and involvement within and organisation will ensure a satisfactory style of functionary in relation to the public outside in general.

ix) Lack of Standards Expected from Employees

At present, the rules and regulations which the employees are expected to achieve are vague resulting in confusion. There is a need to clarify what is expected of an employee in the way of behaviour. It would produce good results if all the employees are apprised of what is expected of them through written circulars or manual or indoctrination.

x) Attitude of the Supervisor

The success or failure of the disciplinary action depends upon the attitude of the supervisor. Most of them are biased and work under pressure from different quarters. Supervisors should be objective in collecting facts so that justice can be ensured.

xi) Inconsistency

Disciplinary action should be consistent under the same offence. Otherwise it leads to favouritism, nepotism and corruption.

xii) Absence of Constructive Element

The authorities should not only impose penalties but also suggest steps to stop the future recurrence.

The ultimate use of conduct and discipline should be made to promote self-discipline, penalties being applied only after the preventive measures have failed. Paul Pigors and Charles A. Myers have said that true discipline :

- starts with an effort to foster mutual understanding and an organisation centred view
- is fair

- is demonstrably consistent with sound principles of human relations (including due process; and the rights of appeal)
- is in accord with a policy statement on discipline which is clear and well known to all
- implements ideas that have been worked out by conferring with representatives of those who are subject to discipline
- takes account of any extenuating features in each situation where some one feels that discipline is called for.

xiii) Absence of A Specialised Tribunal to Deal with The Litigation Cases

Viewed against the mounting arrears of litigation cases in Indian courts, the government's decision to appoint an Administrative Tribunal to deal with service matters concerning central government employees is a step in the right direction. Article 323 (A) of the Constitution provides for the formation of such tribunal to ensure inexpensive and speedier justice to the staff in case of disputes and complaints with respect to recruitment and conditions of service of persons appointed to public services and posts..... under the control of the Government of India or of any corporation owned or controlled by the Government.

Check Your Progress 3

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

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

- 1) What are the issues and problems, involved in the promotion of conduct and discipline among civil servants in India?

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20.12 LET US SUM UP

The Rules of Conduct for public employees in India are not as stern as they appear to be, for there is laxity in their enforcement in the face of frequent and numerous lapses. The Rules of Discipline likewise are rarely invoked. Even then the onus of proving beyond a shadow of doubt the charges against an employee lies on the official proposing disciplinary action. For this purpose, there will be a protracted departmental enquiry. Besides, the employees has enough opportunities and to spare to resist the action. That inefficiency and corruption have become manifest evils in the Indian administration is due, in some part, to this factor. All said and done, it is not rules that make a good civil servant but his/her own standards of conduct imposed by his/her own conscience, the 'esprit de corps' and tradition of the service and by the examples of his/her fellows and those set in authority and by the watchfulness of public opinion.

20.13 KEY WORDS

Censure : censure is strong disapproval and condemnation of something that has been done, or of the way it was done.

Embezzlement : divert (money) fraudulently to one's own use.

Ignominy : shame as public disgrace.

Insolvency : inability to pay debts.

Misdemeanour : an act that is considered shocking or unacceptable by many people, although it does not really harm anyone.

Unimpeachable : completely honest and reliable.

20.14 SOME USEFUL BOOKS

Avasthi, A. and Maheshwari, S.P., 1987. *Public Administration*; Lakshmi Narain Agarwal : Agra.

Durga Das, Basu, 1981. *Shorter Constitutions of India*; Prentice Hall of India Pvt. Ltd. : New Delhi

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

Mahajan, V.D., 1982. *Select Modern Government*; S. Chand & Co. Ltd. : New Delhi

Sachdeva, D.R. and Sogani, Meena, 1980. *Public Administration : Concepts and Applications*; Associated Publishing House : New Delhi.

20.15 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

1) Your answer should include the following points:

- Restrictions on political activities.
- Restrictions on relationship with press, radio and outsiders and criticism of the government.
- Restrictions on public demonstrations, presents etc.
- Restrictions in matters of property, private business and investments.

2) Your answer should include the following points:

- Acts amounting to crimes.
- Conduct amounting to misdemeanour.

3) Your answer should include the following points:

- Formal disciplinary action.
- Informal disciplinary action.

Check Your Progress 2

1) Your answer should include the following points :

- Provisions of Government of India Act, 1919 with regard to Disciplinary proceedings.
- Provisions of Government of India Act, 1935, in respect of disciplinary proceedings.

2) Your answer should include the following points.

- Provisions of article 309 of the Constitution of India.
- Provisions of article 310 of the Constitution of India.
- Provisions of article 311 of the Constitution of India.

Check Your Progress 3

1) Your answer should include the following points :

- See Section 20.11