

Bassey Anam



The Framework *of*
Public
Administration

2nd Edition

Features Concept and Theories of Comparative Public Administration

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DEDICATION

Dedicated to Joel Anam, for keeping me up most nights to organize my thoughts; you're the Pal!

ACKNOWLEDGMENT

I am grateful to the Almighty God for His abounding Grace & Mercies towards me. To all whose contact to my life, both in literature and physically has shaped my thought and left tremendous impacts, thank you.

FOREWORD

Public Administration which has to do with effective management of human and material resources to achieve predetermine objectives is as old as human history. But as an academic discipline, it is one of the fields in Social Sciences that encounters major challenges as a result of the intricate interplay among factors that influence the process and character of public policy making, implementation and governance in any given society.

The consequence of these challenges occasioned by the interplay of factors that influence Public Administration has been the multiplicity of research attempts by scholars to enhance their capability and those of practitioners of Public Administration in their perception and interpretation of public issues.

The Framework of Public Administration is one of the bold efforts geared towards adequately equipping scholars and practitioners of Public Administration in their daily analysis. Its detailed examination and analysis of contending and contemporary issues in Public Administration makes the book a must read not only for students and practitioners of Public Administration but also for the general public. The author's wide coverage of issues (rudimentary and advanced) as well as style of presentation gives the book a unique feature that must of necessity be explored by all and sundry.

Structurally, the book is divided into three major parts comprising a total of fourteen chapters of varying volumes in depth discussing wide range of issues in Public Administration.

The author, Bassey Anam, has done his best in presenting to the world a well researched and written book. Objectively speaking, therefore, I consider the book a very good effort and will not hesitate to recommend it not just to students of Public Administration but also to the general public being very much assured that they will find this book worth their time.

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FUNDAMENTALS OF PUBLIC ADMINISTRATION





INTRODUCTION TO PUBLIC ADMINISTRATION



This chapter will examine some basics to understanding the study and practice of public administration. It will focus its attention on the meaning, nature, scope, characteristics and significance of public administration. The importance of studying public administration, the differences and similarities between public administration and business/private administration will also be discussed.

- 1.1 Meaning of public administration
- 1.2 Nature of public administration
- 1.3 Scope of public administration
- 1.4 Significance of public administration
- 1.5 Importance of studying public administration
- 1.6 Differences/similarities between public and private administration

1.1 MEANING OF PUBLIC ADMINISTRATION

To appreciate and properly understand what public administration is, an explanation of the operative concepts 'public' and 'administration' is important.

I. **Public:** The word 'Public' is used in a variety of meanings but here it means 'governmental'. It includes any administration that has considerable impact on the public.

ii. **Administration:** The English word 'Administer' is derived from a combination of two Latin words, 'ad' + 'ministrare' which means to serve, to direct, to control and to manage affairs. In the words of Gladden (1958), "administration is a long and slightly pompous word, but it has a humble meaning, for it means to care for or to look after

people, to manage affairs'. He defines it as 'determined action taken in pursuit of conscious purpose.

Administration is a rational human activity, which is inherent in any organized social life, public or private. It occurs even in such a simple activity as 'when two men cooperate to roll a stone that neither could have moved alone'. It consists of all those operations, which aim at the achievement of some purpose shared by two or more people. To put it differently, administration is a cooperative human effort towards achieving some common goals. It is, thus, a goal-oriented, purposive, cooperative, joint activity undertaken by a group of people.

Administration, therefore, excludes non-purposive and non-cooperative group activities such as two men fighting with each other or watching a stone. In this example the two men are not mutually involved in a joint endeavour. Administration also excludes those operations that concern a single individual, e.g. one man moving a stone. This one-man's activity is not administration because it lacks cooperative effort made by two or more people to accomplish a common goal. Thus, we can understand what administration is:-

According to Berkley (1965), administration is:

- a) People; because without the presence of people there can be no administration
- b) Action; people have to do something before administration can enter the picture; and
- c) Interaction; administration is people interacting with other people to accomplish task. Joint activity is an essential part of all administration.

In its generic sense, administration is a universal process that can be found in various institutional settings such as a business firm; a hospital, a university, a government department and so on. All these diverse organizations use the same administrative processes (e.g. planning, organizing, coordinating, etc) as well as the human and material resources to achieve their respective goals. Thus, administration is concerned with means to achieve prescribed ends. It is not an end in itself. This view of administration disregards what kind of administration is in question. In this sense the term administration covers both public and private organizations.

Defining Public Administration

From the above distinction of the operative concepts, 'public' and 'administration', we can infer simply that, public administration means governmental administration that operates in public or political settings. Its focus is specifically on public bureaucracy. As Henry (1999) says, "The study and practice of public bureaucracy is called public administration". The public aspect of public administration lends special character to it. What is crucial in public administration is that it is an agency of the public. It concerns the management of public agencies that carry out public policies in order to fulfill state purposes in the public interest. Since government provides services for the people in the public interest the administration of governmental affairs is known as public administration.

According to Simon, Smithburg and Thomson (1950), public administration refers to the activities of groups cooperating to accomplish the common goals of government" Such common goals include defence, safeguarding the frontiers, maintenance of law and order, fire protection, communications, public health, education and many other services that we enjoy. In meaning, public affairs, public administration focuses principally on the (i) planning (ii) organizing (iii) directing (iv) coordinating and (v) controlling governmental operations.

However, it is important to state that scholars and practitioners are not in agreement with a common definition of public administration. What has been observed is a situation in which each individual tries to picture the concept from his environmental, situational and circumstantial perspective. Also, worthy of note is the fact that time and value system also affects ones definition of the concept. As Gladden (1958) says, the field of public administration is mainly a debate over definitions. Despite more than a hundred years of development, public administration lacks a significant definition that is acceptable to all students and practitioners of public administration. Various scholars have defined it in different ways. While the traditional writers have defined public administration in its narrower sense, the modern scholars have defined it in its wider sense. This being the case, we will examine the meaning of public administration within the traditional and modern context offered by some scholars in the field over the years, get on to elaborate on their assumption and take a generalized position. Still, it must stress that these definitions are not exhaustive but are representative of the numerous definitions of the concept.

Traditional Definitions

The following are some of the important definitions of public administration, which reflect the traditional view of the disciplines.

1. “Public administration is detailed and systematic execution of law. Every particular application of law is an act of administration” (Wilson, 1887). To Wilson, “Administration is the most obvious part of government, it is government in action, and it is the executive, the operative, the most visible side of government”.
2. “Public administration consists of all those operations having for their purpose the fulfillment or enforcement of public policy” White (1958)
3. “By public administration is meant, in common usage, the activities of the executive branches of the National, state, and local government” (Simon, 1950).
4. “Public administration is that part of the science of administration which has to do with government, and thus concerns itself primarily with the executive branch, where the work of government is done, though there are obviously administrative problems also in connection with the legislative and judicial branches” Gulick (1937).
5. “Public administration is the action part of government, the means by which the purposes and goals of government are realized” Corson and Harris (1963).
6. “In its broadest sense, it (public administration) denotes the work involved in the actual conduct of governmental affairs, regardless of the particular branch of government concerned. In its narrowest sense, it denotes the operations of the administrative branch only” (Willoughby, 1920).
7. “... Public administration consists of getting the work of government done by coordinating the efforts of people so that they can work together to accomplish their set tasks” (Piffner, 1967).

The definitions quoted above reflect the narrow traditional view of public administration. This view locates public administration in the executive branch of government. Its main business comprises all those activities that are involved in carrying out public policies as expressed in laws made by the legislature and interpreted by courts. It is denied any role in both legislative (i.e. policy – making) and judicial functions. Its main business is to get things done and not to decide what things to do.

Public administration is thus identified with the administrative side of government as opposed to the legislative and judicial sides. Therefore, the traditional view is unduly restrictive as an explanation and does not fully capture the scope of public administration.

Some Modern Definitions

Some modern writers such as Dimock, Fesler and Nigro have used the term public administration in its wider sense. In their opinion public administration has some responsibility in formulating governmental policies, besides executing them. The definitions quoted below are illustrative of the modern broader view of public administration.

1. “... Public administration is the area of study and practice where law and policy is recommended and carried out” (Dimock and Dimock, 1987, in Bhagwan & Bhushan, 2010).
2. “Public administration deals with policy formulation and execution” Fesler (1979). He went on to elaborate that, public administration is cooperative group effort in a public setting, which covers all three branches of government – executive, legislature, and judiciary and their interrelationships, has an important role in the formulation and execution of policies.

From these modern perspectives, we can improve our understanding and take general and more detailed positions to what broadly constitutes public administration.

1. Public administration is concerned with the 'what' and 'how' of government. The 'what', is the subject matter; the technical knowledge of the field which enables an administrator to perform his tasks. Whereas, the 'how' is the techniques of management, the principle according to which corporate

programmes are carried through to success. 'What' and 'how' of government form the synthesis called public administration.

2. As Nnoli (1986) observed, public administration is the machinery as well as the integral processes, through which the government performs its functions. It is a network of human relationships and associated activities extending from the government to the lowest point and powerless individual charged with keeping in daily touch with all resources, natural and human, and all other aspects of the life of the society with which the government is concerned. It is system of roles and relationship which defines in a clear and practicable terms as possible and in as much detail as possible the intentions and programmes of government, the means available internally and externally to accomplish them, where, when, and how they are to be accomplished, who is to be benefit from them, and finally, a system that causes these intentions and programmes to be realized in real life.
3. It is a pattern of 'routinized' activities involving decision making, planning, advising, coordinating, negotiation, conciliation, arbitrations, communication and data gathering through which the government carries out its responsibilities. Nnoli's definition is detailed as it encompasses most basics that explain the practice of administration in the public sector.
4. Public administration is essentially concerned with the management of organizations in the pursuit of desired public goals and objectives. This further details the position of Pfiffner and Prethus (1967) that, its hallmark is the coordination of collective effort to implement public policy. That is a collective affair involving many people, and which should profit majority of the people.
5. Wilson (1887) was objective in his position that public administration is the most obvious part of government. It is government in action. It is the executive, the operative, the most visible of government. Public administration consisted of all those operations having for their purpose, fulfillment or enforcement of public policy. The system of public administration therefore is the composite of all the laws, regulations, practices, relationships, code and customs that prevail at any time in any jurisdiction for the fulfillment or execution of public policies.

It is the practice of administration in a particular segment of the society; that of the public sector. It is governmental policy, a process by which public objectives are identified and analyzed for legislative policies and implementation to achieve public welfare. It is the instrumentality for public policy initiation and implementation.

6. Public administration further entails the activities and functions of government, the services performed by a group of officials working together for the interest of the nation. The institutional arrangement designed to achieve the objective interests and welfare of the public is what we generally refer to as the public services. The process of formulation and implementation of strategies, policies and programmes by public officials for the satisfaction of social goals and public welfare is referred to as public administration. Stone (1999) puts it, it is the process by which objectives are defined, plans and policies formulated, institutions created and managed, human energies mobilized, resources utilized and change effected in the overall public interest. In Nigeria for instance, public administration exists at the Federal, State and the Local Government levels. Public administration is designed to involve all operations having for their purpose the fulfillment or enforcement of public policy.

7. We can still infer that public administration deals with the activities and functions of the public bureaucracy. It relates to institutional framework of government, as well as the socio-economic, political and behavioural patterns of the individual who runs the bureaucracy. Additionally, public administration involves the formulation and implementation of public policies and government programmes. It is an indispensable instrument of the government in performing and achieving its functions.

8. In addition, public administration also deals with the development, implementation and study of branches of government policy. It is the management of affairs of the government at all levels --- national, state, local. It is a branch of the wider field of administration dealing with machinery & procedures of government activities. It is the systematic ordering of affairs & the calculated use of resources aimed at making desired things happen.

9. Public administration is carried out by public servants who work in public departments and agencies, at all levels of government, and perform a wide range of tasks. Public administrators collect and analyze data (statistics), monitor budgets, draft legislation, develop policy, and execute legally mandated government activities. Public administrators serve in many roles: ranging from "front-line" positions serving the public (e.g., peace officers, parole officers, border guards); administrators (e.g., auditors); analysts (e.g., policy analysts); and managers and executives of government branches and agencies.

1.2 NATURE OF PUBLIC ADMINISTRATION

There are two broad views in the nature of public administration. They are,

- A. Integral View
- B. Managerial view

A. Integral view

According to this view, public administration consists of all those operations (manual, clerical, managerial, technical etc) having for their purpose the fulfillment or enforcement of public policy. Some of the proponents of integral view are L. D. White and Henry Fayol (1958) (in Nyong, 2003). The activities of all the persons from top to bottom constitute administration although they are of varying significance to the running of administration machinery. Thus all the acts of the officials of the government from the peon to the secretaries and head of the state constitute public administration.

B. Managerial view

The Managerial view postulates that administration is the organization and the use of men and materials in the pursuit of common objectives. It does not include all activities of administration into its ambit but takes out only those activities for its Study which involves techniques of management. Some of the proponents of this view are Herbert Simon et al, (1950). Neither of these views can be rejected out-rightly. It all depends on the context in which the term is used.

1.3 THE SCOPE OF PUBLIC ADMINISTRATION

The scope of public administration refers to its boundaries. It varies from country to country and from administrative units to the other. It is also defined with people's expectation of what they should get from government. In its broad sense, the term deals primarily, with the entire area and all activities of the public environment. But by established usage, it is concerned with the organization, personnel, practices and procedures essential to the effective performance of the civilian functions entrusted to the executive branch of government.

Several writers have defined the scope of public administration in varying terms and to varying lengths. Let's examine some of their view points,

1. Gulick & Urwick (1937), in his POSDCORB formula, identified seven functional elements as bounded operations which define the scope of public administration. These are Planning, Organizing, Staffing, Directing, Coordinating, Reporting and Budgeting. In his opinion, these elements stand for different branches of the subject of administration.

2. According to P. MacQueen (1969), the scope of public administration consists of only three factors, namely men, materials and methods. These, he identified as the basis elements necessary for the performance of organizational (public and private sector) task, to attain stated results.

3. In his book "Principles of Public Administration" Willoughby (1920) divided the scope of public administration into the following five categories:
 - a) General administration: this deals with an attempt to answer the question, who is to perform the function of directing, supervision, and control over administration?
 - b) Organization: concerned with building up structures for the actual performance of administrative work.
 - c) Personnel: i.e. it is concerned with addressing the issues of those concerned with the management and execution of different services.
 - d) Materials and supply: i.e., the tools with which the work of administration is carried on.
 - e) Finance: i.e. determination of, and making provision for, the financial needs of administration. This is the crux of all the above mentioned problems.

4. Pfiffner and Presthus (1967) divided the scope of public administration under two broad heads:
 - a) Principles of public administration and
 - b) Sphere of public administration.

5. Walker (1965) divides the scope of public administration into two parts:
 - a) Administrative theory: this includes the study of the structures, organizations, functions and methods of all types of public authority engaged in carrying out the administration at all levels; national, regional and local level. It also studies all problems connected with external control of the legislative and judiciary over administration, with internal control of administrative machinery, administrative tribunals, planning, programming and execution of public actions, recruitment of personnel and problems connected therewith, research, information and public relation among others.
 - b) Applied administration: applied administration includes the study of administration in various departments or services in the various countries of the world. It also includes various departments or services in the progressive states, of organization at various levels; local, national and international, of the historical development of administrative methods and techniques and of the problems connected with international organizations (in Nyong, 2003).

The above views are mutually overlapping and can be studied as complementary and supplementary to each other. However, we can further sub classify the scope of public administration within the boundaries of an activity, subject matter and a discipline.

1. Public administration as an activity

The activity of public administration can be examined within the purview of state functions. Public administration is a means to attain the ends of the state. It is the handmaid of government for carrying on its activities in the fulfillment of the purposes of the state. The purpose of the state is defined by the people's expectation from the government. Such provisions include basic amenities, employment opportunities, security, social welfare, etc.

2. Public administration as a subject matter

Public administration deals not only with administrative techniques but also with the substantive fields of administration such as defence, education, public health social, welfare, agriculture, police, fire protection, and so on. These substantive services are provided for the people by the various governmental line agencies. The nature of the various governmental agencies and the services they perform are not similar, they differ. For instance, the work involved in the administration of the education department differs from the work involved in the administration of police department or public works department. They have their respective specific administrative problems and specialized techniques of their own.

3. Public administration as a discipline

By a discipline we mean a particular area of study such as political science, economics and sociology. In this sense public administration is also a discipline. Multidisciplinary in character, it draws on theories and concepts from political science, economics, sociology, administrative law, behavioral science, management and a range of related fields. The goals of the field of public administration are related to the democratic values of improving equality, justice, security, efficiency, effectiveness of public services usually in a non-profit, non-taxable form, compared to business administration, which is primarily concerned with taxable profit.

1.4 SIGNIFICANCE OF PUBLIC ADMINISTRATION

It is recognized that public administration plays crucial role in all societies-developed and developing. In the modern administrative state, public administration has become so significant that development and progress depend mainly upon the efficient functioning of the administrative sector of the society. The under listed are some of the basic significance of public administration in the modern society;

1. As the basis of government

Public administration serves as the basis of government. A government can exist without a legislature or an independent judiciary, but no government can exist without administrative machinery. Appleby (1957) noted, without administration government would be a discussion club, if indeed it could exist at all. All nations, irrespective of their system of government, require some sort of administrative machinery for

implementing public policies. Thus, public administration has been the instrument of ancient empires, of monarchies of both democracies and dictatorship, of both developed and developing nations.

2. An instrument for implementing laws and policies

Public administration is responsible for implementing the laws and policies of government. By implementing public policies and programmes, it delivers the promised goods and services to the intended beneficiaries. It is said that the ideals and objectives of government may be very popular, the plans for national development may be extremely progressive and the natural resources of the country may be abundant, but without an efficient administration nothing can be achieved. In other words, even the good objectives of the best policies and laws of a government may remain as mere paper declarations of intent, if the administrative machinery does not function efficiently and honestly. An efficient public administration can avoid waste, correct errors; limit the consequences of incompetence, or irresponsibility while implementing laws and public policies. Thus, public administration acts as an instrument for translating plans, laws and policies into reality (Paulinadu, 2005).

3. Participation in policy formulation

According to Dimock and Dimock (1987), administration in the modern world bureaucracy is the chief policy maker in government. It is a source of facts and experience as well as of ideas and solution of public problems. In modern democracies, public administrators participate in policy making by giving advice to ministers and providing them the necessary information (i.e., facts and figures) which is relevant for policy formulation. As Stamp (1999) added, the officials must be the main spring of the new society, suggesting, promoting and advising at every stage. The administrative tasks of public bureaucracy include formulation of policies and plans, executing and monitoring programmes, laying down laws rules and regulations, which affect human actions in almost all walks of life.

4. A great stabilizing force in the society

Public administration acts as a great stabilizing force in society. It settles social tensions and conflicts and thus creates social unity and harmony. This role of public administration is of particular significance in the newly independent Afro-Asian

developing countries and Nigeria in particular. Public administrators solve social problems, they help in maintaining the status quo in society, ensures the continuance of the existing order with a minimum of effort and risk, and so on. Its fundamental aim is to carry on rather than to venture along new and untried paths. Public administrators are, therefore, the stabilizers of society and the guardians of tradition.

5. Provides continuity when government changes

Public administration carries on government when rulers change every now and then owing to elections or revolutions or coups. While governments may come and go, ministers may rise and fall, the administration of a country goes on forever. No revolution can change it and no upheaval can uproot it. It is a proven fact in history that public administration survives even revolutions and coup d'état which often bring changes in government.

6. Provides a wide variety of services in the public interest

Another fundamental essence of public administration is the provision of basic services in the public interest. Public administration in the modern welfare state provides a large and wide variety of services for the people.

7. Protective functions

This can be examined in the following context,

- a) Protects the life and property of the people: The maintenance of law and order in the society is another most crucial role of public administration. Without this, the law of the jungle will prevail. National defence is another protective function performed by public administration. This function is essential for the maintenance of the independence of the nation, sustain national unity and protect its frontiers.
- b) Protection of environment: In recent times, protection of environment is added to the protective functions of government mentioned in the preceding lines. This is as a result of emerging challenges of industrialization, oil exploration with its attaining effect of environmental degradation, air pollution, climate change and other environmental consequences of modern civilization. In this, public administration makes enabling laws to protect both human lives and biodiversities within the environment.

- c) **Facilitative services:** Today public administration provides facilitative services such as transportation, communications, supply of power, and so on. It also provides facilitative services in agriculture, industrial activities, internal and international trade, banking, insurance etc.
- d) **Management of public enterprises:** Public administrators manage public enterprise and public utilities in the interest of socio-economic justice. Public utilities are either publicly owned or strictly regulated in most countries. Government also imposes controls over private economic and business activities in the public interest.
- e) **Welfare services:** As part of its protective responsibility, public administrators provide welfare services and social protection for the vulnerable in the society; aged, the disabled, orphans, poor, unemployed, etc.
- f) **Cultural services:** Within the cultural sphere, public administration undertakes certain functions as provision of education, promotion of science and technology, encouragement of arts and ideology etc. through organizing events like Festivals of Arts and Culture, it has to promote and preserve the cultural heritage of the people.

8. An instrument of social change and economic development

Public administration is also concerned with managing change in pursuit of publicly defined societal values. In the developing nations of Asia, Africa and Latin America, public administration acts as an instrument of social change and economic development. The developing nations are mostly traditional and poor agricultural societies without adequate basic amenities of good life. These nations are anxious to achieve modernization of society and economic development and realize welfare goals. The state is called upon to achieve these goals. These objectives have placed challenging tasks on public administration such as formulation of economic plans and their successful implementation to realize economic growth and social change and welfare goals. The accomplishment of these goals requires honest and competent public administrators. Without efficient administration, socio-economic progress cannot be achieved. It is expected today to be the accelerator of economic and social change (Paulinadu, 2005).

1.5 IMPORTANCE OF STUDYING PUBLIC ADMINISTRATION

The study of public administration has acquired certain intellectual objectives. The benefits or the advantages of the study of public administration may be briefly stated as follows. The study of public administration,

1. Helps the student learn the basic concepts, principles and theories of public administration and management practice.
2. Helps explain the purposes, functions, and continuation of government administrative system.
3. Provides knowledge of public organizations and the context and methods by which they operate.
4. The knowledge of public administration helps in training citizen in the art of administration and further prepared them for an active participation in the process of democratic governance.
5. Makes us learn how to promote public interest more effectively.
6. Is useful to make public policies, which are more responsive to public needs.
7. Prepares students for employment in the government services and makes them aware of the opportunities and challenges of the public service. Thus, is useful as a self-serving investment.

1.6 DIFFERENCES BETWEEN PUBLIC AND PRIVATE ADMINISTRATION

Different scholars and practitioners have come up with several dimensions of differentiating public administration from business or private administration. Within the framework of this discourse, the following differences are examined,

1. **Political direction or ministerial responsibility:** Unlike private administration, public administration is subjected to political direction in most policy matters. It is the minister who lays down broad policy outlines. Under which the bureaucrat has to implement the policy. Operational autonomy is, however, granted to a great extent to public administrators, who are not responsible for their actions to the legislature. It is the minister who represents his department in the legislature, and is held responsible for all acts of omission and commission of his administrative juniors to Parliament.

2. Profit motive or marginal return: Public administration is service oriented and profit making is not its goal. A businessman will never undertake a venture which is not likely to yield any profit to him. In public administration, there is no correlation between income and expenditure, since most government departments are spending departments and even in the so called revenue producing departments, the primary motive is always public service.

3. Social necessity: Public administration caters for social needs and public utilities. For example, it maintains railways to facilitate movement of goods and passengers; the post and telegraph network facilitates communications; hospitals and dispensaries are meant to provide medical aid and public health services to the people. The scope of private administration is narrower. It is mostly concerned with providing marketable consumer goods to the public, caring for the economic needs of citizens. Besides, the nature of some of the government services is so wide, comprehensive and expensive that no private administration can undertake them, e.g. maintaining a vast network of police, army, railways or post and telegraph.

4. Public responsibility: Public administrators are trained and duty bound to respect the wishes of the public and cater for their needs. In the words of Appleby (1957), "Government administration differs from all other administrative work by virtue of its public nature, the way in which it is subject to public scrutiny and outcry." Private administration has no such obligation; its main objective is to secure its own ends.

5. Uniformity of treatment: Public administration is consistent in procedures and public dealings. Activities, public and official conducts are mostly regulated by common and uniform laws and regulations. Public administration is subject to the principle of external financial control. Government revenues are controlled by the people's representatives through the legislature. There are no uniform laws and official procedures peculiar in private administration. Again, in private administration, finances are not controlled by any outside agency.

6. Conformity to laws and regulations: The public administrators cannot do anything contrary to, or in excess of legal power. It has to function within the legal framework; it can never break the law. If it does so, its actions can be declared invalid or, ultra-vires by the courts. Private administration has no such responsibility. Public administration operates strictly according to law, rules & regulations. Adherence to law brings in a degree of rigidity & operation in the public sector. There is always the fear of audit or accountability that acts as a constraint on performance. On the contrary, business administration is relatively free from such constraints of law and regulations. Business firms have considerable flexibility to adapt their operations to changing situations.

8. Extent of overreaching responsibilities: Public administration has overarching responsibilities in terms of nation-building, and shaping the future society. It is therefore, much more. Value oriented. Business organizations have to follow the guidelines laid down by the public authorities.

1.7 SIMILARITIES BETWEEN PUBLIC AND PRIVATE ADMINISTRATION

There are basic similarities that exist between public and private or business organizations. Some of them are outline to include,

1. Definition of goals: Both administrative tasks are defined by specific goals. They exist and carry out their responsibilities in pursuant of specific goals.
2. Existence of employee/personnel in both administrations: in the performance of set tasks, both public and private administration requires people, people who are competent to perform the task of the organization. In this sense, employment is carried out to recruit the most qualified individuals to work in the organization.
3. Operations are regulated by law: public administration may find itself being regulated not just by public law, but also by private, mercantile law. Enactments on hours of work, employment of women, factory conditions, minimum wages, etc. apply as much to the public sector as they do to the private sector (Nyong, 2003).

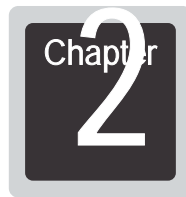
4. Tasks are performed within a defined organization: as a process, public and business administration take place within a formal organization. While public administration is carried out within a bureaucratic framework, business administration is carried out within an organized formal setting. Organizations principles and practices apply to both administrations.
5. Both administrations take place with an environment and its operations are influenced by it. Public and private administration operates within a dynamic socio-political environment. This environment has a significant effect on their operations, positively and negatively. One of the basic elements of this environment is 'people'. There is constant interaction with the people on issues of interest, morals and other ethical issues confronting the society.

Review Questions

1. Attempt 3 definitions of public administration
2. Identify and explain 2 assumptions of the scope of public administration. In your assessment of the two views, point out areas of differences.
3. What are the two broad views that explain the nature of public administration? Explain each briefly
4. Outline and explain briefly the significance of public administration in a modern state.
5. Identify 5 areas of differences between public and private administration.

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DEVELOPMENT AND EMERGING PRINCIPLES TO THE STUDY OF PUBLIC ADMINISTRATION



Public administration is as old as history and has passed through several phases of development. It has evolved through emerging principles and approaches to its study and practice. This chapter will examine the trends in the development of public administration, some emerging principles and sub disciplines within its practice and the various approaches in the study of public administration.

- 1.1 The development and growth of public administration
- 1.2 Emerging principles and sub disciplines in public administration
- 1.3 Approaches to the study of public administration
- 1.4 Reasons for the growing importance of public administration

2.1 THE DEVELOPMENT AND GROWTH OF PUBLIC ADMINISTRATION

Public administration has passed through several phases of development. The field is as old as society and state themselves. It evolved as the agency of state which runs the administration of the country. However, conscious theorizing about it is, perhaps, less than a century old. According to Woodrow Wilson, the late evolution of public administration was due to the fact that the Governments had passed through three stages-

- i. the period of absolute rulers;
- ii. the period of struggle for constitutionalism and popular control; and
- iii. the period when on winning political battles, people started thinking about freedom and perfect machinery for democratic administration.

The first systematic writer on public administration was the American President Woodrow Wilson whose article entitled “The Study of Public Administration” in the Political Science Quarterly in 1887, set the ball rolling for the study of public administration as a separate discipline.

In 1900 Frank Goodnow in his influential work 'Politics and Administration', put forth the thesis that the fields of Politics and Administration were separate areas of public life and hence the two must be separate and public administration must study only the field of Administration and the study of Politics to Political Science which resulted in the development of Permanent Civil Service free from political influence. Many later writers have attempted to reduce the scope of public administration in an attempt to provide focus to the study of modalities of policy implementation rather than policy formation. “Introduction to the study of Public Administration”, by L.D White published in 1926 focused on the study of various principles of public administration in the U.S. A. White has defined public administration as consisting of all those operations having for their purpose the fulfillment or enforcement of public policy. The emphasis here is on the activities of the executive branch of the government and the classic work. Other prominent scholars like Luther Gullick and Herbert Simon further advanced on this position.

By 1939 public administration had made great strides in its development into a science and in that year the American Society for Public Administration (ASPA) was formed with its quarterly journal, the “Public Administration Review”. ASPA provided a forum for the scholars and practitioners to meet together and exchange views which helped in the spread of theories, ideas and led to the development of Science of Public Administration. This development in the U.S.A was also aided by some management scholars who developed the Scientific Management Movement in the country. The 'father' of the Scientific Management Movement in the U.S.A was F. W. Taylor. The Human Relations School of Elton Mayo (to which school Herbert Simon belonged) contributed a Human dimension to public administration which emphasized on the individual and his behavior in organizations. This development turned public administration from purely a mechanical study of the process of policy implementation as projected by Willoughby into a human subject interested in the role of the individual in the organization and in devising means to get the best out of the individuals manning the administration (Nyong, 2003).

In the post war years, public administration changed its character and there was a change in its scope and methods of investigation. Till the end of the World War II, the development of the Science of Public Administration was confined to the U S A and Europe and most of the scholars and practitioners in the field studied the administrative systems of the USA or Europe and arrived at generalizations which they tried to apply to in all countries. After World War II came to an end, there came about the independence of the colonies and the need for development of administrative systems suited to these colonies arose. Scholars, therefore, found the need to arrive at generalizations in the field of public administration which would be applicable in these countries with diverse political economic and social systems.

Led by scholars like F.W. Riggs, Ferrel Heady, Gabriel A. Almond and others, the Comparative Public Administration came in to being and it started the comparative study of systems of public administration, comparing the systems of different countries, developed, underdeveloped, and arriving at principles applicable across a broad range of countries. The Comparative Public Administration Movement (CPAM) greatly broadened the study of public administration by emphasizing the development of principles of administration applicable across the board in different situations. It was a timely extension in the scope of the subject because it greatly helped the process of economic development in the developing countries of Asia and Africa and made the study of public administration truly universal. The contribution of Ferrel Heady and F.W. Riggs in this area is important, because they provided the impetus needed for the extension of the scope of public administration. This led to the development of the Comparative Administration Movement and the rise of Development Administration as an important part of the public administration. The modern view of public administration is that it is government-in-action.

With further emerging trend, the contemporary discipline arose out of the Bureaucratization of the nation-state when the church was separated from the state and government was superimposed on all other social institutions within a definite territory. (Paulinadu, 2005).

Modern public administration was first taught as a part of the training course of public officials on probation in Russia. The subject was largely compiled and taught in a descriptive manner by professors of cameral sciences, which then included all

knowledge considered necessary for the governance of an absolutist state. The Cameralist approach continued to influence European studies in public administration well into the twentieth century, until it was replaced by the administrative law and legal studies approach. Ideologically, Cameralism gave way to bureaucracy. Civil service recruits had to study administrative law and gradually all over Europe including Nigeria public service training schools started offering courses on administrative law and public administration (Stamp, 1999).

2.2 EMERGING PRINCIPLES AND SUB DISCIPLINES IN PUBLIC ADMINISTRATION

There emerging principles guiding the practice and sub disciplines within the purview of public administration. These include,

- 1) **Principles of Administration:** Administrative principles such as hierarchy, unity of command, span of control, coordination, and delegation and so on form traditional part of the study of public administration. The corner stone's of these principles are efficiency, economy and equity. Their aim is to develop a value free science of administration.
- 2) **Public Personnel Administration:** Public administration deals with the problems of public personnel management. It is concerned with manpower planning and the establishment of position-classification system. It includes such matters as recruitment, training, morale and motivation, discipline, retirement, employer-employee relations and other related matters. The efficiency of administration depends upon the efficiency of the persons employed, hence, the importance of personnel administration.
- 3) **Public Financial Administration:** Financial administration deals broadly with budgeting process, control of public expenditure, accounting and auditing. Financial management is very important because no public programme can exist without funds. Further, every important activity depends on the volume of money available to government and its proper spending. Hence, the scope of public administration includes the problems of financial management.

- 4) **Administration Accountability:** In the modern administrative state, public administrators exercise enormous powers. There are aspects of their jobs that can lead to misuse or abuse of their powers and corruption as well. Hence, in a democratic government public administrators must be held accountable to the people they serve for their actions and behavior. Administrative accountability is secured by means of administrative self regulation, and a comprehensive system of external controls-legislative, executive, judicial and popular. All these types of controls form part of the scope of the study of public administration.
- 5) **The Citizen's Charter:** This is a recent concept and instrument of administrative accountability. It empowers the citizens as users to demand from the government and the service organizations (e.g. hospital, post-office etc) the fundamental of accountability, transparency, and quality and choice of services supplied to them.

Comparative Public Administration: Comparative Public Administration (CPA) studies constitute an important area of specialization within the discipline of public administration. It is cross-national and cross cultural administrative studies aimed at examining common elements in different kind of administrative systems in the world. According to Guy (1984), CPA is a specialized branch of administration taken as a more general area on inquiry. It studies different administrative systems in their ecological settings; emphasizes empirical study based on rigorous methods such as field observation, field experiments and organizations-like groups; has developed on the inter-disciplinary orientation; lay stress on the inter-action between administration and socio-economic, cultural and political phenomena; highlights the multi-organisational nature of public administration and importance of interaction among organizations at different levels of government; (local, state and national); has widened the horizons of public administration by making it broader, deeper and useful.

The Comparative Administration Group of the American Society for Public Administration which was set up in 1963 under the chairmanship of Fred Riggs to study the administrative problems of developing countries viewed in the systematic context of their social, cultural, political and economic environments has defined CPA as “the theory of public administration applied to diverse cultures and national setting and the body of factual data, by which it can be examined and tested. Riggs noted that

the term “comparative” should be used only for empirical and nomothetic studies (Riggs, 1961).

- 6) **Development Administration:** The term is of recent origin, it is a product of comparative study of public administration in developing countries which are making efforts to attain economic growth. Development Administration was coined by U. L. Goswami in 1955, but the formal recognition to it was given when the Comparative Administration Group of the American Society for Public Administration and the Committee on Comparative Politics of the Social Sciences Research Council of the U.S.A. laid its intellectual foundations. The scholars popularizing the concept are Fred. W. Riggs, Edward W. Weidner, Joseph La Polombara, Albert Waterson etc. In its nature, Development Administration is an innovative administration acquiring new skills and new ideas. It emphasizes on group performance and inter-group collaboration rather than on individual performance. Its scope includes community services, programme planning, project management, area development, personnel development and so on.

According to Edward (1962) Development Administration involves the process of guiding an organization toward the achievement of progressive political, economic and social objectives that are authoritatively determined in one manner or the other. Merle (1963) regarded the term as a carrier of innovating values. It embraces the array of new functions assumed by developing countries embarking on the path to modernization and industrialization. Development Administration involves establishment of machinery for planning economic growth and mobilizing and allocating resources to expand national income. It involves a total plan of action to bring about a decided or guided change in all aspects of social activity geared to national progress with a heavy import of achievement of programmatic goals (Dey, 1966).

In summary, we can establish that Development Administration is concerned with the formulation and implementation of plans, policies, programmes and projects for national development, and development of administrative machinery and processes adequately suited to the task of national development. It is an action and goal-oriented administrative system. It is mainly administration of planned change. It concerns administration of development plans and programmes undertaken to attain the goals of economic development in nations of the world, especially, developing nations.

- 7) **Organization theory:** Organization theory is an important emerging area of study in public administration as a discipline. It deals with the formal structure, internal functioning and performance of organizations, their external environment and the behaviour of groups and individuals within them. Organizational theories and procedures involve the operation of the large bureaucratic network. Organizations in public sectors such as government departments, public corporations, commission etc, get the business of government done.
- 8) **Public policy analysis:** Public policy analysis is another important emerging sub-field of the study of public administration. Public policy analysis refers to the study of the process of policy making and policy outputs, i.e. the effects of policy implementation. Public policies are made and implemented by government to achieve certain goals.

2.3 APPROACHES TO THE STUDY OF PUBLIC ADMINISTRATION

Like most disciplines, the study of public administration has evolved from several approaches. Since 1887 there have been different approaches to the study of public administration when this subject as a separate academic discipline was born. The traditional approaches concentrated on the formal, legal and institutional aspects of organizations. The methods employed in the study were mainly historical and descriptive. The major concerns of the older literature on administration were the structure of personnel and financial administration, the administrative machinery, bureaucracy and functions of public administrators. The new approaches which mainly appeared after World War II came as a reaction to the older approaches. We will discuss briefly below the following emerging approaches in the study of public administration.

i. Historical Approach

The historical approach is essentially based on the belief that knowledge of history is absolutely essential for an in-depth study of any subject. For a proper understanding of the subject the study of public administration of the past in particular periods is necessary to link up with the present administrative systems. For example, for proper understanding of the background and growth of administration in India, a historical

perspective is essential. To understand the evolution of the administrative system in India, the characteristics of British Indian Administration and also the pre- British period have to be studied. White's two volumes; *The Federalists* (1948) and *The Jeffersonian* (1951), are important studies of the federal administration of the USA during the early years of the Republic, Biographical and 'autobiographical studies are also closely related, to the historical approach, the Europe and America reminiscences of ex-administrator reveal many important, facts of administrative processes (Nyong, 2003).

Several volumes in the Rules of India series and specialized studies dealing with tenures of particular governor-generals during the British era, are important to the study of administration of these periods.

ii. Legal Approach

Exporters of this approach would like to study public administration as part of the formal legal structure and organization of public bodies. Primarily, it is concern with powerits structure and functions. Its main sources are constitutions, codes of law, office manuals of rules and regulations and judicial decisions. Many countries of Europe, like Germany and Belgium, have particularly applied the legal approach to the study of public administration. In these countries there are two principal divisions of law constitutional and administrative. Whereas constitutional law deals with the three main organizations of the government, their interrelation and the distribution of power among them, administrative law is mainly concerned with the structure and functions of public bodies, departments and authorities. The legal approach is valuable for the understanding of the legal framework within which the administrative system has to operate, but by neglecting the informal forces operating in the organization (the sociological and psychological variables); it remains to a great extension incomplete approach to the study of public administration.

iii. Institutional Approach

This approach establishes linkages between the study of public administration and the institutions of government. It approached the study of administration through the study of the structure and functioning of separate institutions and organizations of the

state such as the executive, the legislature, the departments, government corporations, boards and commissions. Scholars of this school defined the task of administration as non-political or technical which lay merely in the field of policy implementation. They were mainly advocates of the politics-administration dichotomy and their efforts were channelized towards discovering 'principles' of public administration (Nyong, 2003). However, the majority of scholars of this approach like L D White and Luther Gulick were content merely with description of institutional structures without any attempt at theory building. This is essentially descriptive though attempts have been made by some thinkers to combine normative elements with the descriptive. Some of these have not only described the institutions but also suggested ideas for reform, where necessary. The traditionalists believed that the major problems of administration are related to the legal formal structure of organizations and their solution can also be found in modifying or changing this structure (White, 1958).

iv. Approaches and relations with other Subjects

This approach considered the study of organizations, their principles, goals and structure as primary to the study of administration. History and law were the two main sources of the older studies. The exponents of these schools gave serious attention to the problem of delegation, coordination, span of control and bureaucratic structure. Initially writers on public administration were most concerned with ways and methods to improve administrative efficiency and economy. This gave rise to many theories. Pfeiffer & Presthus, Waldo, Gulick & Urwick, Taylor, Fayol, Mooney, etc were primarily concerned with finding ways and means of improving organizational work, methods and processes, in order to raise their output and efficiency (Nicholas, 1999).

The main limitations of these approaches were a total neglect of environmental and informal factors on administration. By neglecting other variables like sociological and psychological forces on administrative situations and problems, these approaches remained to a great extent incomplete, one-sided and lacking in analytical content. According to Dwight-Waldo (1940) was the year of divide between old and new approaches to public administration. Some of the new trends that came to be noticed were:

- a) A rejection of politics-administration dichotomy.
- b) The idea of universally valid principles of administration were found to be largely invalid in diverse administrative environments,
- c) The goals of administrative efficiency and economy were supplemented with new goals like social and economic progress..
- d) With the advent of ex-colonial states on the administrative scene emphasis came to be laid more on the comparative and ecological approaches to the study of administration.
- e) Efforts were being made to study the problems of administration scientifically by adopting the latest techniques in management methods and other mathematical tools of analysis, among the older approaches the scientific management approach, the classical approach and the human relations approach may also be included.

v. Behavioural Approach

Modern behaviouralism which developed in the late 30s and 40s of this century is mainly concerned with the scientific study of human behavior in diverse social environments. It started as a protest against traditional, historical, normative and largely descriptive approaches in the social sciences. In public administration behaviouralism as a distinct line of study started in the 1930s with the Human Relations Movement and was later developed by Chester Barnard, Herbert Simon and others. Simon (1950) observed that "administrative behaviour" is a part of the behavioural sciences and the study of public administration should involve the study of individual and collective human behaviour in administrative situations. It brings to bear upon administrative problems an interdisciplinary approach which includes sociology, social psychology and cultural anthropology.

Salient features of the behavioural approach

The behavioural approach in administrative studies has the following salient features:

- a) Its literature is descriptive, rather than prescriptive, with the studies on motivation.
- b) Increased attention is paid to the individual based on more realistic research-concerning motivation, decision-making processes and the nature of authority.
- c) Stress is laid on informal relationships and communication patterns among members of an organization.

- d) It emphasizes operational definition of terms and empirical study based on rigorous methods, such as field study, laboratory experiments or use of other statistical methods,
- e) It is chiefly, though not exclusively, concerned with quantification, and formal theory construction.
- f) It is interdisciplinary in character, and makes considerable use of propositions drawn from other social sciences.

In short, the behaviour lists sought to adopt an integrated and interdisciplinary approach, since according to them all human actions are motivated by social, economic, political, or psychological environment from which they come. This approach aims at substituting empirical and realistic judgments for the purely value oriented. It also emphasizes a scientific approach to the study of administrative problems and their solution.

Decision-making studies emphasizing primarily cognitive processes and the; rational environment of behaviour. The behavioural approach has been criticized; for being of limited utility in the analysis of all types of administrative phenomena. It is contended that the study of man as a social animal, though, in itself praiseworthy, cannot be considered a part of the administrative sciences unless the resulting knowledge is particularly applicable to the 'administrative man'. Moreover, in the behavioural sciences, it is maintained and is largely valid and applicable to small social groups, whereas the study of public administration deals with larger communities. Secondly, the total exclusion of values from a study of administrative problems and phenomena will make the study of public administration rather sterile and irrelevant to the vital issues of the modern age. Human values, needless to say, are not directly quantifiable, or observable to the degree that physical phenomena are or can be (Nicholas, 1999).

The behavioural approach, therefore, appears, to be of limited relevance in dealing with all types of administrative problems and their solution, since the complexity and variability of human nature, motivations and behavior preclude the attainment of precision that is so characteristic of the physical sciences. Value-oriented or normative problems and issues of organization cannot really be explained or interpreted in, terms of the behavioural approach.

Vi. Systems Approach

One of the most significant landmarks in the evolution of organization theory is the development of general systems concept for organizational analysis. The origin of general systems is traced to the thinking of the biologist Von Bertalanffy, in the twenties. But it was only due to the quest of a number of post-World War II scholars for a body of concepts lending unity to studies, undertaken in various disciplines.

In short, general systems theory originates in a movement aimed at the unification of science and scientific analysis. The term 'system' has been defined as a complex whole, a set of connected things or parts. According to this approach in organizational analysis, an organization can be considered a social system to be studied in its totality. In other words, a system is a collection of interrelated parts which receives Inputs, acts upon them in an organized or planned manner and thereby produces certain outputs. There is a growing trend to place all types of organizations within the broad framework of general systems theory. A system is seen as an assembly of interdependent parts (sub-systems) who interact among themselves. Interdependence implies that a change in one part influences the other parts, ultimately affecting the entire system. Individuals are viewed as the basic unit of organizational systems. All human organizations are open sub-systems engaged in transactions within the larger social system, that is, society. All sub-systems receive inputs in the form of human and material resources from the larger system, while giving out outputs in the form of products, services or rewards to its members as well as to the larger system (Cole, 1987).

Other features of organizational sub-systems are:

- a) they are adaptive;
- b) they affect the larger system as well as are affected by it;
- c) they are dynamic because they undergo continuous change as a result of interaction with other sub-systems within the larger social system.

The chief contributor to systems analysis in organizational theory is Herbert Simon. Simon (1960) views the organization as a total-system, a composite of all the sub-systems which serve to produce the desired output. His basic assumption is that the elements of organizational structure and function emanate from the characteristics of human problem solving processes and rational choice. Therefore, the organization is

viewed as a system comprising individuals making choices and behaving on the basis of their reactions to their needs and environment.

The chief value of the systems approach lies in the systematic search for significant interactions while evaluating policies or actions of any organisation. What systems analysts are set to achieve is to predict the system's movements by interpreting the relationships between its parts. The systems approach is particularly relevant to the study of large public organizations operating in larger social, political and economic environments.

Churchman (1968) draws attention to five basic considerations in relation to the systems approach to management:

- a) The total objectives of the system and the measures of system performance.
- b) The system's environment acting as a constraint.
- c) The system's resources that are put to use in performance.
- d) The system's components and its goals and activities.
- e) The management of the system (the regulating and decision-making aspect).

The organization has been conceived by many administrative thinkers as a socio-technical system comprising both the social and technical variables. It is not merely an assembly of buildings, money, machines and processes. The system consists in the organization of people around various technologies, whose motivation, behaviour and relationships determine both the quality and quantity of its inputs and outputs.

As Miller and Rice (1976) put it, any enterprise may be seen as an open system which has characteristics in common with a biological organism. An open system exists, and can exist, only by exchanging materials with its environment. It imports materials, transforms them by means of conversion processes, consumes the products of conversion for internal maintenance, and exports the rest. Directly or indirectly, it exchanges its outputs for further intake, including more resources to maintain itself. These import-conversion export processes are the work the enterprise has to do if it is to live.

The systems approach to organizational analysis is now widely used. This approach can take into account more variables and interrelationships while looking at an organizational problem in the framework of a larger system. Another important dimension is the interaction between a system and its environment. The underlying assumption of the systems approach is that there is a continuous mutual interaction between the system and its environment.

vii. Structural-Functional Approach

The structural-functional approach as an analytical tool in the social sciences developed from the work of the anthropologist Malinowski and Radcliffe Brown in the early years of the present century. The important followers of this approach are Gabriel Almond, David Apter, Talcott Parsons, Robert Merton and Fred Riggs. The two concepts basic to the approach are structure and function. All social structures exist to perform certain functions. While functions concern the consequences of patterns of action, structures refer to the patterns of actions and the resultant institutions of the Systems themselves.

The structural-functional framework provides an important mechanism. For the analysis of different social processes in structural functionalism, social structure is viewed as 'any pattern of behaviour which has become a standard feature of a social system. There may be 'concrete' structures (e.g., government departments and bureaus) or 'analytic'. (e.g., structure of authority or power). All social structures perform some functions. In structural-functional terms, a function involves a pattern of interdependence between two or more structures, a relationship between variables. It refers to any consequences of a structure in so far as they affect other structures or the total system of which they are a part.

According to Nicholas (1999), the structural-functional categories presuppose a systems framework. The experts can locate the structures they want to analyze and their functions; e.g. to analyze the working of bureaucracy in any society it is first defined and identified in structural-functional terms. Structurally, bureaucracy is viewed as an administrative system possessing features such as hierarchy, specialization, system of rules, and role specificity. The set of behavioural characteristics identified with bureaucracy are rationality, impersonality, rule orientation and neutrality. However, it

may be clarified at the outset that there is no clear and direct relationship between structures and functions. All similar structures do not necessarily perform similar functions. A social structure may perform multiple functions and similarly one function may be performed by more than one structure. Structural functionalists have helped to clarify the general misconception that similar structures in diverse environments perform similar functions or that absence, of certain structures implies that particular functions are not being performed in particular social systems.

Notwithstanding the fact that structure and functions are not uniform in all societies various scholars of this approach have laid down what they consider certain necessary structural and functional prerequisites for the emergence of a society. Though various scholars have laid down different "prerequisites," these requisite functions have been greatly helpful in the comparative analysis of different social systems.

According to Riggs, there are five functional requisites of any society. These are,

- a) economic,
- b) social,
- c) communicational,
- d) symbolic and
- e) political.

He has applied these functional requisites to the study of the administrative sub-system. Later he developed his Agraria-Transitia-Industria Model for the comparative study of administrative systems as a part of the wider social system. Since then various other thinkers have adopted this approach in comparative public administration. This approach has helped to prove the vital points of differences between the administrative culture and processes of the developing and developed societies.

Certain structures of developing societies which, though apparently, dysfunctional from the western point of view, may prove to be functional in their own social or political milieu. In developed societies, structures and functions may be relatively differentiated and autonomous in operation, unlike developing ones where functions may be differentiated, but the structures which perform these functions are rarely separate or distinct.

viii. Ecological Approach

Various scholars and administrators have often referred to the need to relate public administration to the environment in which it functions. 'Ecology' refers to "the mutual relations, collectively, between organism and their environment". The ecological perspective in the study of public administration was introduced primarily through the writings of John Gaus, who first elaborated this approach in his *Reflections of Public Administration 1945*. Gaus advocated the concept of relating government functions to the environment which included such factors as people, situation, scientific technology, social technology, wishes and ideas, catastrophe and personality. These factors, he concluded, must be included in the 'ecological' study of public administration.

The ecological approach assumes that administrative behaviour is peculiarly moulded by the values of the administrative culture in which it functions, the administrative culture in turn being an outgrowth of the interaction of values and traits of the administrative system with the social system as a whole. The ecological approach is further based on the idea that an administrative system may not act as an independent variable in all circumstances. It acts and reacts under the influence of various sub-systems surrounding it. There is a great degree of interdependence between all social organizations and their ecological settings which include among other topography, population, level of physical and social technology and the interrelationships-and interactions between people and organizations.

Organizations, structures, procedures and goals are largely created and changed as a result of the interaction between an organisation and its environment. Thus, if an organisation is to survive it must adapt itself to the changing needs and conditions of its external environment which is continuously changing. In a highly industrialized and developed society like the USA the system of government and administration must not only cater to public needs and demands, but also to the compulsions of the American economy. The level of production and consumption of material goods is the highest in the USA compared to any other country in the world. Therefore, the administrative framework most favoured *in* that country is a free market system through which Americans are able to make free choices in production and consumption. A capitalistic economy with a democratic system of minimum state intervention and controls is what

the Americans have found suitable and that has existed in the country with only minor variations from time to time (Nyong, 2003).

In developing countries the two main goals of administration are nation building and socioeconomic progress. Administration in these countries functions in an environment of scarcity and multiple pressures and controls. Most of these ex-colonial developing countries inherited an authoritarian and unresponsive administrative culture, from their colonial days, which they carried into their systems even after the post-independence adoption of rationalist western models of administration. It has often been found that mere imposition of western administrative systems on the developing societies did not lead to their functioning in the same manner as they did in the West.

Fred W Riggs is another foremost exponent of the ecological approach in public administration. On the basis of certain functional prerequisites of a social system, Riggs attempted a variety of models and typologies such as the "Agraria-transitia-industria" and fused-prismatic-diffracted societies, His quest, for an ecological-perspective in cross-cultural studies led him mainly to the field of development administration. His ecological models emphasize an open system perspective that attempts to describe and analyze the interaction between the administrative sub-system and the wider social system. Dahl's (1966) advocacy of an ecological approach was based on what he stated were three problematic issues:

- a) Administrative generalizations based on the experience of one nation state cannot be universally applied to administrative systems in as kinds of diverse environmental settings.
- b) Before formulating theories and concepts of administration, it is necessary to empirically test their validity in all types of social setting to see what is universal.

This implies that public administration must be truly interdisciplinary and ecological in character, not only to widen its horizon but to make its study more scientific and relevant to all type of societies.

The advantage of this approach lies in the value and relevance of studying people in relation to their environment, taking into consideration their peculiar characteristics and problems. Public cooperation is a vital input for the successful operation of any

administrative system unless the administration caters to particular public needs, wishes, activities and problems it cannot ask for public cooperation to the extent desired. In the Third World countries, public administration is ridden with corruption, inertia and inefficiency. To improve its functioning one has to suggest solutions and this informs keeping in mind the peculiar history, customs, traditions and culture of the people coupled with their present needs and aspirations. Every popular, efficient and democratic administration must be ecological in character and approach.

ix. Public Policy Approach

The general concern of the social sciences for social engineering has resulted in the laying of emphasis on public policy. The study of public administration has also been influenced by the public policy perspective.

The abandonment of the politics-administration dichotomy made the public policy approach agreeable to administrative analysis. Evidence from the practical world of administration has brought out the criteria of a close nexus between politics and administration. As governments seek to formulate and implement more and more welfare programmes, policy studies in public administration will gather momentum. At this stage, the study of public administration has no doubt been gaining in social relevance, but its boundaries as a descriptive study is not as clearly distinguishable now as they used to be in the olden days of politics-administration dichotomy.

2.4 REASONS FOR THE GROWING IMPORTANCE OF PUBLIC ADMINISTRATION

A number of facts have contributed to the significance of public administration in the modern society.

They are briefly stated as follows:

1. Scientific discoveries and technological development

The scientific discoveries and technological advances have greatly contributed to the vast increase in the scope of the activities of public administration. The developments in modern science and technology have led to revolutionary changes in transportation and communication system. The invention of telephone, telegraph, railways, and airways has made big government and large-scale administration possible. The introduction of mechanical devices in the office administration such as typewriters, tele

printer, and calculators, photocopying machines, personal computers, fax and the electronic mail has brought about even more revolutionary changes in the ways and methods of administration. These devices have facilitated the management of big and complex modern organization with ease and speed.

2. Industrial revolution

Industrial revolution, a consequence of the scientific invention and technological developments, brought about certain changes in society. It led to the growth of large-scale industries and factory production, overcrowded industrial towns, and urban slums. The factory system also resulted in such evils as the growth of capitalism, large scale unemployment, exploitation of labour longer hours of work and lower wages, employment of children in hazardous occupations, health hazards, etc. In the interest of socio-economic justice, governments in the developed and developing countries have been compelled to assume new responsibilities to set right the bad effects of the above evils. As a result, the task and responsibilities as well as the importance of public administration have vastly increased.

3. Economic planning

Economic planning is another factor that has contributed to the increasing importance of public administration, particularly in the developing nations of Africa and Asia. Modern governments have resorted to planning as a method of achieving economic development and goals of welfare state. The Afro-Asian developing nations have undertaken development planning to reshape their economies and societies. The new responsibilities relating to planning activities, i.e., plan formulation and implementation, and creation of elaborate necessary administrative machinery have naturally widened the sphere of public administration. However, in the wake of the new liberalized economic reforms planning as a method of economic development and the administrative functions relating to it are gradually getting diminished.

4. Wars

Wars have also contributed to the importance of public administration. In times of war public administration is entrusted with the responsibility of mobilizing necessary manpower and resources for the purpose of war. Certain activities acquired by public administration during war-time may continue even after the termination of war. For instance, the Second World War had an impact on the availability of food (shortage of

food) and the prices of goods. Consequently, the government introduced the system of controls and quotes on the distribution and consumption of certain essential goods and commodities. The same systems have been with the public authorities in India until the introduction of new policy of economic liberalization in the 1990s. Thus, wars have their impact on the sphere of activities of public administration in providing goods and services for the people.

5. Calamities and Crises

Natural calamities like earthquakes, floods, droughts, and cyclones have also enhanced the importance of public administration. In the event of occurrence of such natural calamities the public administrators have to act quickly and undertake rescue operations in order to prevent loss of life and property of the affected people. Thus crisis management is an important function of public administration. To give an example, a crisis management group was formed to deal with the situation in Maharashtra and Karnataka, which were rocked by an earthquake on September 30, 1993. The crisis management group, under the chairmanship of the Union Cabinet secretary, coordinated and supported the activities of the various central ministries and departments. An emergency control room was also set up in the Home Ministry to monitor the situation. The purpose of all these arrangements was to provide speedy relief to the victims and survivors of the earthquakes disasters.

In the third world countries very often the public authorities have to manage the recurring crises resulting from social upheavals such as class and caste conflicts, communal riots, tribal and ethnic violence. These dark forces threaten social harmony and peace and the fabric and in times of crises resulting from their activities the public administrators have to quickly restore peace and protect the lives and property of the people. This role of public administration has also increased its importance.

6. Rapid growth of population and the problems of metropolitan cities

The rapid growth of population in almost all the countries of the world, especially in the developing countries, has complicated the problems of providing food, shelter, education, health and sanitation, transport facilities and the like to the people. The tackling of these problems has placed additional responsibilities upon public bureaucracy.

The growth of metropolitan cities has also created certain problems peculiar to them. Some of the problems of the metropolitan cities include congestion, growth of slums, housing scarcity, insufficient water supply, inadequate transportation, increasing urban crime rate and violence, etc. The responsibility for tackling these acute social and economic problems has devolved upon public bureaucracy and increased its sphere of activity.

7. Emergence of welfare state

The emergency of welfare state in modern times has added many new activities and responsibilities to the existing functions of public bureaucracy. The welfare state is a social service state. Its motto is promotion of human welfare and good life for the people. In the interest of socio-economic justice, the positive welfare state acts as a protector, a dispenser of social services, a provider of essential commodities, a manager of key industries and banking services, and a controller and regulator of private economic enterprises and activities. Thus as Herman Finer says, "The state is everywhere; it leaves hardly a gap" Waldo says, "Public administration is a part of the cultural complex, and it is not only acted upon, but also acts, it is indeed a great created force with man's welfare as its ideal". This change in the political philosophy of state from negative to positive role has naturally increased the importance of public administration.

8. Developments in the 1990s; Their Impact

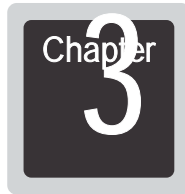
Liberalization and privatization have demanded the roll back of the welfare state. As a result, government has had to shed some of its functions and weight. Government is now being called upon to play more and more 'enabling' role than the traditional 'doing' role. It no longer plays the role of a direct provider of goods and services. Instead, Government may operate indirectly as enabler, allowing non-government agencies to operate directly in a wide range of social activities. Thus the functions of the state have been reduced to the minimum.

Review Questions

1. Discuss the factors responsible for the development and growth of public administration.
2. What are the emerging principles and sub disciplines in public administration.
3. Outline and explain briefly the various approaches to the study of public administration.
4. Advance five (5) reasons for the growing importance of public administration in emerging societies.

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THE ENVIRONMENT AND CHARACTERISTICS OF PUBLIC ADMINISTRATION



Like other discipline and practice, public administration operates in a peculiar socio-economic and political environment which affects its behavior and performance. Chapter THREE will examine the features of the environment and the characteristics of public administration.

- 1.1 The environment of public administration
- 1.2 Characteristics of public administration

3.1 THE ENVIRONMENT OF PUBLIC ADMINISTRATION

The environment of public administration consists of those factors or variables which affect its operations and in turn are affected by it (Nyong, 2003). Public administration constantly interacts within its operational environment or administrative system. This is also known as 'administrative ecology'. This ecology is as much an advancing and/or limiting factor to the effective operations of public administration. Some of the factors which operates in this environment include,

1. The people and their expectations from public administration
Advancing the interest of the people, defines the operational objective of public administration. There is a wide expectation of benefits from public administration at little or no cost to the citizens. This is particularly the case in the ex-colonial countries of Africa and Asia where there is a strong heritage of government involvement in many welfare functions. There are innumerable expectations for benefits, various amenities like pipe-borne water, electricity, health-care, education, access roads, etc. The consequence of this great expectation is that the people are not eager to calculate or make allowance for the cost of providing these amenities. Thus, the public

administrator must walk the tight rope of satisfying these popular demands with little or no resources at his disposal, it must do and effectively too with the meager financial resources available (Akpama, 2004).

2. Its operates in an intense and pervasive political environment

The political environment where public administration operates, sometimes are very pervasive. This influences even allocation of resources to areas of need. Sometimes, public administrators are affected by pressure and personal inclinations in the citing and allocation of resources and projects. In normal circumstances, public projects are supposed to be cited in areas of need, but this is often undermined, what is rather observed is the manifestation of political interest and this undermines the course of even and widespread development.

3. The ideological environment

Ideology captures the ideas, belief system, attitudes; social and moral lifestyles of the people in any given political environment. Most of the ethical and moral challenges faced in developing countries, like Nigeria is a consequence of colonial heritage. Two of such is Elitism and Corruption. Elitism is particularly noticed in the public service, which is airtight classes which stand in hierarchy of power and prestige which is both undemocratic in spirit and an obstacle to efficient public administration (Nyong, 2003). He added that, the educational system of the country (Nigeria) seems to be designed to uphold and reinforced elitists philosophy to sort out by stages, the most worthy, who are crowned with laurels of successes certified by diplomas and degrees from the less worthy who at one stage or another in the educational ladder are crowned with the dunce cap of failure. This results in a lack of appreciation for specialized knowledge and professional training in the management of the public service which does not enhance efficiency and effectiveness. Elitism philosophy is antithetical to effective public administration.

Corruption is any behavior or public conduct that is classified to be dishonest, faculty recruitment, illegal enrichment, gross misconducts, embezzlement of public funds, bribery, mismanagement, indiscipline, greed, and other suchlike acts that affect effective performance and service delivery in the public service. This act constitutes serious setbacks which affects the public sector. The Nigerian public sector, like other

nations of the world is riddled with corruption. It has become a cock in the wheel of progress. Management and control of public affairs are in many cases, in the wrong hands. This explains, to a large extent, the cause of the nations dwindling economy and poor public service performance.

4. Ineffective personnel management

Personnel Management is basically an administrative record-keeping function, at the operational level. It attempts to maintain fair terms and conditions of employment, while at the same time, efficiently managing personnel activities for individual departments etc. It is assumed that the outcomes from providing justice and achieving efficiency in the management of personnel activities will result ultimately in achieving organizational success. Furthermore, it is concerned with the effective use of the skills of people. They may be salespeople in a store, clerks in an office, operators in a factory, or technicians in a research laboratory. In the public service, personnel management starts with recruiting and hiring of qualified people and continues with directing and encouraging their growth as they encounter problems and tensions that arise in working toward established goals.

Personnel functions are performed by the personnel department. Some of the functions include employment, training and development. It represents management in many of the relationships that affect the organization as a whole. It is also responsible for presenting various workers problems to management. In addition to recruiting and hiring, some of the responsibilities of a personnel manager are:

- a. To classify jobs and prepare wage and salary scales.
- b. To counsel employees.
- c. To deal with disciplinary problems.
- d. To negotiate with labor unions and service union contracts.
- e. To develop safety standards and practices.
- f. To manage benefit programs, such as group insurance, health, and retirement plans.
- g. To provide for periodic reviews of the performance of each individual employee, and for recognition of his or her strengths and needs for further development.
- h. To assist individuals in their efforts to develop and qualify for more advanced jobs.

- I. To plan and supervise training programs.
- j. To keep abreast of developments in personnel management.

The effective attainment of the above objective of personnel is a function of an effective and competent personnel manager. Where the personnel manager is not competent or sensitive to the personnel needs; training, development and motivation, then personnel responsibilities cannot be effectively attained. Consequently, public administrators perform below capacity or public expectation. Incompetent personnel management is another important factor within the environment of public administration which affects its performance and effectiveness.

5. Shifting social realities

Shifting social reality and complex environmental conditions impose certain rigorous conditions on public administration today. Principles of the past or the administrative recipes of bureaucratic routine are no longer appropriate tools for analysis of today's problems & solutions. Public administration in modern time has to be proactive, *innovative, risk-taking, and often adventurous. This new challenges is expected to transform 'bureaucracy' into a new kind of learning organization, more adaptable to changes, more open to new insights and innovations, and more accessible to the clientele.*

3.2 CHARACTERISTICS OF PUBLIC ADMINISTRATION

The under listed characteristics can be discussed within the purview of public administration. There are,

- 1) Public administration is the non-political public bureaucracy operating in a political system under the direction of political leadership
- 2) It is the monopoly of the state. As such it deals with the ends of the state, the sovereign will, the public interests and laws, the coercive element in society.
- 3) Although it tends mainly to be concentrated in the executive branch, it is the whole government in action. Since government is a big affair, public administration is also naturally a big and complex organization.
- 4) As the business side of government public administration is concerned with policy execution, but it has also responsibility in policy-making.
- 5) Public administration is a means to an end, and not an end in itself. It involves the entire activities of government and the processes involved in the

implementation of its policies and the provision of various services for the people at minimum cost in order to attain good life.

- 6) It differs significantly from private administration; especially in its emphasis on public good, but it finds partial analogies in private administration.
- 7) It is interdisciplinary in theory, for it embraces in its fold several social sciences such as political science, sociology, psychology, economics and management science.
- 8) Public administration is a practical discipline, be it an art or a science; it has a nexus with political and state activity, which has become all-pervasive. It has an applied nature focusing mainly on the problems of society and polity.
- 9) It is an ongoing and continuous process. There is no end to it. If one activity is completed, a new one will crop up (Polinadu, 2005).

Review Questions

1. The environment of public administration consists of those factors or variables which affect its operations and in turn are affected by it. Mention and explain these factors.
2. Mention some of the characteristics of public administration.

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Chapter 4

FUNCTIONS AND ADMINISTRATIVE PROCESSES IN PUBLIC ADMINISTRATION



Chapter four discusses the functional and administrative processes peculiar to public administration. It also addresses the argument of whether public administration is an art, a science or both.

- 4.1 Functions and administrative processes in public administration
- 4.2 Science and art of public administration

4.1 FUNCTIONS AND ADMINISTRATIVE PROCESSES IN PUBLIC ADMINISTRATION

The functions of public administration are similar to that of business organizations. They share the same tenets. In our discussion here, the functions and processes will be explained to cover both administrative frameworks. Words like 'managers', 'business' and 'organisation' will be used. There are several administrative processes within the purview of public administration. In a summarized pattern, Gulick and Urwick in their book entitled, "Papers on the Science of Administration" (1937), defined this processes in the acronym PODSCORB. These are,

1. PLANNING

Planning is a mental predisposition to do things in orderly way, to think before acting and to act in the light of facts rather than guesses. Planning is deciding best alternative among others to perform different managerial functions in order to achieve predetermined goals. Planning is the selecting and relating of facts and the making and using of assumptions regarding the future in the visualization and formulation of purposed activities believed necessary to achieve desired results.

Planning is the process of determining organizational aims, developing premises about the current environment, selecting the course of action, initiating activities required to transform plans into action, and evaluating the outcome. The types of planning that managers engage in will depend on their level in the organization and on the size and type of the organization.

Planning entails also the laying down of ideas, precepts, designs geared toward the future. Notably, the main essence for planning is to avoid mistakes in the future. Therefore, it is futurists. Generally there are four major types of planning exercises

- a. Strategic: strategic planning involves determining organizational goals and how to achieve them. This usually occurs at the top management level
- b. Tactical: tactical planning is concerned with implementing the strategic plans and involves middle and lower management.
- c. Contingency: contingency planning anticipates possible problems or changes that may occur in the future and prepares to deal with them effectively as they arise.
- d. Managerial: this planning is usually considered as micro-level planning. It helps in combining resources to fulfill the overall objectives of the extension organization.

Planning is designing the future, anticipating problems, and imagining success. In short, planning is essential for anyone who wants to survive. The functions of organizing, leading, staffing, and budgeting are means of carrying out the decisions of planning.

Advantages of planning

1. Facilitates quick achievement of objectives: Planning facilitates quick achievement of organizational objectives. In the planning process, the objectives to be achieved are clearly decided / finalised and plans are prepared and executed for achieving such well defined objectives. Planning ensures achievement of objectives in an orderly and quick manner.
2. Brings unity of purpose and direction: Planning brings unity of purpose and direction before the entire organisation as it is for achieving certain well defined goals. Planning diverts all resources in one direction for achieving well defined objectives.

3. Ensures full utilisation of resources: Planning ensures effective/maximum utilisation of available human and material resources. It eliminates wastages of all kinds (of material resources and human efforts) and this ensures fuller utilisation of available resources.
4. Avoids inconsistency in efforts: Planning avoids inconsistency in efforts and also avoids possible frictions and duplications. It ensures economy in business operations.
5. Raises competitive capacity/strength: Planning raises competitive potentialities of a business unit. It enables a business unit to stand with confidence in a competitive market. It keeps ready solutions for possible problems and enables a business unit to function with confidence.
6. Promotes managerial efficiency: Planning promotes managerial efficiency. It covers all managerial functions and helps management to execute future programmes in a systematic manner. It makes managerial direction and control effective.
7. Avoids hasty decisions and actions: Due to planning, hasty decisions and haphazard actions by managers are avoided. It also encourages systematic thinking by the managers. Planning facilitates effective delegation of authority, removes communication gaps and thereby raises overall efficiency. It even encourages innovative thinking among managers.
8. Ensures effective control on the organisation: Planning ensures effective control on the whole organisation. It fixes targets in clear terms and draws plans and programmes for achieving them. This facilitates effective control on the functioning of the business unit or government departments.
9. Improves motivation: Planning facilitates participation of managers and workers in the normal functioning of an enterprise. It develops team spirit and raises morale and motivation of employees. Workers know what is expected from them. This ensures high degree of efficiency from them. Planning also provides training to managers. It serves as a tool for manpower development in an organisation.

Limitations of planning

1. **Time-consuming and costly:** It is argued that planning is a lengthy process as it involves collection of data, forecast, research and analysis. Similarly, planning is essentially the job of highly paid experts. As a result, planning is a time-consuming and costly activity. Only large firms can undertake planning due to heavy cost and lengthy procedure involved in it.
2. **Ineffective due to environmental changes:** Public and business environment changes frequently and plans are required to be adjusted as per the changes in the situation through suitable modifications. However, such revision/modification creates a number of problems. Such adjustments in the operational plan are always costly, time-consuming.
3. **Dangers of unreliable data:** Planning needs accurate data from internal and external sources. The quality of planning depends on such accurate feedback. If the information supplied by various departments is unreliable, the planning process will be adversely affected. Planning based on incomplete information may prove to be even dangerous. Securing reliable information is always difficult and this brings deficiencies in the entire planning process.
4. **Involves huge paper work:** Planning involves huge paper work in the preparation of master plan and departmental plans.

The advantages of planning are more important/ significant while its limitations are few. Moreover, these limitations can be minimized. The practical utility of planning is universally accepted. It is not fair to give up the concept of planning due to certain limitations. The better alternative is to make it more effective, purposeful and result oriented.

Steps in planning process

Planning is a lengthy process which moves gradually and step by step approach is usually adopted. These steps are like stations in the journey of planning process. Usual steps in the planning process are as briefly explained below:

1. **Classifying the problems:** The planning process starts with clear understanding and classifying business problems faced by a business unit. Identification of problems or opportunities by managers justifies the need for action. It is like the diagnosis of the health problem of a patient by his doctor. Planners have to understand the problems of the organisation first and, then, prepare a plan to deal with the problems in the light of the prevailing business environment.
2. **Determining the objectives:** In this second stage in the planning process, the planners decide the overall objectives to be achieved. Planning is always for achieving certain well defined objectives and naturally objectives must be spelt out precisely. Objectives act as pillars of the entire planning process.
3. **Collecting complete information and data:** The planners have to collect information relating to problems facing the business unit. Such information is necessary and useful for analyzing the problems in depth and also for accuracy in planning. Information can be collected from internal and external sources. Reliable, updated and adequate data make planning process result-oriented.
4. **Analyzing and classifying the information:** At this stage, the information collected is analyzed and interpreted systematically for drawing specific conclusions. This facilitates purposeful use of information, while preparing alternative plans. Irrelevant information can be discarded through such analysis.
5. **Establishing planning premises:** Planning premises are various assumptions and predictions about the future situation. Such premises act as background for planning activities. The planning premises are expected to supply relevant facts, information and data on the basis of which forecasts are prepared and future trends are indicated. Planning premises reduce uncertainties in the planning process.
6. **Determining alternative plans:** Here, the planners prepare and keep ready alternative plans suitable for use under different situations. The best among the available alternative plans is used for actual execution. The preparation of

alternative plans is essential as one plan is normally not adequate under all types of situations. It is a type of stand-by arrangement useful for meeting any emergency situation.

7. **Selecting operating plan and preparing derivative plans:** After study of the business environment and the alternative plans available, the planners select the best plan for actual execution. This decision is a delicate one and must be made with proper care. After the selection of operating plan, the planners have to prepare derivative plans. Such plans are related to different departments/activities and constitute sub-sections of the operating plan. The division of overall plan into derivative plans is necessary for effective execution.
8. **Arranging timing and sequence of operations:** Timing involves fixation of starting and finishing time for each job or piece of work. Sequence of operations ensures proper flow of work. This step in planning process is important as it brings coordination in the activities of different departments. The timings and sequence of operations must be communicated to concerned departments, managers and staff for implementation of the plan.
9. **Securing participation of employees:** Planning needs willing participation of all employees and departments. For this, information regarding the operative plan should be given to employees well in advance. Here, the internal communication system should be used extensively. For such participation, employees should be associated with the planning process.
10. **Follow-up of the proposed plan:** The purpose of follow-up is to make periodical review of the execution process. It is useful for understanding actual progress and deficiencies in the process of execution of the plan. This also facilitates adoption of suitable remedial measures as and when required.

2. ORGANIZING

Organizing can be viewed as the activities to collect and configure resources in order to implement plans in a highly effective and efficient fashion. Organizing is a broad set of activities, and often considered one of the major functions of management. Organizing is the process of establishing orderly uses for all resources within the management

system. Here, Orderly signifies the emphasis on the attainment of management system objectives and assist managers not only in making objectives apparent but in clarifying which resources will be used to attain them.

Once strategic planning and management planning are implemented, organizing to get the job done is next. Organizing is the process of establishing formal relationships among people and resources in order to reach specific goals and objectives. The process, according to Marshall (1992), is based on five organizing principles:

- a. unity of command,
- B. span of control,
- c. delegation of authority,
- d. homogeneous assignment, and
- e. Flexibility

The organizing process involves five steps: determining the tasks to be accomplished, subdividing major tasks into individual activities, assigning specific activities to individuals, providing necessary resources, and designing the organizational relationships needed. In any organizing effort, managers/administrators must choose an appropriate structure. Organizational structure is represented primarily by an organizational chart. It specifies who is to do what and how it will be accomplished. The organizing stage provides directions for achieving the planning results. There are several aspects to organizing - time, structures, chain of command, degree of centralization, and role specification.

Organizing is central in public administration because it help create specialization in task. This can look a manager skill when they organize in an organization. Managers must specialize to doing something to look like expert. It is because they need to be organizing properly in their works and the jobs must be divided. For example, if every organization is specialization in their department, it will look more professional and expert or it can earn more different benefit.

Importance of organizing function

1. Specialization - Organizational structure is a network of relationships in which the work is divided into units and departments. This division of work is helping in bringing specialization in various activities of concern.

2. **Well defined jobs** - Organizational structure helps in putting right men on right job which can be done by selecting people for various departments according to their qualifications, skill and experience. This is helping in defining the jobs properly which clarifies the role of every person.
3. **Clarifies authority** - Organizational structure helps in clarifying the role positions to every manager (status quo). This can be done by clarifying the powers to every manager and the way he has to exercise those powers should be clarified so that misuse of powers does not take place. Well defined jobs and responsibilities attached helps in bringing efficiency into managers work. This helps in increasing productivity.
4. **Co-ordination** - Organization is a means of creating co- ordination among different departments of the enterprise. It creates clear cut relationships among positions and ensures mutual co- operation among individuals. Harmony of work is brought by higher level managers exercising their authority over interconnected activities of lower level manager.
5. **Effective administration** - The organization structure is helpful in defining the jobs positions. The roles to be performed by different managers are clarified. Specialization is achieved through division of work. This all leads to efficient and effective administration.
6. **Growth and diversification** An organizational growth is totally dependent on how efficiently and smoothly a concern works. Efficiency can be brought about by clarifying the role positions to the administrator, co-ordination between authority and responsibility and concentrating on specialization.

Organizing decisions

When organizing, administrators/managers must make decisions about the division of labor and work specialization, departmentalization, chain of command, span of management, centralization, and formalization. Collectively, these decisions are often called organizational design.

- 1 **Division of labor or specialization:** More than two centuries ago Adam Smith concluded that division of labor contributes to increased productivity and efficiency by allowing workers to specialize and become proficient at a specific task. This principle, coupled with technological advances, made possible the tremendous productivity of industrial companies during most of the twentieth century. By the 1940s most manufacturing jobs in developed nations were highly specialized, with workers performing specific, standardized, and repetitive tasks. This resulted in reduced staffing, training, and compensation costs, since highly skilled workers were often not necessary. In addition, since employees were doing the same task repetitively, they tended to become very good at it.
- 2 **Departmentalization:** After the work to be completed is organized into identifiable jobs through a process of dividing labor, jobs are then combined into logical sections or departments. Doing so allows for effective coordination of effort. There are many ways to departmentalize, each of which has important advantages and disadvantages. One of the most common forms is functional departmentalization, which involves grouping similar jobs into a common department, such as accounting, sales, human resources, and engineering. Another form is product departmentalization, which involves organizing around an enterprise's various product lines. Other ways of departmentalizing include organizing by customer and by geographic territory. In practice, most large companies use a hybrid form of departmentalization, which means they combine one or more of the above methods to form their organizational structure.
- 3 **Chain of command:** The chain of command is a line of authority extending from the top to the bottom of the organizational structure. Classic principles of organizing emphasize that one must be aware of the need to define the extent of managers' responsibility and authority by specifying their place in the chain of command. Another principle of organizing related to the chain of command is called the unity of command, which states that a person should have only one superior to whom he or she must report.
- 4 **Span of management:** The span of management, often called the span of control, is the number of individuals who are directly responsible to a particular

manager. A classic principle of organizing suggests that there are definite limits to the number of subordinates one manager can supervise effectively. When organizing, administrators/managers must keep these limits in mind. Wide spans of management lead to flatter organizational structures with fewer layers of management, and are thus considered more efficient. However, if spans become too wide managers may not be able to provide adequate direction to subordinates. Narrow spans of management lead to tall organizational structures with many layers of management. Although narrower spans of management allow for closer supervision of subordinates they have many drawbacks, including cost, communication problems, and difficulty in developing the initiative and autonomy of subordinates.

In general, the trend is toward wider spans of management, with an accompanying decrease in management hierarchy. Technological advances in information processing and communication have made wider spans of management more feasible.

- 5 Degree of centralization: Another organizing decision is the degree of centralization in the organizational structure. If decision-making authority in an organization is highly centralized, then most major decisions are made at the upper levels of the structure. Conversely, if decision-making authority is decentralized, important decisions are often made at lower levels of the hierarchy. The degree of centralization that is appropriate for a given organization depends upon many factors, including the nature of the environmental conditions that face the enterprise, the characteristics and abilities of lower-level employees, and the size of the enterprise. Many organizations are favoring a greater degree of decentralization of their decision-making authority.
- 6 Formalization: The degree of formalization in an enterprise refers to the degree to which there are standardized rules and procedures governing the activities of employees. An organisation with a high degree of formalization is characterized by detailed job descriptions and clearly defined policies and procedures covering a wide variety of employee behaviors. Conversely, an organisation with a low level of formalization is characterized by non-structured jobs and fewer explicit policies and procedures

As organization grow larger, a certain amount of formalization is inevitable. Employees require some direction in their job responsibilities and in the procedures required for consistency within the organization's production schema. When organizing, however, administrators should be aware of the costs of excessive formalization, which may include stifling employee creativity and innovation as well as slowing the organization's responsiveness to critical issues and problems.

Factors affecting organizing decisions

There is no standard formula for the best way to organize an enterprise. Several factors have been shown to influence organizing decisions. Among the most important of these factors are strategy, size, environmental conditions, and technology.

- a. **Strategy:** Managers/administrators organize in order to achieve the objectives of the organisation for which they work. Thus, the strategy of the enterprise affects organizing decisions. Changes in strategy frequently necessitate changes in the way the enterprise is organized.
- b. **Size:** Small enterprises tend to exhibit less formalization, centralization, and complexity in their organizational structure. Nevertheless, enterprises of the same size may be organized quite differently because of differences in strategy, environmental conditions, and technology.
- c. **Environmental conditions:** The key factor in the external environment that is relevant to organizing is uncertainty. Some enterprises face competitive environments that change rapidly and are quite complex, while others face relatively stable conditions. Generally, turbulent environments call for organizing decisions that lead to less formalization and centralization in the organizational structure.
- d. **Technology:** The processes by which an enterprise transforms inputs into outputs may also affect organizing decisions. Some research suggests that organizing decisions that lead to high degrees of formalization, centralization, and work specialization are more appropriate for routine technologies and that the converse is true for non-routine technologies.

Guiding steps/ principles for organizing

A thorough organizing effort helps managers to minimize costly weaknesses, such as duplication of effort and idle organizational resources. If there were to be an organizing department, its responsibilities will include:

- A. Reorganization plans that make the management system more effective and efficient.
- b. Plans to improve managerial skills to fit current management system Needs.
- c. An advantageous Organizational climate within the Management System.

Henri Fayol developed 16 general guidelines for organizing resources:

1. Judiciously prepare and execute the operating plan.
2. Organize the human and material facets so that they are consistent with objectives, resources and requirements of the concern.
3. Establish a single component, energetic guiding authority i.e. a Formal Management Structure.
4. Co-ordinate all activities and efforts.
5. Formulate clear, distinct and precise decisions.
6. Arrange for efficient selection so that each department is headed by a component, energetic manager and all employees are placed where they can render the greatest service.
7. Define duties.
8. Encourage initiative and responsibility.
9. Offer fair and suitable rewards for services rendered.
10. Make use of sanctions against faults and errors.
11. Maintain discipline.
12. Ensure that individual interests are consistent with the general interests of the organization.
13. Recognize the Unity of Command.
14. Promote both material and human coordination.
15. Institute and Effect Controls.
16. Avoid regulations, red tape and (excessive) paper work.

3. STAFFING

Staffing has been an important aspect in all types of organizations' development. More and more companies have noticed a good staffing plan could increase productivity and reduce operation costs in terms of lower turnover rate and transition costs. Good staffing could be able to minimize cost in order to maximize profit, because it could assist the company to stay more competitive within the industry. According to the definition by Dr. Green, "staff is the process of identifying work requirements within an organization; determining the number of people and the skills necessary to do the work; and recruiting, selecting and promoting the qualified candidates. It is the selection process of screening and hiring new employees, which includes functions like resume reviewing, interview, drug testing, assessment testing, and background check" (Green, 2003).

Staffing is the process, through which competent employees are selected, properly trained, effectively developed, and suitably rewarded and their efforts harmoniously integrated towards achieving the objectives of the organization. Staffing is one of the important management functions which are mainly concerned with proper arrangement and management of the required manpower for the organization. After having prepared plans, as well as the structure of organization for seeking the objectives, various positions are created.

According to Schneider (1990) effectiveness is not uni-dimensional or one sided. To be effective in work setting people must do many things well and they as people must derive same value from their efforts. to have an effective staffing process, it requires as a first step the explicit specification of exactly what is that people must do well and what they will be offered in reward for doing it.

Importance of staffing

Staffing has a significant role in the development of the organization. These include,

1. To prepare manpower planning.
2. To determine manpower requirements of organization in terms of quantity and quality.
3. To make all necessary arrangement for acquiring needed human force through proper and effective recruitment and selection.

4. To maintain human force in organization for a period of time.
5. To formulating effective labour policies for long period.
6. To implementing the labour policies in various projects.
7. To develop manpower to its maximum by providing scientific training and conducting various development programs.
8. Effective staffing functions also helps in matching the expenditure incurred in maintaining human resource and the benefit derived out of it.
9. To utilise all physical resources through human resources.

Elements of staffing process

The processes involved in staffing may be grouped under the following;

1. **Manpower planning:** This is first stage involved in the staffing process of the organization. It deals with the identification of needs (areas of vacancy), and further identifying the right caliber of people that should fit into the position identified. In large scale organizations, manpower planning is handled by the Human Resource Manager or Personnel Manager of such organization.
2. **Job Analysis:** A job analysis is the process used to collect information about the duties, responsibilities, necessary skills, outcomes, and work environment of a particular job. You need as much data as possible to put together a job description, which is the frequent outcome of the job analysis. Additional outcomes include recruiting plans, position postings and advertisements, and performance development planning within your performance management system.

Job analysis is a process of identifying and determining in detail the particular job duties and requirements and the relative importance of these duties for a given job. Job analysis is a process where judgments are made about data collected on a job. The purpose of job analysis is to establish and document the '*job relatedness*' of employment procedures such as training, selection, compensation, and performance appraisal. The job analysis may include these activities: reviewing the job responsibilities of current employees, doing Internet research and viewing sample job descriptions online or offline highlighting similar jobs, analyzing the work duties, tasks, and responsibilities that need to be accomplished by the employee filling the position, researching and sharing with other organisations that have similar jobs, and articulation of the most important outcomes or contributions needed from the position.

The proper start to a recruitment effort is to perform a job analysis, to document the actual or intended requirement of the job to be performed. This information is captured in a job description and provides the recruitment effort with the boundaries and objectives of the search. Oftentimes an organization will have job descriptions that represent a historical collection of tasks performed in the past. These job descriptions need to be reviewed or updated prior to a recruitment effort to reflect present day requirements. Starting recruitment with an accurate job analysis and job description ensures the recruitment effort starts off on a proper track for success.

3. **Recruitment:** Recruitment refers to the process of attracting, screening, and selecting qualified people for a job. For some components of the recruitment process, mid- and large-size organizations often retain professional recruiters or outsource some of the process to recruitment agencies. Staff recruitment is the process of hiring people to complete roles in your organisation. There are standard elements of recruitment, whatever position is being appointed.

The stages in recruitment include sourcing candidates by advertising or other methods, screening potential candidates using tests and/or interviews, selecting candidates based on the results of the tests and/or interviews, and on-boarding, also known as orientation to ensure the candidate is able to fulfill their new role effectively.

4. **Screening and selection:** The process of staff selection involves evaluating candidates through application forms, curriculum vitae, and interviews and choosing the best candidate for the specific job responsibility. One can even have a list of criteria and a score sheet for each individual. Even then, successful hiring is often a very intuitive act and involves some degree of risk.

Suitability for a job is typically assessed by looking for skills, e.g. communication, typing, and computer skills. Qualifications may be shown through résumés, job applications, interviews, educational or professional experience, the testimony of references, or in-house testing, such as for software knowledge, typing skills, numeracy, and literacy, through psychological tests or employment testing. Other resume screening criteria may include length of service, job titles and length of time at a job. In some countries, employers are legally mandated to provide equal opportunity in hiring. Business management software is used by many recruitment agencies to automate the testing process. Many recruiters and agencies are using an applicant tracking system to perform many of the filtering tasks, along with software tools for psychometric testing.

As a means of giving some structure and design to the staffing process, the following guidelines are useful. Each job interview should be characterized by:

This chapter will examine some basics to understanding the study and practice of public administration. It will focus its attention on the meaning, nature, scope, characteristics and significance of public administration. The importance of studying public administration, the differences and similarities between public administration and business/private administration will also be discussed.

1. A clear definition of the purpose of the interview
 2. The presence of a structure or general plan
 3. The use of the interaction as a learning experience in a pleasant and stimulating atmosphere
 4. The creation and maintenance of rapport between the interviewer and interviewee
 5. The establishment of mutual confidence
 6. Respect for the interviewee's interest and individuality by the interviewer
 7. An effort to put the interviewee at ease
 8. The establishment and maintenance of good communication
 9. The willingness to treat what is being said in proper perspective
 10. The just treatment of each interviewee
5. Staff orientation: This is the process of formally introducing the selected individual to the particular unit, to colleagues, and to the organization. The selected person should be aware of the mission and objectives of the unit, the nature of responsibilities and level of authority, the degree of accountability, and the systems and procedures followed to accomplish the tasks associated with the job. A motivated individual will simply ask for such things as personnel manuals, administrative procedures handbooks, and aims and objectives statements. Such orientation tools should be available. After staff orientation, in most organization, the next stage is assessment, otherwise referred to as performance appraisal. Thereafter, the need for training, development, promotion and transfers of employees is given further considerations.

The key tips to build a successful staffing procedure

Staffing plan should be part of the organisation's strategic plan for the year or years ahead. More than having the plan, the organisations needs the right kind of people to execute the plan as follows,

- i. Use performance-based criteria: Avoid decisions based on emotion, opinion and personal bias; this approach turns the hiring process into a lottery. However, a staffing procedure built on performance-based criteria eliminates personal bias. The criteria can be developed internally or from outside or a combination of both. Organisations who hire well always use performance-based criteria.
- ii. Use a structured interview process: Asking random questions with no structure allows the candidate to control the interview and leads to a hiring decision with no hard data and no basis for comparison - therefore a failed hire. So focus on past job performance, not personality, interviewing skills or any of the other areas that fudge the issue. Information will be found that allows you to compare candidates against the performance-based criteria rather than each other.
- iii. Develop a staffing plan: An effective staffing procedure includes a strategic staffing plan that removes the 'knee jerk' element of the hiring process and the pressure to fill open positions, often with lower standard people. A staffing plan should cover several key areas:
 1. How many new employees will be needed during the coming year
 2. Why and when and in which positions will those employees will be needed
 3. How much it will cost
 4. What value they will bring to customers and the organisation
- iv. Train your managers or administrators to use the procedure: Managers or superiors in the public service must understand the process and use it in a consistent manner. Most people don't like to hire, as it is an uncomfortable process for many people. By developing an effective staffing procedure and training organizational managers on every step in the process, will ensure that they have the confidence to make the right hiring decisions. A properly designed procedure will:
 - a) Significantly increase your odds of consistently hiring the right people
 - b) Supports management development
 - c) Helps improve standards in the organisation
 - d) Reduces the cost of the hiring process

4. DIRECTING

Human nature is much more complex than what we perceive though understanding of this nature is essential. Directing means giving instructions, guiding, counseling, motivating and leading the staff in an organization (public or private sector) in doing work to achieve organizational goals. Directing is a key managerial function to be performed by the manager along with planning, organizing, staffing and controlling. From top executive to supervisor performs the function of directing and it takes place accordingly wherever superior subordinate relations exist. Directing is a continuous process initiated at top level and flows to the bottom through organizational hierarchy. Directing is said to be a process in which the managers instruct, guide and oversee the performance of the workers to achieve predetermined goals. Directing is said to be the heart of management process. Planning, organizing, staffing has got no importance if direction function does not take place. Directing is a basic management function that includes building an effective work climate and creating opportunity for motivation, supervising, scheduling, and disciplining.

Importance of directing

1. Directing initiates action and it is from here actual work starts. Direction is said to be consisting of human factors. In simple words, it can be described as providing guidance to workers is doing work. In field of management, direction is said to be all those activities which are designed to encourage the subordinates to work effectively and efficiently. According to Human (2002), directing consists of process or technique by which instruction can be issued and operations can be carried out as originally planned.
2. Directing inspires and motivates workers to work. Directing is the function of guiding, inspiring, overseeing and instructing people towards accomplishment of organizational goals.
3. It makes for continuity in the organisation. Directing is a continuous process initiated at top level and flows to the bottom through organizational hierarchy.
4. Promotes supervisory role of administrators. Directing is a key administrative function to be performed by the administrators along with planning, organizing, staffing and controlling. From top executive to supervisor performs the function of directing and it takes place accordingly wherever superior

subordinate relations exist. Directing is a continuous process initiated at top level and flows to the bottom through organizational hierarchy.

5. It allows for effective management of resources in the organisation. In the course of directing affairs, the role of subordinates become clear, resources are properly channeled and harnessed. This helps in maximum possible utilization of resources of men, machine, materials and money which helps in reducing costs and increasing profits.

5. COORDINATING

Also refers to as coordination, it is the process in which different people or things work together to attain specific goals or aims. In businesses, coordination is very necessary because all businesses have some goals and to attain those goals a strong interaction and mutual understanding is very necessary. Coordination is the way through which people can be made to work together and to cooperate with each other to attain the final aims of the organization. Coordination also reduces the conflicts among the people because of the of understanding. Coordination also makes the people to move equally for attaining objectives and it increases the capability of the people to solve the problems. Therefore, coordination among the employees and the upper and lower management is considered very important within an organization.

Importance of coordination

As more and more parties become involved in family planning, it becomes increasingly important to coordinate their programs and activities. In fact, coordination is so important that many countries have created organizations whose principal role and mission is to ensure coordination. Within the organizational framework, Follett (1982) highlighted that coordination provides the following benefits:

- a. Higher efficiency and economy: Coordination helps to improve the efficiency of operations by avoiding overlapping efforts and duplication of work. Integration and balancing of individual efforts provide a smooth and harmonious team work. Coordination is a creative force which makes possible a total result which is greater than the sum of individual achievements. This is the synergetic effect coordination. Coordination enables an organization to rake optimum use of its

resources. The success of organized endeavour depends upon the quality of coordination. In fact, coordination is the first principle of organization as it expresses the principle of organization in to. The quality of coordination is the crucial factor in the survival of an organization.

b. **Good human relations:** Besides promoting the efficiency of operations, coordination improves the morale and job satisfaction of employees. Composite and orderly effort established through team spirit and executive leadership enables employees to derive a sense of security and personal contentment from their job. A well-coordinated organization can attract, retain and utilize better personnel. Coordination improves human relations by reconciling individual and organizational objectives.

c. **Unity of direction:** Coordination helps to ensure unity of action in the face of disruptive forces. By welding together different departments and sections into one entity, coordination ensures the stability and growth of an organization. It enables the executives to see the enterprise as a whole instead of narrow sectional goals. Individual interests are subordinated to the common interest more easily and effectively.

d. **Quintessence of management:** Coordination is an all inclusive concepts or the end result of the management process. Management is nothing more than coordination of all activities, efforts and forces that affect the organization from within and without. Coordination serves as a key to all managerial functions. According to Follett, "the first test of a business administration should be whether you have a business with all its parts so coordinated, so moving together in their closely knit and adjusting activities, so linking, inter-locking, inter-relating, that they make a working unit that is not a congeries of separate pieces, but a functional whole or integrated unit" (Follet, 1982).

E. **Organizational effectiveness:** Coordination fosters loyalty and commitment among employees. This enhances the effectiveness and stability of the organization. According to McFarland (1987), "if job satisfactions are present, executives will tend to remain longer with the company. They will feel that they have a place in the organization. They will feel that they have earned that place. The presence of coordination becomes part of their job experience and hence can form a very useful part of their training." Thus, coordination is the sine qua non of effective public administration and management in general.

6. REPORTING

This function, closely related to the coordinating function, consists of keeping those to whom you are responsibly informed as to what is going on. It is essential that competent managers keep the information flowing, especially in this age when there is so much information being transmitted in so many forms. The reporting function is more than preparing an annual report, quoting statistics, and informing your staff of current developments. The reporting function is almost an evaluation function since it compares how you are doing with what you set out to do. It reviews your objectives and determines to what extent you are meeting your objectives. It consists of more than course numbers or annual statistics, but relates programme direction, policy changes, refinement in objectives, and changes in structures and priorities. It also uses the vertical and horizontal flows of information as presented previously.

One of the key elements of the reporting function is the Departments Annual Report. Such a report gives you the opportunity to summarize programs, projects, and activities and to provide statistics as well. Such a report can be used as a public information document by having it distributed to other adult education agencies in the community, to your senior levels of management, to your own managers, to your colleagues, and to the press. In addition, it will prove to be a valuable document to satisfy the requests you receives asking about your programme activities.

7. BUDGETING

A budget is a detailed financial plan that quantifies future expectations and actions relative to acquiring and using resources. Budgets don't guarantee success, but they certainly help to avoid failure. This management function includes fiscal planning, accounting and revenue, and expense controls.

Budget is an instrument which helps the organisation in quantification of plans, financial planning and in monitoring and controlling scarce resources through performance measurement. We can infer further that budgeting (which is the process) therefore,

1. Provide a forecast of revenues and expenditures, that is, construct a model of how our business might perform financially if certain strategies, events and plans are carried out.

2. Enable the actual financial operation of the business to be measured against the forecast.

Budgeting in its general sense is the act of quantifying objectives in financial terms. Budgeting assists managers in decision making process in an organization. It is the function of the management accountant to provide information needed in budgeting process.

Importance of budgets

Budgets serve many functions. These include,

1. **Forecasting:** this entails making a calculated attempt into knowing what the future holds. Forecasting may not be perfect as evidence has shown but it is better to have a forecast to work with than not having any as this will help you get prepared. There are many statistical tools developed over the years to help managers and accountants make better forecast. Forecasting is a complex exercise that requires you to consider many variables in the light of; the action of competitors, government actions, economic outlook, relationship between price and demands, etc.
2. **Planning:** generally speaking, planning depends on forecast that has been made in the past to make decision about the future. The estimated data generated by forecasting are used to make plans. Government agencies, for example health authorities use forecast from estimated population to plan on the number of health centers to open in a community and the number of beds and other health equipment that will be put in that hospital.
3. **Communication:** budgeting in an organization acts as a communication tool in the following ways:
 - a. *Gathering information:* information about a company and the activities of its competitors are gathered during the process of making all kinds of budget. It is quite impossible for a single individual to gather all these information that are needed to make a functional budget. Managers and other non managerial staff will need to be consulted and information obtained from them. This information will then be analyzed, challenged and criticized in order to come up with filtered information.

b. Disseminating information: budgets when not acted upon are useless, so, the budgetary system has an inbuilt information dissemination ability that ensures that responsible managers actually got the budget which they will work with.

Budgeting committee is usually formed to act as a forum where representatives from different parts of the business will assemble to iron out issues that relates to resource planning of the business.

4. **Motivation:** motivation is the driving force that makes people to run towards their goals rather than trudge towards it. Motivation is a relative and subjective term, we are not here to discuss motivation but, to see how budgeting affects the motivation of staff. Two factors needs to be considered here: how to make people follow a budget, and setting the difficulty level of budgeting.
5. **Evaluation:** evaluation means to judge something with a sort of standard. The budget represents that target performance which will then be compared with actual performance. And this will then lead to corrective action being taken. Evaluation in real life is not as easy as I have presented it here.
6. Budgets can be instrumental in identifying constraints and bottlenecks in the course of organizational operations. With the budget instrument, managers can learn well in advance of looming production and distribution bottlenecks. Knowledge of these sorts of problems is the first step to resolving or avoiding them.
7. The budget is a necessary and defining instrument for successful operation of most organizations. This observation is equally true of business, governmental, and not-for-profit entities. As a result, the budget should be taken seriously and great care should be given to its construction.
8. Budgets provide benchmarks against which to compare actual results and develop corrective measures, etc.

Gulick believed that these seven functional elements or branches of public administration give unity, certainty and definiteness to administrative processes of public administration.

4.2 SCIENCE AND ART OF PUBLIC ADMINISTRATION

While public administration is widely accepted as an Art, whether it is a Science is a debatable one. There are some who hold it as social science because administration deals with vast amount of data, applications of methods related scientific enquiry. Nevertheless this point is debatable because public administration deals with humans who are unpredictable and irrational animal which contradicts itself with the phenomenon of science which is based on nature and proved principles of its physical characters. Therefore there is still a certain degree of uncertainty in accepting public administration as science because most of its principles are tentative conclusions or deductions from certain inarticulate major promises which may not be universally present.

Bhagwan and Bhushan (2000) stated that this controversy has emerged because since times immemorial, the word "Science" has been used for only Physical sciences like Physics, Chemistry, Biology, etc. the characteristics of these sciences have come up to be regarded as the standard criterion for judging the claims of other subjects aspiring to be categorized as science. The main characteristics of science which supports the arguments are;

- i. Regularity: science, especially physical science has a regular nature
- ii. Predictability: assumptions in the sciences can be predicted, but this isn't the case with public administration. It is basically behavioral.
- iii. Exactness: advocates of the physical science argue that social sciences and public administration in particular do not have the characteristic of exactness

These, among other things are the basic arguments put forward by scholars to ignore the scientific nature of public administration. However, this is not a conclusion. There are further arguments for and against the position of public administration is/not an art, science and even both.

Public Administration is not a Science

The arguments posed for these assumptions are as follows,

1. Principles of science have universal applicability. So far, no generally agreed principle of public administration has evolved.

2. Scientific method of study is inapplicable to the study of administrative phenomenon because, values which are closely involved in administrative facts cannot be studied scientifically. Administrative studies are embedded in thinking and values; Thinking implies creativeness, free will; valuing implies morality - conceptions of right and wrong. This gives public administration distinctive feature from scientific studies.
3. Elements of inconsistency are embedded in the study of public administration. No concept of public administration can be studied as an absolute constant. Environmental factors, social issues and circumstances of time affect public administrators a great deal. This is not so in science.
4. Predictability is not possible in public administration as it deals with human beings, whose mind and environmental circumstances are most unpredictable. In natural sciences like Physics, the Law of Gravitation; anything thrown up is attracted towards the earth, is certain to be true wherever an experiment is conducted. The result remains the same.

Public Administration is a Science

A symbolic point of attributing public administration to scientific inquiry began with the publication of an essay by Woodrow Wilson in 1887. Wilson said, "... there should be a science of administration which, shall seek straighten the path of the government, to make its business less unbusiness-like to strengthen and purify its organization, and to crown its duty with dutifulness". Overtime, there are other arguments advanced to establish that public administration is a science. Though defined in varying perspective, Science means a body of systematized knowledge derived from experience and observation. From this perspective, we can infer that public administration is a science. It has the characteristics of science of investigation and observation, followed by tabulation, classification and correlation. The subject matter of exact sciences is measurable and consists of facts which can be isolated and have relative uniformity.

Let us examine some positions,

1. Public administration is a science because the scientific methods of the study are applicable to it. The facts of public administration can be studied scientifically.
2. Public administration is becoming more and more exact and certain. An administrator can be categorized as a successful administrator, if he can keep himself abreast of the possible consequences of this action.
3. It is as much a General Science, as long as Economics, Philosophy, Biology, etc, are more of a science than History or Politics. It has certain fundamental characteristics and principles of general application analogous to those characterizing any science.

Public Administration is an Art

This position is justified on the assumption that, public administration (as an art) is concerned with the actual running of administration. The verb 'Art', is an action word, a process of doing things, administering, performing organizational task, actualizing stated objectives, etc. public administration is not only concerned with formulating the general principles but also with the actual running of administration.

Public Administration is both a Science and an Art

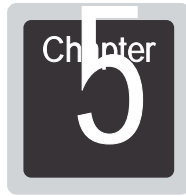
From the preceding discussions, we can infer that, public administration is both a science and an art. As a 'science', it is an area of intellectual investigation that examines the principles and processes of administration. As an 'art', it explains the actual action of carrying out the activities of the organization (either public or private or even both). Public administration is an instrument of achieving the goals set by government. Thus with the growing importance of public administration in public functions, public administration became more and more complex and hence it needed a complete overhaul with scientific investigations into the working of government and its employees.

Review Questions

1. Explain the functions and administrative processes peculiar to public administration.
2. Explain the position that “public administration is a science and not an art”.
3. Advance an arguments the public administration is both an art and science.

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POLITICS/ADMINISTRATION DICHOTOMY



One of the most important and enduring theoretical constructs in public administration is the politics-administration dichotomy and nexus model. This chapter examines various arguments on the dichotomy and the nexus/relationship between politics and administration.

1.1 Politics-administration dichotomy

1.2 The nexus/ relationship between politics and administration

5.1 POLITICS-ADMINISTRATION DICHOTOMY

Before we examine the arguments for and against the dichotomy model, let's examine the meaning and characteristics of the two concepts differently,

1. Politics are a) the art and science of the government, or public affairs as involving authority and government; b) a particular set of ideas, principles, or commitments in politics or activities concerned with the acquisition or exercise of authority or organizational process or principle affecting authority, status, etc.; or c) the assumptions or principles relating to or inherent in a sphere, theory, or thing, especially when concerned with power and status in society.

2. Administration, on the other hand, is the management of a business or institution or those responsible for administering a business, institution, etc. It can also refer to the government in power, the term of office of a government or political leader, a government agency, the management of another person's estate (in the subject of law), etc.

Public administration comprises two levels. One level consists of the political directorate (cabinets, councils, advisory bodies). Members of the political directorate may be elected, co-opted, nominated by interested groups or selected through some other means. The political directorate may also include members from the military or civil services. The other level comprises permanent career officials and bureaucratic organizations. Civil servants are supposed to be selected on merit, and spend their entire careers in the civil service subject to satisfactory performance.

In theory, both civil service neutrality and the policy-administration dichotomy emphasize the role differentiation between the members of political directorates and the career services. In practice, there is a close nexus between political directorates and civil servants within the executive branch. The result is a blurring of the distinction between political and administrative roles, especially at the senior levels. Political directorates frequently introduce their supporters in the career services through lateral entry or special programmes. Civil servants, under pressure, temptation or ambition may become amenable to partisan political actions. Tendencies toward the politicization of the civil service can arise with each transition in political leadership.

Sometimes career civil servants and professional institutions are used for largely political functions. For example, administrative systems through their web of organizations can be used for partisan purposes to hold the State together, consolidate power, maintain or transform social relations, and control and influence economic management. When there is confusion concerning the role of career and political institutions, the identification of responsibility and the linkages between administrative performance and political accountability can be threatened.

Administrative systems also carry out a number of other activities which can be readily used for political ends. For instance, they provide intelligence services to political directorates, manage public information systems, run or regulate the electronic and print media, perform law and order functions, organize receptions for political dignitaries and gather crowds to greet them, and exercise legal controls over the right to assemble and organize meetings. The police, security, intelligence and general administration agencies are particularly vulnerable to political orientation because of the nature of their activities. In some cases, administration has become so politicized

that administrators are the actual political decision makers. While typically this will occur under the façade of political directorates, it has been known to take place quite openly. In other instances, a partnership to manage public affairs has developed between the careerists and politicians in support of public and private interests in varying proportions.

In countries that have achieved independence since 1945, the institutionalization of public administration preceded the emergence of legislative bodies and political processes. The civil services usually combined legislative, administrative and frequently judicial functions in the same officials, and administrative discretion was a major feature of governance systems. With changed circumstances, differentiation should be encouraged as the basis for greater specialization and professionalization of the civil services. This would also make administrative discretion more responsible and accountable.

Models to explain the dichotomy and nexus between politics and administration

Public administration scholars have developed three models to characterize the relationship between elected and appointed officials in democratic governments: the orthodox politics-administration dichotomy, the modified dichotomy, and partnership models.

MODEL ONE: The Orthodox Politics-Administration Dichotomy

The Orthodox Model emphasizes a rather strict separation of politics and administration, with distinct functions assigned to each. Politics determines the goals and policies of government, and administration implements those goals and policies. Further, the administrator is to be neutral politically. In its most strict version neutrality applies to politics whether it is defined as partisan politics or formulating policy. But at a minimum, neutrality applies to partisan neutrality. This version of the dichotomy stresses insulation from politics by positing that elected officials cannot interfere with the administration or implementation of policy. Administrators rely on their technical competence to develop the best way to administer the policy and goals set by elected officials, and they must be insulated from political pressures as they exercise discretion based on professional competence to carry out policies set by the governing board or legislature.

The politics-administration dichotomy is often attributed to two early public administration scholars, Woodrow Wilson and Frank Goodnow. Although many writers have indicated that the views of these scholars, especially those of Goodnow, have often been misrepresented (as we will discuss later), their works provide some basis for suggesting that they advocated a strict interpretation of the dichotomy. For example, Wilson wrote, "The field of administration is a field of business. It is removed from the hurry and strife of politics; ..." (1887, 209). Wilson argued further that "administration lies outside the proper sphere of politics. Administrative questions are not political questions; although politics set the tasks for administration it should not be suffered to manipulate its offices" (p. 210, emphasis in the original). The latter part of the statement illustrates the insulation from politics as well as the separation of the two functions of government. Later, Wilson stated that "the broad plans of governmental action are not administrative; the detailed execution of such plans is administrative" (p. 212). Wilson also espoused an empowered administrator, one who possessed considerable flexibility in executing governmental action. He wrote that "large powers and unhampered discretion seem to me the indispensable conditions of responsibility" (p. 213). Part of Wilson's desire to separate politics and administration no doubt stemmed from his need to persuade others to accept reforms of administrative practices drawn from European nations, which at the time did not have a rich legacy of democratic practices.

Wilson's argument for the dichotomy might well have stemmed from strategic considerations as well. At a time when many believed that politics equaled corruption, those who wanted a more professionally based bureaucracy believed that insulation from politics was a key strategy for achieving that goal. Still, Wilson's legacy to public administration, and whether he meant to argue for a politics-administration dichotomy, has been disputed. Some have claimed that Wilson did not intend a strict separation of politics from administration but sought to separate the two conceptually to study each more thoroughly (Dimock and Dimock, 1969). Whatever the interpretation of Wilson or his goals, his contribution is utilized to make distinctions between politics and administration and has served as one of the bases for the traditional definition of the dichotomy.

Goodnow (1900) further noted that that politics has to do with policies or expressions of the state will. Administration has to do with the execution of these policies. Willoughby (1927) added that the former is concerned primarily with the establishment of set goals, whereas the former, is preoccupied with the functions of direction, supervision.

MODEL TWO: The Modified Politics-Administration Dichotomy

Many public administration scholars expressed doubts about the orthodox view of the dichotomy even during the height of its popularity. For example, Pfiffner (1935, 12) wrote, "It would be folly to say that administrative officers should have absolutely no hand in the formulation of policy. They may legitimately participate in this process in several ways".

Montjoy and Watson (1995) stated that the orthodox dichotomy prohibits administrators to venture into the policy side of government even though in reality these administrators do so. Montjoy and Watson constructed a version of the dichotomy that sanctioned the involvement of administrators in policy making but prohibited council members to interfere in the management of the government. They did this by developing a distinction between politics and administration on the one hand, and between policy and administration on the other. They argued that "the council-manager (used to represent public administrators) plan does attempt to create an institutional dichotomy between politics and administration if one interprets 'politics' to mean patronage and particularistic influence" (p. 237). However, the manager is expected to exert policy leadership, thus breaking down the wall between politics and administration (p.237) (in Bhagwan, & Bhushan, 2010).

Thus, the dichotomy holds for politics and administration but not for policy and administration. Montjoy and Wilson write, "What this means in practice is that managers can participate in the policy process, exercise as much discretion as the council will allow, and still hold a clear line against particularistic requests directed [by the council] to themselves or to members of the staff" (p. 237). They also reinforce the insulation from politics posited by this model by indicating that "directions from the council come in the form of official policy" (p. 236). In general, it is fair to conclude that the modified dichotomy model permits public administrators to provide policy

leadership to elected officials, but elected officials should leave implementation and general management questions to professional administrators. It is similar to the position of Australian department heads and their relationships with the ministers who guide their action (Dunn 1997).

MODEL THREE: The Partnership

This model focuses on the interconnectedness between politics (however defined) and administration. It holds that administrators can and often do have great impact on policy making and that elected officials can and often do have great impact on administration. While the modified dichotomy model sanctions administrators venturing into policy making, the partnership model sanctions that plus elected officials venturing into administration by being involved in implementing and executing laws and policy.

The focus on the relationship of politics to administration goes at least as far back as Goodnow. As we noted earlier, Goodnow's view of the relationship between politics and administration was considerably more nuanced than has been presented by some who have utilized his work to justify the strict separation of politics and administration. Goodnow, perhaps moving from what he believed ought to occur, noted that in practice "actual political necessity ... requires that there shall be harmony between the expression and execution of the state will" (1900, 23). To obtain this harmony requires that the independence of either politics or administration "must be sacrificed" (p. 24). Later he indicated that "while the function of politics has to do ... primarily with the expression of the state will, it has to do secondarily with the execution of that will" (p. 26). This indicates that the separation between the two must somehow be bridged, even if the independence of one or the other is sacrificed. He later concluded that the "executive function must ... of necessity be subordinated to the function of politics" (p. 79).

Goodnow stopped short of arguing for a full partnership, because he believed that political control of administration must be mediated. For example, the "general conduct, but not ... concrete actions" of those who exercise administrative functions "should be subject to control" (p. 81). Returning to his concern for the ideal rather than the real, Goodnow wrote that too much control by "politics" will inevitably "produce evil rather than good" by fostering "inefficient administration ..." (p. 82). These views

tapped the insulation of administration from politics as espoused by the reform movements of a century ago. Still he indicated a more fluid view of the boundary between politics and administration than that envisioned by the more orthodox dichotomy, perhaps because he, more than some, tempered his views of the ideal with a concern for how the connection between politics and administration worked in practice.

Other scholars have also noted the many interrelationships between politics and administration. Friedrich (1940) wrote, "Public policy, to put it flatly, is a continuous process, the formation of which is inseparable from its execution. Public policy is being formed as it is being executed, and it is likewise being executed as it is being formed." Waldo (1955) noted: "The rigid, even dogmatic, separation of politics and administration has been almost wholly abandoned during the past fifteen or twenty years. Indeed it has become correct to regard administration as a process diffused or permeated with politics--meaning by the term both the contest for power (whether or not it is [a] party contest) and the making of policy" (emphasis in original). Appleby (1949) also stated that the "sharp and real ... separations of policy-making, have been undergoing abandonment." Indeed by the late 1940s, public administration scholars were exhorting administrators to build and sustain their political power. Long (1949) indicated, "The lifeblood of administration is power. Its attainment, maintenance, increase, dissipation, and loss are subjects the practitioner and student can ill afford to neglect." The emphasis on building political support can also be noted in the textbooks of that era. For example, Dimock and Koenig (1958) stated, "No administrator can sit quietly outside the ring and watch this pulling and hauling ... the public administrator [must] become a kind of ringmaster and strategist combined who must not only direct his program but also win support for it from the legislature, from his own employees, from the public served, and from other governmental agencies that also must be satisfied" (in Bhagwan, & Bhushan, 2010).

The other part of this relationship, the elected officials, has not escaped notice. The early incubation of public administration in political science no doubt sensitized many scholars to the impact of elected officials on administrative activity. Even scholars who at times emphasized the dichotomy would in other situations discuss legislative control of administration. White (1926) wrote that the legislature "determines the tasks" to be

"undertaken and ... [the] sums of money devoted to each." It authorizes appointments, grants funds, organizes administrative departments, examines expenditures, and "acts as a source of criticism of the administration."

In more recent years in the United States national government, Congress has developed reforms that impact administration directly. These reforms have included expanding the interests represented in administrative proceedings, extending procedural due process, increasing legislative oversight, increasing staff to assist legislators in exerting control over the bureaucracy, and developing sunset legislation (Aberbach, 1990) based on their analysis of congressional involvement in ten policy areas, found that Congress, relying on its staff resources, impacted policy implementation and program execution in such a way that it became a co-manager rather than an overseer in policy implementation and program execution.

Greater involvement of elected officials in administrative matters has also occurred in local governments. Svava (1999), for example, has found that in large council-manager cities "the boundary line between the council and the city manager is increasingly blurred and shifting to include more administration and management in the council's sphere and more mission formulation in the city manager's." Nalbandian (1999) identified an increasingly expanded role for local government managers in facilitating community building, a task that many once would have ceded to the mayor and council members. He further defined the role of the top local government manager as a "translator" who can interpret and build upon the varying perspectives and skills of professional administrators and members of the governing board. The multiple accountability that occurs within an intergovernmental system with separation of powers; these features of modern public administration require a more complex system of relationships between politics and administration than that allowed by the models we have discussed. There is need for complementary role rather than dichotomy.

5.2 THE NEXUS/RELATIONSHIP BETWEEN POLITICS AND ADMINISTRATION

The assumption of politics administration dichotomy is an aberration. The third model clearly spells out the relationship between politics and administration. This view highlights a partnership between administrators and elected officials. Although each

side of the relationship may stress somewhat different tasks--and these may vary by policy, or jurisdiction, or over time--both politics and administration infuse in a major way in the primary tasks of the other.

Politics and administration are not entirely separate, but are present at the same time when a public administrator makes decisions. He states that the problem with public administrators is not that bureaucrats are excessively involved in policy formulation but that they are involved at all. This is a problem for a democratic society because to influence public policy as a public official is to govern. In other words, those officials who are influencing decisions are taking on the role of those elected by the public without a responsibility of having to answer to the public for decisions made.

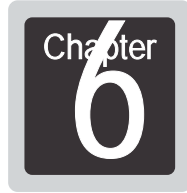
Administrators participate in politics and elected officials participate in administration. This interrelationship is in fact a rather standard view among contemporary public administration scholars. Svava (1999), for example, emphasizes the "complementarities" of politics and administration, which "stresses interdependency, reciprocal influence ... extensive interaction between elected officials and administrators, along with recognition of the need for distinct roles and political supremacy. At different respect, elected officials and public administrators join together in pursuit of sound governance.

Review Questions

1. Using Wilson's position, advance an argument that there is a dichotomy between politics and administration.
2. Attempt an explanation on the compliment between politics and administration.

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CONCEPT AND ISSUES IN COMPARATIVE PUBLIC ADMINISTRATION



Comparing public administration practices of a country with those of other countries, with past performance, or with benchmarks is vital for administrative improvement and for developing reform strategies (Jamil 2008). Administrative knowledge, derived through cross-cultural comparative analysis, provides a broader horizon for the practitioner of management and better understanding of the larger context of governance. Also, comparison provides the practitioner with significant insights into policies and actions that work and those that do not work at the local, national, and global levels. In discussing the subject, it is imperative that Public Administration be defined. This chapter will examine the following,

- 6.1 Meaning of comparative public administration
 - 6.2 The scope of comparative public administration
 - 6.3 Features of comparative public administration
 - 6.4 Evolution of comparative public administration
 - 6.5 Approaches to the study of comparative public administration
 - 6.6 Administration and politics in different countries
 - 6.7 Features of democracy and republic
 - 6.8 Current status of comparative public administration
- Review questions
References

6.1 Meaning of comparative public administration

Comparative public administration is the study of two or more public administration systems; one country to another. It has to do with an analysis of the operations of the systems in question, for the purpose of finding their strengths and weaknesses.

Barber (1972) stated that it is a very significant area of study in Public Administration as it helps in understanding administrative setups and their functioning in various settings and societies/countries and what works and why it works. It further helps improve administrative systems making them more efficient together in adding and improvising the already existing literature/theories of Public Administration thus leading to a strong and practical theory of the subject with the help of practical experiments and analysis.

6.2 The scope of comparative public administration

Comparative public administration studies the administrative institutions and systems of different countries, the causes of success or failure of distinct democratic institutions, how the concept is applied and the level of success of a democratic system. Political systems are also studied, as of the working of a parliamentary system in one country, as compared to another with the same system or different like the presidential in the United States.

6.3 Features of comparative public administration

The following are some features of comparative public administration.

1. Studies different administrative systems in their ecological settings.
2. It emphasizes empirical study based on rigorous methods such as field observation, field experiments.
3. It develops inter-disciplinary orientations
4. It lays stress on the inter-action between administration and socio, economic, cultural and political phenomena.
5. It highlights the multi-organisational nature of P A and importance of interaction among organisations at different levels of government.

6.4 Evolution of comparative public administration

Comparative Public Administration (CPA) started in 1884, in the work of Wilson. In his essay, he clearly identified the need to study the administrative system of various countries so as to identify their strength and weaknesses. He stated that administration is the best and most safe prospect of comparative studies as administrative techniques and procedures are similar almost everywhere and in fact we can learn a lot by comparing. However, this was not so popular until after the Second World War (Harris

and Corson, 1963). CPA took a philosophical turn during the course of the Second World War. It was popularized by the emergence of many independent states. It became a joint initiative of the developed countries under the United Nations (formerly called 'The League Of Nations').

Hobbes (2009) disclosed that USA took the lead here in administrative studies and also in providing financial as well as technical help to the developing nations in order to increase their market share and also to curb communism that was a product of the Soviet Union. USA was the hub of these studies since the Western countries lacked the institutional and administrative capacities to implement their development plans of post World War 2. The government of United Nations, various private institutions and corporate sponsored varied technical assistance programmes that enabled the public administrators, lecturers of public administration and professionals to study in order to build a universal comparative theory of Public Administration. Notable in these efforts was that of the American Society for Public Administration (ASPA) & American Political Science Association (APSA).

The first organisation formally formed to formulate a universal comparative theory of public administration was the Comparative Administration Group (CAG) in 1960 that was a division of the ASPA, funded by the Ford foundation to study methods for improving public administration in developing countries under the chairmanship of Fred W. Riggs. More than providing administrative techniques this group became a forum for intellectuals to understand why the developing countries differ so much in practise of administration and are not able to sustain the classical theory principles of administration in their systems even though Classical theorists of administration like Fayol & Weber, etc preached that their principles and models of administration were universal in their element and can be applied anywhere with greatest success (Henry, 2007).

Barber (1972) disclosed that CAG gave the idea of scientific studies and emphasised on empirical and ecological (social, cultural and historical factors) study of various administrative systems. Even though the CAG had to shut shop in the early 70's since various administrators and academicians realised that due to the highly complex setting which the group had provided for comparative Public Administration studies was

resulting in failures in providing really empirical assessment of administration factors in a society. They stated that it provided a very good direction but the techniques were not being specified to execute the idea. And so the studies were transferred back to the Department of Comparative Studies. Also in 1968, the first Minnowbrook Conference was held under the chairmanship of Dwight Waldo that emphasized the need for Comparative Public Administration study and analysis (Henry, 2007).

6.5 Approaches to the study of comparative public administration

According to Henry (2007), the under listed factors are some approaches to the study of comparative public administration,

- 1) **Ideal or Bureaucratic Approach:** more on the bureaucratic approach is discussed in the chapter ahead. However, for clarification within the construct of comparative public administration, bureaucratic specifications are studied for reaching conclusions and developing understanding. Under this approach structures of organisations are analysed in terms of their horizontal differentiation, vertical differentiation, span of control, etc. Procedures and rules are analysed and the framework of functioning is determined. Job specifications and descriptions at various nodes are analysed and some understanding is reached on the basis of elaborateness and degree of specialisation compared in regards to different administrative systems. The limitations of this approach are that though it has been considered simple, it does not explain the structures and their functions in society and gives a very general observation.
- 2) **Structural - Functional Approach:** It is considered as a very popular approach for comparing various administrative systems and was implemented by Fred W. Riggs in his study for developing his Models of society/environment/ecology which will be discussed later in this book. This approach analyses society in terms of its various structures and their functions for reaching an understanding regarding their positioning and functioning. Structures here can refer to govt.(political arrangement) and abstract like values systems in society. Function is seen as the discharge of duties by these structures in the society. The limitation of this approach is that there has to be a

correct identification of the structures before proceeding to analyse them especially in agraria-transitia and fused-prismatic societies.

- 3) **Ecological Approach:** Devised by Riggs this approach states that structures and their functions exist in an inter dependant manner. Its basic limitations are that, the approach is highly complex and difficult to apply.

Factors affecting administrative systems:

If one notices carefully then it is evident that historical events have led to the invention of many administrative practices. However, some examples are cited below.

- 1) **English Administrative system:** England does not possess a written constitution mainly because it was a monarchy prevailing there and the people lived there through conventions and traditions going on from time immemorial.
- 2) **Indian Administrative system:** Reservations are made as Indian society is very diverse, socially and culturally. There are various social laws in India that are made from society like panchayats, etc. Tribal welfare is given special attention in India due to existence of tribes in the society. Many offices (bureaucratic, political, economical, etc) are remnants of British legacy like the office of the collector, police dept, civil services, etc. Revenue administration here is a modern version inspired by historic Mughal ones.
- 3) **USA Administrative system:** Many historical and sociological factors have also shaped the American system. A few of them cited are the Civil war that led to providing African American slaves was given the title of citizens and right to vote. Also the second civil rights movement that occurred under the aegis of Martin Luther King Jr. leading to elimination of segregation and racial discrimination between black and white Americans.
- 4) **France Administrative system:** Arrangement of Droit Administration could be seen associated with the approach and functioning of Napoleon Bonaparte who set the table for a centralised administration as an efficient administration. The storming of Bastille incident which was fuelled by economic crisis led to the overthrow of monarchy there to republican system and led to the

establishment of Declaration of the Rights of Man and the Citizen that lead to the first step of France's constitution framing.

6.6 Administration and politics in different countries:

Rodgers, Barbara, John and John (1968) explained the administrative style of the following countries,

1) USA: The USA has a federal republican form of government where President is the national as well as executive head. There is a separate constitution (which bears allegiance to the federal constitution of 1787) as well as citizenship for every state and they are all bound together in a federation, thus all working as a whole with their autonomy intact. The Constitution of US specifies the subjects listed for the national/federal and the ones reserved for the States and also the residuary powers lie with the states only.

There are three levels of governments - national or federal, state and local (counties, townships, cities, etc). Separation of powers between the legislature, executive and judiciary is an important aspect. The Senate (Upper House) and House of Representatives (Lower house) comprise the congress/legislature of the country. There is no specificity in the constitution regarding the administrative system but it does state that the President can from time to time as and when necessary get advice from the principal officers of the various departments regarding his duty as the chief executive of those departments. There are thirteen departments in the administration that come under the direct control of the president. The President however does not possess the authority to change/reorder his cabinet as that power lies with the Congress.

Civil services in USA are also done on merit through competitive exams and also at times there are some political appointees too who are chosen by the president for their extraordinary achievement in a particular field suitable to the job. Some departments are headed by individuals whereas some are headed by Boards and Commissions.

2) United Kingdom: It is a constitutional and hereditary monarchy. In practice, it is a Parliamentary democracy. The Monarch is the head and performs functions akin

to the President of India. Legislature is supreme and is bicameral viz. House of Lords (upper house) and House of Commons (lower house). Executive is headed by the political executive that is the Prime Minister and his cabinet that consist of ministries staffed by civil servants under ministers. Boards and commissions are formed to operate and regulate various industries and services. Judiciary is independent. The House of Lords is the highest court of appeal for civil cases and some criminal cases.

The Senior Courts of England and Wales were originally created by the Judicature Acts as the "Supreme Court of Judicature". It was renamed the "Supreme Court of England and Wales" in 1981, and again to the "Senior Courts of England and Wales" by the Constitutional Reform Act 2005. It consists of the following courts:

1. Court of Appeal- Deals only with appeals from other courts or tribunals. The Court of Appeal consists of two divisions: the Civil Division hears appeals from the High Court and County Court and certain superior tribunals, while the Criminal Division may only hear appeals from the Crown Court connected with a trial on indictment (i.e., for a serious offence). Its decisions are binding on all counts, including itself, apart from the Supreme Court.
2. High Court of Justice - The High Court of Justice functions, both as a civil court of first instance and a criminal and civil appellate court for cases from the subordinate courts. It consists of three divisions: the Queen's Bench, the Chancery and the Family divisions. The divisions of the High Court are not separate courts, but have somewhat separate procedures and practises adapted to their purposes. Although particular kinds of cases will be assigned to each division depending on their subject matter, each division may exercise the jurisdiction of the High Court. However, beginning proceedings in the wrong division may result in a costs penalty.
3. Crown Court- is a criminal court of both original and appellate jurisdiction which in addition handles a limited amount of civil business both at first instance and on appeal. The Crown Court is the only court in England and Wales that has the jurisdiction to try cases on indictment and when exercising such a role it is a superior court in that its judgments cannot be reviewed by the Administrative Court of the Queen's Bench Division of the High Court. The Crown Court is an inferior court in respect of the other work it undertakes, viz. inter alia, appeals from the Magistrates' courts and other tribunals. The

Lord Chancellor and Home Secy administrate the judicial system. Civil servants are recruited through merit via open competitive exams (Mukhi, 1998).

3) France: France has a mixture of Republican and Parliamentary form of government. President is the Chief executive and enjoys tremendous powers in the legislature as well as Parliament. Here the President is directly elected by the people. The Prime Minister is then chosen and appointed as per the President's wish from the Parliament. The Prime Minister has to enjoy the confidence of both the President and the Parliament in order to sustain his position. Executive is separated from legislature and thus the President is not able to influence the executive much but still indirectly the PM has to go by him to enjoy his confidence because most of the times, the parliament and the president are from the same party. Civil services are of two types; external recruitment and internal recruitment where external recruitment is done through open competitive exams for graduates under 27 years of age and the internal recruitment is for people from the lower echelons of service having at least five years of service and not more than 36 years old. They are then chosen and trained at the Ecole Nationale Administration for two years.

- 4) Japan: The Constitution of Japan rests on three principles –
- a) sovereignty of people,
 - b) guarantee of Fundamental Rights,
 - c) renunciation of war.

The Emperor performs the role akin to Indian president. The Japanese people elect their representatives to the Japanese Parliament called Diet which is bicameral that is, House of Councillors and the House of Representatives. Both Houses share equal powers but the house of representatives has superiority in matters of finance. The prime minister is appointed by the prime minister from the Diet who heads the executive and also the Emperor appoints the chief judge of the Supreme Court. Grants are to be passed by the Diet and then only it is given to the executive. Local government possesses autonomy in its matters. People possess the right to choose their public officials as well as remove them. Civil services are of two types here –

- a) Special government service - includes members of cabinet approved by the Diet like positions of high officials in Imperial Court, Judges, Ambassadors and Ministers, Diet employees, common labourers and employees of state corporations.

b) Includes personnel of National government, administrative as well as clerical except the Special govt. services ones.

6.7 Current status of comparative public administration:

The following are the basic features of democratic and republican administrative systems,

- a. Democracy and Republic are two forms of government which are distinguished by their treatment of the Minority, and the Individual, by the Majority.
- b. In a Democracy, the Majority has unlimited power over the Minority. This system of government does not provide a legal safeguard of the rights of the Individual and the Minority. It has been referred to as "Majority over Man".
- c. In a Republic, the Majority is Limited and constrained by a written Constitution which protects the rights of the Individual and the Minority. The purpose of a Republic form of government is to control the Majority and to protect the God-given, inalienable rights and liberty of the Individual.
- d. The United States of America is founded as a Republic under the Constitution. The Ministers head Ministries with directors under them to carry out execution and also to advise the Minister.

6.8 Current status of comparative public administration:

After the decline of the Comparative Administration Group (CAG) in the early 1970's, there was a lull in this field due to many factors like theoretical and fact based study. However, the discipline got a boost once again when scholars like Robert Dahl, James Cloeman, Rapheli, Dwight Waldo etc propagated it and stated that without comparison there can never be a science of administration. Also the behavioural school of thought was bringing in a lot of attention to the fact and value theories of administrative man and so comparative public administration saw resurgence. In the 80's and 90's studies in CPA resurfaced but with a new objective, philosophy and orientation than its previous predecessors and counterparts. It started to study various arrangements like RTI, Rule of Law, good governance, etc in different countries. It has recently started focusing itself on the analysis of such operations of administrative systems which affect functioning of various societies.

The following could be seen as the recent trends in the studies of Comparative Public Administration:

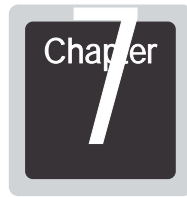
1. Studying the status of human rights in the nations of the problems associated with human rights.
2. Studying the status of Rule of Law and analysing the barriers if any.
3. Studying the presence of Civil Society Institutions and their role and contribution in the administrative arrangements of societies.
4. Studying the level of participation and involvement in the implementation of schemes related to welfare of people.
5. Studying the presence of arrangements through which accountability of politicians and administrators could be ensured towards the public through the mechanisms prescribed and available like RTI, Citizens charters, Ombudsman, Social Audit, etc.

Review questions

1. Give a simple definition to the concept of Comparative Public Administration
2. What are the features of comparative public administration
3. Write a brief note on the evolution of comparative public administration
4. Discuss the various approaches to the study of comparative public administration
5. What is the current status of comparative public administration:

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THEORISING IN COMPARATIVE PUBLIC ADMINISTRATION



The primary goal of the comparative public administration discipline is in line with the scientific demand which is 'to build and test propositions about administration, an assumption that is universally shared within the public administration fraternity' (Sigelman, 1976: 621-25). It is committed to verifiable generalized statements about public administration across political systems and different environments. It is believed by scholars of comparative public administrative studies that public officials, political advisers, public administrators and the entire political process will perform better if public administration and its practice can be rooted in developed theoretical and empirical foundation. Sigelman (ibid) believes that public administration rejects theorizing and empirical research as its core activities denies its adherents (and practitioners) any legitimate claim to political influence. Essentially, therefore, comparative public administration's major interest is building theories from the study of public administrative practice in different political settings so as to generate a universal theory of public administration that can be applied to varied cultures and political environments. This chapter will be examined as follows:

- 7.1 Definition, attributes and functions of theories
- 7.2 Approaches to the study of comparative public administration
 - 7.2.1 Legal approach
 - 7.2.2 The Behavioural Approach
 - 7.2.3 The General Systems Approach
 - 7.2.4 The Ecological Approach: Sala model by Fred Riggs
 - 7.2.5 The Structural /Functional Approach
 - 7.2.6 Bureaucratic Approach
 - 7.2.7 Development Administration Approach

7.2.8 The Derivative Middle Class Approach

7.2.9 The Neo-patrimonial Approach

Review questions

References

7.1 Definition, attributes and functions of Theories

Definition of theory

Theory refers to a set of interrelated concepts, assumptions and generalizations that systematically describes, explains and sometimes predicts phenomena in administrative settings. It is fact-based in the sense that much theory building is undertaken in fact-filled environments. For instance, in administration we are all theorists because our trial and error experiences resemble unstructured research from which certain conclusions can, and are drawn. Commonsense rules are also implicit theory that needs to be made explicit. Thus, concepts, assumptions, and generalizations are fact-related. A concept is an abstract with a generalized meaning agreed upon by researchers, theorists and practitioners. Concepts have constructs which, in turn, have standard operational definitions as well as operational measures. In addition, constructs have variables or properties that change or that takes on different values. Therefore, variables can often be factually tested or quantified. Similarly, assumptions when generalized are supported by facts.

Attributes of a Theory

According to Henry (2007), an organisational/administrative theory has at least three attributes.

- a. Firstly, it comprises concepts, assumptions and generalizations.
- b. Secondly, it describes, explains and predicts behavior of phenomena.
- c. And, thirdly, it stimulates and guides further knowledge development. Theory building is tied to facts and levels of generalizations are dependent upon the amount of factual support.

One level of generalization is assumption or a statement of cause-effect relationship between two or more variables or concepts but without any empirical support except impressionistic or intuitive evidence. An assumption becomes a hypothesis when there is limited empirical support localized to a particular context and cannot be generalized

beyond it. A research finding in one administrative system that seems to support the assumption that formal training in administration leads to effective performance cannot be extended to cover other administrative systems. Thus, such a research finding can only warrant a hypothetical statement. Researchers take hypotheses seriously in order to use them as guides for scientific investigation or observation. Hence, a hypothesis becomes a principle when it has substantial empirical support and, at this level, generalization is wider because there is enormous empirical evidence to support the hypothesis.

Functions of a Theory

Within the purview of administrative practices, the following are some of the basic functions of theories,

1. The ultimate function of an organisational/administrative theory is to provide explanations for phenomena. This means describing phenomena and their interrelationships and, sometimes, the causes of such phenomena.
2. Theory guides empirical research or the critical investigation of hypothetical propositions and presumed relationships among administrative experiences. Hypotheses assist in checking the theoretical propositions against objective reality. The process of re-formulating and clarifying theories often leads to the discovery of new knowledge and/or questions.
3. Theory may also be used to guide administrative practice and/or action. Certain administrative prescriptions and recommendations can be made on the basis of research findings. This is done to improve decision-making or the design of organizational structures. Administrative theories are often used to draw together insights and propositions with a view to improving administrative practices. Thus, theory-building processes must help to expand our capacity to explain and/or resolve practical administrative

Theory is related to research in three ways.

1. Theory provides a frame of reference for the researcher.
2. Theory provides a general mode of analyzing practical administrative events.
3. Theory provides the knowledge upon which practical administrative decisions are made. Hence, administrative students and practitioners must understand

and appreciate the nature and potential uses of theory in dealing with administrative issues and problems.

7.2 Approaches to the study of comparative public administration

Comparative public administration is a branch of public administration. There are several approaches, models and theories that characterise this sub-discipline. Much of its analytical effort is based on an adaptation of developments in such disciplines as comparative law; comparative anthropology; comparative sociology; and comparative politics. According to Hobbes (2009), the following are the basic approaches from which comparative public administration has benefited:-

7.2.1 Legal Approach

In this approach public administration is studied as part of law, and the concentration is on formal legal structure and organisation of public bodies. The concern is with the structure and functions of power. The approach stresses formal organisation of offices, official duties, and limitations of power and discretionary authority of administrators. The main sources of this approach include constitutions, codes of law, office manuals of rules and regulations as well as judicial decisions. Germany, Belgium and France have particularly applied the legal approach to the study of public administration. In these countries, there are two divisions of law, namely, constitutional and administrative law. Constitutional law deals with three main organisations of government, their interrelation and the distribution of power among them. Administrative law is concerned with the structure and functions of public bodies, departments and authorities. The legal approach is valuable for understanding of legal framework within which administrative system has to operate. It neglects sociological and psychological variables or the informal forces operating in public organisations. As such, it remains a largely incomplete approach to the study of comparative public administration.

7.2.2 The Behavioural Approach

The behavioural approaches emphasises 'facts', rigorous scientific methods of data collection and analysis, quantification, experimentation and an interdisciplinary orientation. It focuses on the analysis of human behaviour in administrative settings. This behavioural approach indicates that the study of individual and collective human

behaviour in administrative situations is important for an understanding of public administration. It assumes that all human actions are motivated by the social, economic, political or psychological environment from which they come. This approach gave birth to bureaucratic behaviour in different social and cultural perspectives. However, it has been criticised for being of limited utility in analysis of all types of administrative phenomena. It is argued that the study of man as a social animal cannot be considered a part of the administrative sciences unless the resulting knowledge is applicable to 'administrative man'.

Moreover, behavioural approach appears applicable to small social groups whereas public administration deals with larger communities. Secondly, the total exclusion of values from a study of administrative problems and phenomena makes the study of public administration somewhat sterile and irrelevant to vital issues of contemporary administrative life. Therefore, the behavioural approach is of limited relevance in dealing with all types of administrative problems and their solution across national borders. In addition, issues of organisation cannot really be explained or interpreted in terms of the behavioural approach (i.e. looking at the behaviour of individuals in organisations).

7.2.3 The General Systems Approach

This approach views an administrative system as a sub-system of the society. It looks at various parts of an administrative system (i.e. formal organisation, informal organisation, roles, individuals etc and examines the interlink ages among various parts. Besides, this approach analyses dynamic interactions between the administrative system and its external environment.

According to this approach in organisational analysis, an organisation is a social system to be studied in its totality. A system is a collection of interdependent parts which receives inputs, acts upon them in an organised or planned manner and, thereby, produces certain outputs. Interdependence implies that a change in one part influences other part which, ultimately, affects the entire system. Individuals are viewed as the basic unit of organisational systems. All human organisations are open sub-systems engaged in transactions in the social systems.

All sub-systems receive inputs in form of human and material resources from larger system while giving out outputs in form of products, services or rewards to its members as well as to the larger system. These sub-systems are adaptive. They affect larger system as well as affected by it; and they are dynamic in the sense that they undergo continuous change as a result of their interaction with large social system. The system consists of the organisation of people whose motivation, behaviour and relationships determine both the quality and quantity of its inputs and outputs.

- a. One advantage of this approach is that it takes into account many variables and interrelationships while looking at organisational problems in the framework of a larger social system.
- b. Secondly, it takes into account the interaction between a system and its environment. The assumption of this conceptual model is that a mutual interaction exists between the system and its environment or ecology.

7.2.4 The Ecological Approach: Sala Model by Fred Riggs

This is one of the most popular approaches to the study of comparative public administration. It examines the interactions between an administrative system and its external environment. Thus, the impact of the political system, economic system, social system, and cultural system on the structure and behaviour of the administrative system as well as the influence of the administrative system on these environmental structures is highlighted in the ecological approach. The approach emphasises the need to relate public administration to the environment in which it functions, including such factors as people, technology, situation, ideas, and personality. 'Ecology' refers to the 'mutual relations between organism and their environment'.

Riggs is considered the pioneer in the field of Ecological Approach to Public Administration. He stated that if studies of Public Administration had to become really comparative then it has to shift from being Normative (Establishing, relating to, or deriving from a standard or norm, esp. of behavior) to empirical (Based on, concerned with, or verifiable by observation or experience rather than theory or pure logic), from Ideographic (case by case study and not related to one another) to nomothetic (relating to the study or discovery of general scientific laws) and from non ecological (closed and confined to one area) to ecological (open and cross cultural).

He blamed the import of developed countries' administrative practices as it is by the developing countries for their progress without any study as the reason for its failure and the reason for developing countries still lagging behind. In his ecological studies he gave the concept of structural functional approach as a means to study the environment and administration relation. According to this approach every society has various structures that perform specific functions like political, economic, social, symbolic and communicational functions in the society.

Riggs observed that bureaucracies in Southeast Asian countries resembled in operations Western bureaucracies. However, they also showed a strong indigenous flavor. For instance, public officials received salaries and also agreed to perform certain services in exchange, and such income or prebend was not connected to one's office or bureau as was the case in the Western bureaucracies. He further observed that the Mandarins of Imperial China had authority to supplement their modest stipends from government with prebendary income they secured mostly from 'gifts' offered by their clients who sought their support. Riggs likened this to Biblical times whereby tax collectors (publicans) had authority to collect taxes, keep much of them, and turn some to the government. But such 'gifts' in the Western countries could be classified as 'bribes' and, therefore, forbidden.

In developing countries, however, prebendary bureaucrats expected to receive gifts as a perfectly legal type of income. In Thailand and the Philippines Riggs found a type of bureau that looked, formalistically, like an office but was quite prebendary beneath the surface (Barber, 1972). He also found that national budgets were so limited that they could not begin to pay officials well enough to enable them to maintain their status and their expected standards of living. He says that in the Western countries such practices to supplement personal incomes by accepting gifts would be condemned as acts of bribery. The concern about corruption assumes that it is a moral issue, namely, that bureaucrats who take bribes are dishonest persons who ought to be disciplined or be trained to assure honesty in public office. But Riggs found that this perception was unrealistic because such practices were acceptable and/or a matter of necessity.

Riggs further says that in Western countries public officials can, and do legally 'moonlight' or hold a second job by combining private employment with public office. Physicians who work in public hospitals simultaneously take private patients and own pharmacies at which their prescriptions are filled. University Professors can, and do also take private contracts to do research or serve as consultants while receiving university salaries. While such practices were not surprising, Riggs said that there was no term in English that linked prebendary and salaried public employment. Thus, he adopted the word 'Sala' to describe what he observed as practices in the bureaucracies of the developing countries in Southeast Asia. He explains that in Thailand, 'Sala' is the pavilion adjacent to a Temple found in every village (Barber, 1972).

A 'sala' was a meeting place for the community. People gathered in a 'sala' for entertainment, business, worship and public purposes. Thus, Riggs adopted the word 'sala' as a metaphor for the mixture of motives and practices found in public offices. Like the word bureau, 'sala' refers to a place as well as to practices that are centered in that particular place and to the people who occupy it. Riggs also found that in Spanish 'sala' refers to a room that has a sense equivalent to that of 'salle' in French and 'salon' or 'bazaar' in English. 'Sala' has a similar meaning on the Arabic language. This makes the 'sala model' to have deep cultural roots. It also reflects political realities in Egypt, Ethiopia, Brazil, Thailand, and Brazil. Riggs says that any modernized bureaucracy that is subjected to ineffective political controls has many opportunities to increase income by charging people either to provide or not to provide a service or to enforce a tax. 'Sala' also has economic roots because of the usual discrepancy between salaries and expectations. This means that the people with more power and money are able to secure benefits at lower cost than those who are powerless and impoverished.

Furthermore, the 'sala model' links in a single bureau the prebendary practices of the past with the official practices of a modern bureaucracy. This requires some formalism, namely, the nominal compliance with the rule of law and official norms based on universalism, functional specificity, and equity. This is combined with the respect for old traditions which require loyalty to giving preference to family, neighbors, friends, and members of one's cultural community. Riggs says that the 'sala model' supports the contradictory norms based on the premise that a salaried official offers services equally

to all while simultaneously or secretly accepting gifts and services that violate this premise. He reports a case of Bangkok where the behavior of top military officers and civil servants who participated in military coups later held cabinet posts, making bureaucrat's part of the political elite (Mukhi, 1998).

To supplement formal income they held seats on boards of directors of corporations that were owned and managed by the Chinese. In exchange for their sponsorship, the corporations were able to get many government contracts. This situation was typical of 'sala' behavior, namely, what is formal is public but the informal aspect is secret. Consequently, information on directorships is pretty easy to get but difficult to determine how much money directors receive for their services on the boards of directors in question. Riggs concludes that such 'sala behavior's is widespread in the developing as well as in transitional societies. He links this situation to poly-communalism and the 'bazaar-canteen' practices. They are all part of a single syndrome or pattern of what Riggs calls 'a prismatic society', making the success of administrative reform dependent on concurrent political development. Administrative reform and political development processes are, therefore, contingent on economic, social and cultural changes that need to mutually reinforce desired change.

In summary, Riggs is the foremost contributor to theory-building in comparative public administration. He propounds a deductive theory or series of models that focus on functionality fused diffracted and prismatic societies. Their real-life counterparts are traditional, modern and transitional societies. Each type of theoretical society shares some attributes with each other but Riggs is concerned with the essence of each society rather than their overlaps. Using a macro approach, Riggs looks for uniformities in the transitional process from a traditional to a modern bureaucracy. Contemporary transitional societies are exogenously prismatic while developed countries in their time were endogenously prismatic. A prismatic society is indeterminate, heterogeneous, and contradictory, and power is the value most sought. It is characterized by increasing insecurity and inequality; negative political and administrative development; recruitment based on attainment; and a marked difference between formal and effective institutions and practices. The 'sala' model is essentially a hybrid bureaucracy which combines elements of traditional and Western thought, namely, moderation and right/wrong, particularism/universalism, ascription/achievement etc.

On the basis of this approach he proceeded to study and listed two theoretical models to explain the administrative systems in the comparative context. According to Henry (2007), these models are:

A) Agraria model: It is the Agricultural society and the characteristics are functional diffusion, particularistic norms, self sufficiency, ascriptive (The attribution of something to a cause) values, stable local groups and limited or no mobility, differentiated stratification. Agraria is agriculture dominated society and Riggs takes China at the time for instance Imperial China. In Agrarian primordial preferences like caste and given priority. Occupational pattern is fixed that is Agriculture and carries on for many generations. Very few administrative structures and their functions/duties were not at all specified.

B) Transitia model: It is the in between society. It is in between or lets use the term in transition between the Agraria and Industria society and bears features resembling to both. It is on the path to become a developed society from an agricultural society. Examples are India, Thailand, etc.

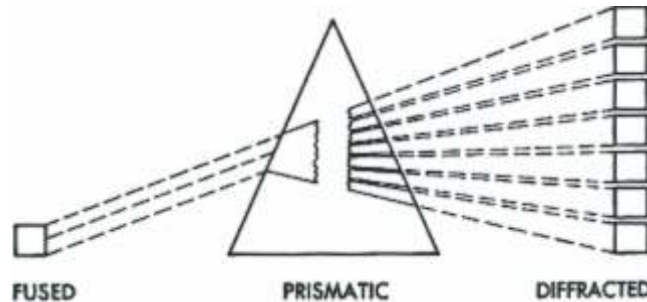
C) Industria model: It refers to a developed or Industry dominated society. Its characteristics are Universalistic norms, Achievement values, specific patterns, high degree of social and spatial mobility, well-developed occupational system, egalitarian class system, prevalence of associations which are functionally specific and non ascriptive. USA is an example of this society.

Limitations and critique of Riggs' Agraria-Transitia-Industria model:

- 1) It does not help in examining the transitional societies and is too rigid focusing only on the underdeveloped and developed countries.
- 2) It does not provide sufficient mechanism to study mixed-type societies. Critics argue that the industrial societies will always retain or have some agrarian features.
- 3) It assumes a unidirectional movement from an agraria stage to an industria stage.
- 4) Its major stress is on the environment of the administrative system but not on the administrative system perse.
- 5) It is too general and abstract with little resemblance to concrete reality.

Consequently Riggs abandoned this typology and proceeded to better it and that resulted in a new typology/model he designed which was the Fused-Prismatic-Diffracted Model.

Riggs improvised typology: Fused-Prismatic-Diffracted model:



It is the more improvised and specified version of his previous typology where the Fused society can be compared to the agrarian model, the prismatic society can be compared to the Transition model and the Diffracted society can be compared to the Industrial model.

This Model was designed to silence those critics who stated that Riggs had not effectively and in detail specified the 'Transition' society which was very important as most of the world in that phase. This model effectively detailed all of the typologies. The new model is based on the principle of a prism and how it diffracts fused colours of white light back into the seven colours of the spectrum when passed through it. White light represents a society with very less degree of specialisation and development and the diffracted spectrum reflects the highly specialised and developed society. The in between prismatic society is the transition society.

He stated that neither of the extreme sides exist in totality or as it is but yes, it is certain that they do but in varying degrees as suitable to the environment/ecology.

First we will discuss the Fused and Diffracted model and then proceed to explain the Prismatic model. A good understanding of the Fused and Diffracted Model will only be the tool to understand the Prismatic Model features.

Fused Model (Ex- Imperial China and Thailand) :

- 1) Heavily dependent on agriculture.
- 2) Economic system based on barter system.
- 3) King and officials nominated by the king carry out all administrative, economic and other activities.
- 4) Royal family and special sects dominate.
- 5) A scriptive values dominate.
- 6) Having many administrative structures that are part diffracted (perform special functions they are given charge of) and part fused (many structures performing many functions which are not prescribed to them thus overlapping with the diffracted ones and confusing the system).

Diffracted Model:

- 1) It is the polar opposite of the fused society. Each structure carries out its own functions.
- 2) Attainment value in society.
- 3) Economic system based on market mechanism (demand and supply)
- 4) Responsive government
- 5) General consensus among all the people on all basic aspects of social life.

Prismatic Model (Example India, Thailand, etc) :

- 1) In reality, no society is completely fused or completely diffracted. A prismatic society has achieved a certain degree of differentiation or specialisation.
- 2) Heterogeneity - Simultaneous existence of different kinds of system and viewpoints. Example - rural-urban, Indian gurukuls - western education, homoeopathic-allopathic. Various factors pulling the system apart. Political and administrative officers enjoy enormous influence. Privileges for select groups which may be communal thus creating problem in administration.
- 3) Formalism (Excessive adherence to prescribed forms) - Discrepancy between formally prescribed and effectively practiced norms. Rules and regulations are prescribed but wide deviations are observed. Lack of pressure on govt. for programme objectives. Weakness of social powers to influence bureaucratic

performance. Hypocrisy in social life. Constitution formalism which means that there is a gap between stated principles and actual implementation.

- 4) Overlapping - Differentiated structures coexist with undifferentiated structures of Fused type. New or modern social structures are created, but traditional social structures continue to dominate. Example - Parliament, Government, Offices exist but behaviour is still largely governed by family, religion, caste, etc.

Sub-systems of the prismatic model:

- 1) Administrative subsystem which is called the SALA MODEL (The Spanish word, 'Sala', has a variety of meanings like a government office, religious conference, a room, a pavilion, etc. The word, 'Sala', is also generally used in East Asian countries more or less with the same meaning.) :-
- 2) Certain features of bureau (diffracted) coexist with certain features of chambers (fused). Formalism exists.
- 3) Economic subsystem which is also called the BAZAAR - CANTEEN MODEL:
 - A) Market factors (demand and supply) as well as area factors (religious, social, family) dominates the economy.
 - b) This leads to price indeterminacy further deteriorating economic conditions encouraging black marketing, hoarding, adulteration etc.
 - c) Foreign domination and a small section of people dominate economic institution.
 - d) Price of services vary from place to place, time to time and person to person.
 - e) Economic subsystem acts like subsidized canteen to privileged & tributary canteen to members of less privileged, politically non influential or members of outside group.
 - f) Wage relation: Wide gap exists for same work. Persons with fewer wages may feel motivated to earn more by illegitimate means.

Criticism of Riggs' Fused-Prismatic-Diffracted model:

- 1) Usage of scientific words does not make administration science.
- 2) It has highly technical description

- 3) Prismatic and sala models are equilibrium models and do not lead to social change.
- 4) Lack of measurement of level of diffraction in prismatic or diffracted society.
- 5) Diffracted society is also not desirable because it is static and in equilibrium.
- 6) Difficult to identify the level of differentiation and integration for development.
- 7) Lack of international perspective.
- 8) Wrong analytical tool.
- 9) Fails to explain the role of administration in society.
- 10) Overlapping is not specific phenomena of prismatic society but exists in diffracted society also.
- 11) Prismatic model has a negative character.

Irrespective of the criticism Riggs attracted there is no denying that he set the table and standards for Comparative Public Administration and got to the root of the failure of Americanised and Europised Public Administration practices failing in developing countries, through his important paradigm called "The Ecological approach to Public Administration", and also suggested the issues that plague the developing countries and how to rectify them.

The approach assumes that administrative behaviour is largely moulded by the values of the prevailing administrative culture. In turn, the administrative culture is the outgrowth of the interaction of values and traits of the administrative system with the social system as a whole. The ecological approach is further based on the idea that an administrative system does not act as an independent variable in all circumstances. Organisations, structures procedures and goals are largely created and changed by interaction between the organisation and its ecology. If organisation has to survive it must adapt itself to changing needs and conditions of its external environment. For example, production and consumption of material goods and services influence the choices that people make regarding household expenditures.

Fred Riggs is one of the foremost exponents of ecological approach in public administration. His quest for ecological perspective in cross-cultural studies led him to the field of development administration. His models emphasised an open system that

describes and analyses the interaction between administrative sub-system and wider social system. This approach emerged from two problematic issues. The first was administrative generalisations based on experience of one state cannot be universally applied to administrative systems in all kinds of diverse environmental settings.

The second was that before formulating theories and concepts of administration, it is necessary to empirically test their validity in all types of social settings to see what is universal. This implies that public administration must be interdisciplinary and ecological in character. To improve the functioning of public administration, therefore, we need to suggest solutions and reforms bearing in mind the peculiar history, customs, traditions and culture of the people coupled with their present needs and aspirations.

7.2.5 The Structural /Functional Approach

Drawn largely from anthropology and sociology, an approach related to the above is the structural-functional approach. According to this approach, a structure is a pattern of behaviour that has become a standard feature of a social system. In addition, a function denotes the impact of a structure on another structure and the interrelationships among various structures. Fred Riggs successfully applied the ecological and structural-functional approaches in the analysis of societies and their administrative systems. This model-building effort gave rise to Riggs' model of prismatic society and its administrative system known as 'sala' (i.e. 'fused-prismatic-diffracted system'). This approach indicates that all social structures exist to perform certain functions. Structure refers to 'any pattern of behaviour which has become a standard feature of a social system'. It provides a mechanism for analysis of different social processes.

Structurally, bureaucracy is an administrative system that possesses features such as hierarchy, specialisation, system of rules, and role specificity. Behavioural /characteristics identified with bureaucracy include rationality, impersonality, rule-orientation and neutrality. All similar structures do not necessarily perform similar functions. Furthermore, a social structure may perform multiple functions and, similarly, one function may be performed by more than one structure. In developing states, certain structures, which apparently dysfunctional from Western viewpoint, may prove to be functional in their own social or political milieu.

On the other hand, in developed states structures and functions may be relatively differentiated and autonomous in operation, unlike developing ones where functions may be differentiated, but the structures which perform these functions are rarely distinct. The study of public administration has also been influenced by the public policy perspective. The abandonment of politics-administration dichotomy made the public policy approach agreeable to administrative analysis. Thus, evidence from empirical world of administration brings about a nexus between politics and administration. As governments seek to formulate and implement welfare programmes, the public policy approach has become critical to the study of public administration.

Another approach is the political economy approach, associated with moving of political science closer to economics in the interest of greater theoretical coherence and better policy guidance. It concerns the application of economic methods and models to political problems. Similarly, public administration as a branch of political science and on its own has moved closer to economics. Thus, the scope of the discipline of public administration seems to be broadening while the question of its identity yet remains to be solved completely. Herein lies the crisis of identity of public administration: it borrows from history, law, economics, political science and sociology.

7.2.6 Bureaucratic Approach

The most influential of the approaches is Max Weber's ideal-type bureaucratic model. Its characteristics are, inter alia, hierarchy, specialisation, role-specificity, recruitment by merit, promotion by seniority-cum-merit, career development, training, discipline, separation between personal and official means. Legal-rationality authority and efficiency are main emphasis of this model. One attribute of all bureaucratic organisations is the implementation of policies through an administrative staff. The basic structural prerequisites of the Weberian model of bureaucracy include:-

1. Staff promotions regulated by both seniority and merit;
2. Defined rights and duties prescribed in written regulations;
3. Systematically ordered authority relationships;
4. Technical competence as a formal condition of employment;
5. Fixed monetary salaries;

6. Strict separation of the office and the incumbent in the sense that employee does not own the means of administration and cannot appropriate the position;
7. Administrative work as a full time career; and operations governed by a system of abstract rules and their consistent application to particular cases.

7.2.7 Development Administration Approach

This approach focuses on certain characteristics of a dynamic administrative system, for instance, goal-orientation, change-orientation, innovativeness, responsiveness and participation. The questions of modernisation and diversity are often of great concern to students of comparative public administration. Only by treating public administration with reference to ecological, goal-orientation, development and cross-cultural comparability can such questions be dealt with. In this regard, conceptual constructs of comparative public administration should have the following four elements in order to respond to challenges of modernisation:-

1. cross-cultural comparability, allowing broad comparisons among administrative systems in Western and non-Western settings;
2. developmental dimensions, giving such comparisons a broad linkage with the question of modernisation;
3. Ecological perspective, studying the interactions between the administrative systems and their environment; and
4. goal-orientation, stressing the unique goals of particular cultures in relation to their administrative systems.

7.2.8 The Derivative Middle Class Approach

Riggsian macro approach to comparative public administration no longer in vogue because bureaucracies are never 'black boxes'. Subramaniam raises the need to look at common functions by focusing on internal processes of executive government. Things are often done by different structures and processes: Who has power to make the rules or decisions inside the bureaucracy? Who implements them? Published works tend to fall into one of three categories:-

1. Single-culture studies (i.e. the crime problem in a single foreign country is discussed);
2. Two-culture studies (most common type); and
3. Comprehensive studies which cover three or more countries.

Max Weber's and Riggs' works were case-based and covered only a handful of cultures at a time. Patterns, trends and syndromes are the words most often used in comparative studies with the same meaning as 'ideal-types'. In this context, there are four kinds of societies in the world:-

1. Folk-communal societies which are also called primitive societies;
2. Urban-commercial societies which rely on trade as the essence of their market system;
3. Urban-industrial societies which produce most of the goods and services they need without government interference; and
4. Bureaucratic societies or modern post-industrial societies where the emphasis is on technique or the 'technologising' of everything, with the government taking the lead.

Some people also talk about a fifth type: the post-modern society where the emphasis is upon the meaning of words and the deconstruction of institutions. Developed countries tend to be lumped into the last two where the study of structure becomes more important than the study of culture. Developing countries tend to be lumped into the first two where the study of culture becomes more important than the study of structure. The study of culture involves the study of customs and folkways of the people, and culture refers to things which come and go, which are mainly produced by people each generation. A folk-communal society has little codification of law, little specialization such as police, and a system of punishment that just lets things go for a while without attention until things become too much, and then harsh, barbaric punishment is resorted to. Examples include the early Roman gentiles, African and Middle Eastern tribes, and Puritan settlements in North America.

1. An urban-commercial society has civil law (i.e. some standards and customs are written down), specialized police forces (i.e. some for religious offences, others

for enforcing the King's law), and punishment is inconsistent, sometimes harsh and sometimes lenient. Most of Continental Europe developed along this path.

2. An urban-industrial society has codified laws (i.e. statutes that prohibit certain kinds of behavior), laws that prescribe good behavior, police that is specialized in how to handle property crimes, and the system of punishment that is run on market principles of creating incentives and disincentives. England and the USA followed this positive legal path.
3. A bureaucratic society has a system of laws along with armies of lawyers, police who tend to keep busy handling political crime and terrorism, and a system of punishment characterized by over-criminalization and over-crowding in jails (i.e. juvenile delinquency phenomenon). The USA and only eight other nations fit the bureaucratic pattern. The process of internal migrations from the countryside to cities (i.e. urbanization), among other things, dissolves family ties, creates cultures of poverty, and produces a stabilized criminal underworld consisting of well-defined criminal career pathways.

In addition, the processes of colonization and underdevelopment also create a middle class that aspires to inherit colonial institutions and all their trappings of power. 'Modernization's thesis is the idea that technology produces common effects which tend to make all nations increasingly similar in levels of development. In this view the developing countries are destined to go through the same development patterns the developed nations went through. This pattern involves increases in unemployment and certain other problems least of which is a backlash of male violence. The implication of the modernization thesis is that developed nations ought to reach out and help developing countries manage or regulate the inevitable stages they will go through. The underdevelopment or colonization viewpoint holds that it is the more developed nations in the world which cause problems such as crime in the developing countries. Corporations are allowed to pillage raw materials and resources in the developing countries.

Likewise, most of the developed nations do not engage in free trade. Instead, they subsidize their farmers and producers at home, prohibit the import of cheap, foreign products, and make their money by saturating foreign markets with luxury goods that create a sense of rising expectations or unreachable aspirations in the developing

countries. However, there is little debate over the importance of urbanization. Comparative public administration specialists believe that it is urbanization that is the primary cause of violent crime in any society. When citizens migrate to the cities, kinship and community ties are broken, and a sense of anonymity and impersonality develops.

Some of this impersonality is inherent to the nature of industrial and bureaucratic work but the problem in the cities is the problem of income inequality. Thus, vast numbers of poor people live in fairly close concentration to wealthier people or those on the verge of 'making it' commercially in the bureaucracy. By 'bureaucracy', Subramanian refers to the central government ministries/departments and agencies in a developing country. He says that the politics-administration dichotomy is non-existent. However, politicians have not acquired enough technical expertise in certain policy issue-areas to free themselves from their reliance on the bureaucracy to formulate policy.

Therefore, it is apparently 'business-as-usual' for bureaucrats as they continue to run governmental affairs as colonial bureaucrats used to do. This is despite the fact that politicians with no career prior ties to the bureaucracy have taken over key and government posts. This is an oligarchy that V. Subramaniam calls the 'derivative middle class' that stepped into the shoes of former colonial masters. Bureaucracy keeps 'government' out of people's lives but it influences the individual in terms of role definition, socialization and development of organizations and/or institutions. Interaction between the bureaucracy and its environment (ecology) relates to access to government is often through the bureaucracy. The nature of interaction relates to ascription versus achievement, and representation versus achievement. This situation raises the following questions: What is the dominant cultural value in terms of access? What is the dominant cultural value?

The general systems approach helps us to focus on the functioning of administrative systems in their social and environmental contexts; and the development administration approach helps to deal with the dynamics of change and goal-oriented behaviour in public bureaucracies. Therefore, we need a combination of all conceptual models to get a fuller understanding of the comparative public administration sub-discipline of public administration.

7.2.9 The Neo-patrimonial Approach

The persistence or retention of patrimonial elements in bureaucratic administration can mitigate, if not eliminate, the struggle just as the presence of bureaucratic features in patrimonial administration can and did enhance its efficiency and effectiveness. The theory of neo-patrimonialism suggests a quite different process of public organization. Patrimonialism is where government authority and resources are private property: governmental powers and associated advantages are treated as private rights.

Neo-patrimonialism builds on Weber's concepts but cannot be perceived to form a coherent or uncontested school of thought. It is a rather diverse field to which different scholars attach varying meanings. The term neo-patrimonialism denotes a mixture of two Weberian types of domination: patrimonialism (a subtype of traditional rule) and the ideal type of legal-rational rule. "Patrimonialism" connotes that a patron in a certain social and political order bestows gifts from own resources on followers to obtain and strengthen their loyalty and support (Weber 1980 [1922]: 133-134, 136).

In turn, clients obtain material benefits and protection. Patrimonial domination is exercised by a ruler with the help of an administrative staff. The patriarchal logic is used beyond the kinship ties on a larger scale. The exchange between patron and client is inherently unequal. The defining feature of neo-patrimonialism is the simultaneous operation of patrimonial and legal-rational logics. Informal politics invade formal institutions. Patrons typically are office-holders in state institutions that use public funds or office to build their personal loyalty among clients in order to stay in power.

Social practice as a result is fundamentally different compared to the impersonal formal rules which are supposed to guide official action. In a neo-patrimonial system, practice operates as a deeply ingrained logic of action which cannot be removed by individual actors. Even a state president, who would potentially qualify as the patron, could not change this pattern immediately as other actors rely on and expect neo-patrimonial exchange relations. Neo-patrimonialism to a certain degree is "hemmed in". The most extreme consequence is the "criminalization of the state."

It is useful to analytically distinguish between the political and the administrative level of Governance. There is need to focus on neo-patrimonial exchange relations on the political level, taking into account that neo-patrimonial relations on the administrative

level are also a defining feature. Neo-patrimonialism is characterised by the simultaneous operation of patrimonial and rational-legal domination. Are there different modes of neo-patrimonial practice and what concepts can be found for detailed analysis? The two concepts clientelism and patronage have found wide application in social science analysis of developing as well as African countries. Clientelism and patronage are integral to neo-patrimonialism. Clientelism means the exchange or the brokerage of specific services and resources for political support in the form of votes.

It is directed to individual persons and is, therefore, based on personal relations. As affirmed for neo-patrimonialism in general, clientelism, denoting relationships between patrons and clients, “logically excludes relationships between equals. In contrast to clientelism, patronage is directed to social groups. It is conceptualised as the politically motivated distribution of 'favours' not to individuals but essentially to groups which in the African context will be mainly ethnic or sub-ethnic groups”. Patronage does not necessarily have a strong redistributive effect; it often has to be understood as a “symbolic” exchange. However, as social groups are involved, the political significance of patronage is often higher than that of clientelism. Both patronage and clientelism may be used in order to gain more specificity in comparing the neo-patrimonial profiles in African countries.

In summary, comparative public administration has evolved and remained as an applied, intercultural, interdisciplinary, explanatory field of study which carries out cross-cultural investigations in order to provide solutions for management problems sooner and develop management technologies further. It is no accident that the field focuses upon growth, reform and capacity building since CPA is in many ways about identifying those "best practices" which promote the most desirable organizational structures and processes. CPA attempts to find universal patterns and regularities through comparison, irrespective of level of development and irrespective of place and time, although it is certainly the case that CPA is the field in which the modernization vs. development debates took place from 1959-1973. Those debates crossed over the fields of sociology, political science, and public administration and involved argument over grand schemes of nation-building for making some parts of the world.

Review questions

1. Examine the 5. Approaches to the study of comparative public administration
2. Attempt a criticism of the Ecological Approach: Sala model by Fred Riggs
3. Compare the Structural /Functional Approach and Bureaucratic Approach of comparative public administration
4. What are the features of Derivative Middle Class and Neo-patrimonial approaches of comparative public administration?

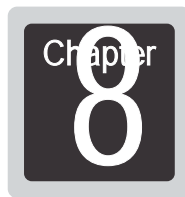
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**PRINCIPLES OF
PUBLIC ADMINISTRATION**





ACCOUNTABILITY & MANAGEMENT CONTROL SYSTEMS IN PUBLIC ADMINISTRATION



Public accountability is a fundamental feature in any effective public administration system. It presupposes that all government departments have to be efficient because they have to ensure value for taxpayers' money. This is further achieved through the understanding and practice of such management control systems as ethics, efficiency, effectiveness, responsiveness, transparency, etc. these practices form the focus of this chapter.

- 8.1 Meaning of accountability
- 8.2 Types of accountability
- 8.3 Management control systems
- 8.4 Forms of managerial control systems
- 8.5 Openness and transparency in government

8.1 MEANING OF ACCOUNTABILITY

Accountability is a concept in ethics and governance with several meanings. It is often used synonymously with such concepts as responsibility, answerability, blameworthiness, liability, and other terms associated with the expectation of account-giving. As an aspect of governance, it has been central to discussions related to problems in the public sector, nonprofit and private (corporate) worlds. In leadership roles, accountability is the acknowledgment and assumption of responsibility for actions, products, decisions, and policies including the administration, governance, and

implementation within the scope of the role or employment position and encompassing the obligation to report, explain and be answerable for resulting consequences.

Public accountability rests both on giving an account and on being held to account. All government departments have to be efficient because they have to ensure value for taxpayers' money. Efficiency encompasses the qualitative and value-laden expectations of the society. It can be argued that accountability is the fundamental prerequisite for preventing the abuse of power and for ensuring that power is directed towards the achievement of efficiency, effectiveness, responsiveness and transparency. Open, transparent and accountable government is an imperative prerequisite for public service delivery because without it, covert unethical behaviour will result.

Accountability gives legitimacy to government action and ensures society that the Government is serving the national interest. While there may not always be agreement on terms such as the national interest and the common good, this should not detract from the importance of accountability. Good governance demands that government be responsive and responsible to its citizens. In this sense, public organizations and political leadership are the trustees of the nation pledging to serve in the interest of society.

In the context of public administration, responsibility and accountability take on special meaning because both public organizations and individual officials have a duty to implement public policies in a clear and transparent manner. Civil servants are expected to carry out their duties based on professional standards and codes of ethical conduct (Nyong, 2003). While standards and values are necessary in public administration, they are rarely sufficient to ensure satisfactory performance. Most Governments also try to enforce appropriate behaviour through various control mechanisms to counter administrative abuses of power.

8.2 TYPES OF ACCOUNTABILITY

Bruce, Dwivedi, and Jabbra (1998), in Afanasyev (2000) list 8 types of accountability, namely: moral, administrative, political, managerial, market, legal/judicial, constituency relation, and professional. Leadership accountability cross cuts many of these distinctions. Within the focus of our discussion, we shall briefly explain three of these; political, ethical and administrative accountability.

8.2.1 Political accountability

Political accountability is the accountability of the government, civil servants and politicians to the public and to legislative bodies such as a congress or a parliament.

In a few cases, recall elections can be used to revoke the office of an elected official. Generally, however, voters do not have any direct way of holding elected representatives to account during the term for which they have been elected. Additionally, some officials and legislators may be appointed rather than elected. Constitution, or statute, can empower a legislative body to hold their own members, the government, and government bodies to account. This can be through holding an internal or independent inquiry. Inquiries are usually held in response to an allegation of misconduct or corruption. The powers, procedures and sanctions vary from country to country. The legislature may have the power to impeach the individual, remove them, or suspend them from office for a period of time. The accused person might also decide to resign before trial. Impeachment in the United States has been used both for elected representatives and other civil offices, such as district court judges.

In parliamentary systems, the government relies on the support of parliament, which gives parliament power to hold the government to account. For example, some parliaments can pass a vote of no confidence in the government.

8.2.2 Ethical accountability

Within an organization, the principles and practices of ethical accountability aim to improve both the internal standard of individual and group conduct as well as external factors, such as sustainable economic and ecologic strategies. Also, ethical accountability plays a progressively important role in academic fields, such as laboratory experiments and field research. Debates around the practice of ethical accountability on the part of researchers in the social field - whether professional or others - have been thoroughly explored by Norma Romm in her work on *Accountability in Social Research*, including her book on *New Racism: Revisiting Researcher Accountabilities*, reviewed by Carole Truman in the journal *Sociological Research Online*. Here it is suggested that researcher accountability implies that researchers are cognisant of, and take some responsibility for, the potential impact of their ways of doing research - and of writing it up - on the social fields of which the research is part. That is, accountability is linked to considering carefully, and being open

to challenge in relation to, one's choices concerning how research agendas are framed and the styles in which write-ups of research "results" are created.

8.2.3 Administrative accountability

Internal rules and norms as well as some independent commission are mechanisms to hold civil servant within the administration of government accountable. Within department or ministry, firstly, behavior is bounded by rules and regulations; secondly, civil servants are subordinates in a hierarchy and accountable to superiors. Nonetheless, there are independent "watchdog" units to scrutinize and hold departments accountable; legitimacy of these commissions is built upon their independence, as it avoids any conflicts of interest. Apart from internal checks, some "watchdog" units accept complaints from citizens, bridging government and society to hold civil servants accountable to citizens, but not merely governmental departments.

8.3 MANAGEMENT CONTROL SYSTEMS

Management control is used as a means of self-appraisal by an organization, promoting organizational learning and managerial effectiveness. Designing a control system requires the establishment of operational goals of ascending specificity, the setting of performance standards and the defining of the limits of flexibility. An information system also must be designed to clarify the control factors and the types of information (accounting, statistics, and targets) that must be collected, analysed and disseminated. At each level, data analysis enables corrective action and informs reporting to the next level. The above is a simplified and highly idealized description of a management control system. In practice there are many shortcomings and discontinuities in the management control systems used in public administration. For example, policies and directives may not be adequately specified and, in some cases, they may be non-existent. In many countries health, education and other social administration. For example, policies and directives may not be adequately specified and, in some cases, they may be non-existent. In many countries health, education and other social sector allocations assume the continuation of old policies and directives, and budgetary allocations are in terms of inputs without any reference to outputs.

*Article on Management Control System, used with permission from the official report in **Rethinking Public Administration: an overview**. Division for Public Economics and Public Administration, Department of Economic and Social Affairs. ST/TCD/SER.E/27*

While successive levels of administration may try to exercise some control, the process is usually selective, and often includes items which have become topical for some reason. Examples include the control of allocations for travel, purchases and transport costs. Even these controls may not generate an information flow when the emphasis is placed on multiple approvals of individual transactions. A majority of developing countries do not have well-articulated management control systems, even for reporting on the utilization of inputs. Deficiencies can arise from accounting weaknesses or from the division of accounting responsibilities between operating units and outside accounting units.

Consequently, many management control systems do not yield even minimal data which can enable higher levels to take corrective action. Nor do they generate data which can be aggregated at higher levels for accountability purposes. The more common practice is a disjointed attempt towards the end of the budget year "to close the accounts". Such exercises are typically carried out by specialized accounting units. In some cases, the specialized units are distinct from the operating units, and there is little involvement of the operating units. The only exceptions to this loose arrangement are some of the large development projects which are of special interest to the Government and usually involve a foreign investment component. In these instances, the management control system may be sharply defined and made a condition of access to resources. Management control systems should be ubiquitous and an integral part of management processes.

Their design and installation should not entail high costs. In fact, they may not involve any additional costs other than the redeployment of some resources. However, they do require better articulation of administrative processes and procedure and the streamlining and rationalization of administrative structures. Simple management control systems may not serve all the purposes usually stipulated by management experts and considered desirable for political reasons. For example, problems of quality do not receive much attention. None the less, even the introduction of basic systems will be an improvement for many countries. Refinements can be considered after some experience has been gained. Too often, attempts at establishing management control systems have failed because management and efficiency experts have attempted too much. Likewise, political leaders have been too easily beguiled by the exaggerated promises of such systems. Simplicity and attention to basic tasks need to be the first priority of developing countries in this regard.

8.4 FORMS OF MANAGERIAL CONTROL SYSTEMS

There are several forms of managerial control systems, some of them are identified and discussed below,

1. *Reporting* Reporting can include informing both citizens and legislative bodies on the work of public administration. Practically every nation has a system of reporting celebrated events such as state of the nation messages and annual budget presentations. The constitutions of some countries may include Directive principles of policy, where the Government is required to report on their observance and achievements. Ministries and departments countries are required by law to issue annual reports. At least on a superficial level many of these arrangements generate enough information to convey an idea about government operations. But reporting problems are legion. To begin with, some reporting provisions are observed more in breach than in compliance. A brief survey of practices reveals that most developing nations have at least a nominal system in place, but their purpose is largely symbolic. The need is to impart life and vitality to the system so that reporting becomes a more meaningful activity of government.

2. *Formal reporting* One type of report rarely issued is the report on implementation of directive principles of policy. Such reports are usually included in constitutions for political expediency rather than meaningful reporting. Annual reporting on ministries and departments is also abused. It is rare for annual reports to be published and they are often issued so late that they are no longer relevant. State of the nation messages may be more in the way of inspirational sermons on what the Government hopes to do in the future than an analysis of issues and concrete policies.

3. *The budget* Budget presentations have their own unique characteristics. The presentation generally includes two major activities. One is the speech given by the head of the government or the finance minister. In countries with electronic media the speech may be presented on radio and television, and may last several hours. The second activity is the issuance of one or more budget documents. The documents may include budget proposals for the coming year and an economic survey covering the current and previous year. The data in the economic surveys are mostly statistical and at a level of generalization which conveys little information.

While the budget proposals include allocations for inputs, there is little concrete information on programmes and outputs. The only items in the whole exercise which arouse interest are proposals for taxation and measures affecting exports and imports. In any case, the presentation (both oral and written) is so full of technical jargon and so dull that few can understand or appreciate its meaning. Even the officials who are charged with implementing the budget frequently confess to not having read the document. The concept of budgeting as a tool of management is alien to many senior administrators and most mid-level administrators. The exceptions are those specialists concerned specifically with the budgeting process. In short, the reporting content of the budget leaves much to be desired.

4. *Information handling* In far too many cases information given out by the Government is highly selective. This may be due to a lack of genuine information at the highest levels of administration.

Another reason may be that management systems have failed to generate the right kind of information. In some cases the information is selective because Governments want to paint a brighter picture than is warranted by the realities. More frequently it is an attempt to use information for partisan political purposes. For example, incoming governments have frequently criticized their predecessors for maladministration, corruption and abuse of power, and promised to enforce accountability. Barring a few notable exceptions this has rarely happened and the practice is repeated over and over again.

As a general rule, information released by Governments tends to be diffused, imprecise and related to intentions rather than realities and policies. In particular, statistical information may be more by way of guess-estimates than hard data. The technical dimensions of statistics are rarely explained and usually poorly understood. Both the quality and quantity of information in government deserve more attention.

5. *Public relations*. A widespread practice in developing countries is the establishment of central public relations departments, or public relations units in larger organizations. Some Governments even bring in foreign consultants to advise them on public relations. The function of these units is to project a positive image of ministers and senior administrators. Until more information is available on the functions of these

units and how they serve the national interest, their existence can only be considered wasteful. Public relations in a democracy have been shown to be a valuable tool in forging consensus on critical issues and explaining government policies. These ideals are not always interpreted in this manner in developing countries, and many public relations efforts tend to be self-serving.

6. *Legislative review.* Legislative oversight or review of government and administration can be tenuous. Even in long established and industrially developed countries the executive and legislature attempt to act independently of one another. In many developing countries, legislatures have lost the battle against the executive. One reason for this is the growing complexity of government where political leaders and senior administrators have the advantage in access to critical information. Other reasons include the nature of executive powers where information can be restricted on grounds of national security, and the emergence of autonomous public institutions beyond the pale of legislative control. Despite these problems, legislative bodies have a role to play in exerting influence on the formulation and implementation of public policies, and the enforcement of standards of conduct by executive and administrative officials.

In political theory, legislative review is an important mechanism for enforcing accountability of government and administration. A major component of legislative review is the budget process, which has been discussed elsewhere. Other mechanisms are also available to legislative bodies to review the work of government more generally, or to review specific programmes and policies. Real changes in this area may have legal and constitutional implications but they are worthy of consideration. Several ways to strengthen legislative bodies are discussed below.

7. *Building skills.* There is a tendency in some developing countries to keep legislators busy in matters and areas which have little relevance to their main task. This may be intended to divert their attention away from critical issues, or because of scarce resources available to government. Whatever the reason, there is a need to raise the substantive and analytical capacity of legislative bodies to perform their responsibilities more effectively.

As products of the electoral process, legislators typically comprise a broad spectrum of experience, education and orientations to the management of public affairs. This means that some elected representatives will have no experience with the nuances of policy-making, formulating laws, or familiarity with constitutional principles. While senior administrators usually have many opportunities for executive development where at a minimum they are socialized into the system no comparable facilities are available for legislators. Opportunities for legislators to participate in executive development programmes can promote their awareness of the complexity of governing, and serve as an introduction to managing issues of national importance. Even if an individual stay in the legislature is short, the investments in leadership potential can serve the nation well when they rejoin their local communities.

8. *Support services.* A striking difference between the executive and the legislature is the amount of support services available to each body. While the executive has the whole administrative infrastructure to call on for support and advice, few Governments provide any substantial assistance to legislators. For example, research assistants could be an invaluable tool for gathering information on pertinent issues. Too frequently, the level of debate in legislatures is less than satisfactory because of the poor quality of information available. Better information produced in a timely manner can enhance the quality of discussions and gradually lead to more meaningful deliberations. A related idea involves legislative reference services. At present few countries provide such services. A legislator wanting information has to either request the administration or rely on informal channels. It is important to remember that information is power. If legislatures are to improve their oversight capacity, they must have access to timely and accurate information.

Effective support services can enhance the position of legislatures vis-à-vis other political and administrative actors.

9. *Committee systems.* One advantage of a committee system is the ability to hold public hearings and to bring in expert witnesses to give testimony. These actions can improve the deliberations of committees and widen the participation of individuals in deliberative processes. Different approaches have been used in creating a committee

system. For example, standing committees can be established for different stages of the budget process, major sectors of the economy or different development programmes. Ad hoc committees can also be constituted and charged with the study of specific policy issues. Some countries have budget appropriation committees and public accounts committees, but their role is usually limited in the absence of overall system strengths. All of this presumes, however, that Governments are genuinely interested in strengthening legislative bodies and widening participation in the governing process. In some cases committees are little more than political responses to demands for action, and their reports and recommendations are generally ignored.

10. *Oversight.* Another practice in some countries is the *_question hour_* which provides an opportunity for legislators to elicit information from government. How the question hour is used varies among countries that have adopted the approach. In some countries, it is no more than an attempt to embarrass the government. In others, it is a genuine attempt to understand a particular issue or policy. The type of government response is also a factor in the effectiveness of the question hour. Similarly, adjournment motions and other such devices when employed seriously, can improve the oversight function of legislative bodies.

Ultimately the public is the master in a truly democratic government. Public accountability should occur not only through legislative bodies, but also through electoral and political processes. The point is worth mentioning because too many governments practise the forms of accountability with little regard for its substance. Legislative review issues are about putting the right mechanisms in place, as well as the commitment to allow them to function properly.

11. *The media and accountability:* The national media are generally considered another link in the chain of accountability. This view is based on the assumption that they can freely undertake investigative reporting, serve as a conduit for information between Governments and individuals and groups, and generally keep government excesses in check by reporting responsibly. The discussion below briefly examines these assumptions in the context of developing-country experiences.

12. *Electronic media.* In many developing countries the electronic media are owned by the Government and project the views of those in power. In fact, in many countries television and radio are the symbols of government power and are commonly the first targets of coup attempts and insurgencies. In some countries, radio and television stations are run by the defence forces and major departments. This gives them direct access to the public airwaves without worrying about central policies. Generally, the mission of these broadcast facilities is to project favourable images of the entities concerned. The trend has been a rapid increase in the use of electronic media in most developing countries, generally under government ownership or auspices. In a few cases, countries have allowed private or mixed ownership of the electronic media. While the latter are usually allowed freedom in the entertainment field, they are required to broadcast the same news as carried by the official media.

Technological developments have given many developing countries access to communication satellites, and this has provided opportunities to access international satellite networks for news and other information. For many citizens, the electronic media have become an important source of information about events occurring abroad. Satellite communications have also provided opportunities for government to reach the most remote corners of the country. Most Governments can now reach the majority of their populations through radio or television. Because of low literacy rates and the absence of newspaper-reading habits, even among literate groups, the electronic media have emerged as a major source of information. Putting aside purely political goals the electronic media can serve many useful purposes in developing countries. In addition to their entertainment value, they are increasingly being used for educational and extension activities to reach otherwise inaccessible groups or areas.

Unfortunately, the role of the electronic media in the accountability chain is non-existent in some countries, and radio and television have become tools for projecting favourable impressions of government policies and personages. While some countries have initiated policy debates on the role of electronic media, the content of the debate is usually oriented to support the Government's viewpoint with carefully selected debaters. Instances of censorship are also not unknown when the views expressed by a speaker are considered unfavourable by the Government.

A necessary first step in making the electronic media part of the accountability chain is to increase the access of opposition groups to radio and television. Non-partisan discussions on national policy issues should be encouraged as a way to increase the knowledge of viewers and listeners and sensitize Governments to different points of view. Such measures can make government work more complicated, but they can also strengthen nation-building activities and help to achieve consensus on critical issues. However, many Governments have only a weak commitment to opening the airwaves to groups that oppose their policies.

13. *Print media.* In most developing countries, newspapers are of recent vintage. Some were started as part of freedom struggles. Others came into existence after independence. In many cases government-controlled newspapers exist alongside privately-owned publications. With a few notable exceptions, scholarly journals in such fields as economics, public administration and science and technology are rarely evident. Some are brought out by institutions established by government to undertake economic research, management development programmes or similar activities. The role of the print media although gradually increasing, remains limited to policies in terms of inputs, or to the evaluation of outputs. The role of the press as watchdog or critic of government remains embryonic.

Problems with the print media come from both sides. For example, Governments are guilty of trying to influence the news and editorial content through censorship, restricting the allocation of government advertisements and in some cases even newsprint, and the purchasing of newspapers for circulation in government offices. Governments have also devised stringent rules for the establishment of printing presses and the startup of newspapers. Some newspapers are required to deposit cash securities with Governments which can be confiscated as a disciplinary measure when the latter find it is necessary. There is little recourse for newspapers in this regard. Newspapers, on the other hand, can be irresponsible in their actions and inaccurate in their reporting. Many operating on free-market principles avoid controversial issues and rely on tabloid journalism to sell; their motivation is more to increase the quantity of newspapers sold, than to improve the quality of their news reporting. By contrast, some newspapers perceive their role as upholding the public trust through factual reporting and some analysis.

This approach often makes their long-term survival precarious. Investigative reporting is new to many journalists in developing countries. This is due partly to a scarcity of information, and partly to their desire to play safe. Most of the news they report tends to be based on hand-outs by various government agencies or public personages, and the movements and utterances of government officials are given prominence. Many newspaper columnists are retired government officials and tend to rely on familiar and safe categories in their writings.

Another problem is that journalists may be active in the same pursuits (power, prestige, profit and visibility) as other major groups in society. There are many instances of journalistic competitions in sycophancy, by the desire to be near the seat of power. Some reporters may also receive favours from different groups or use their position to obtain benefits from government agencies. This makes them cautious because if they go too far in their investigative reporting, they may face intimidation from public agencies, political parties, powerful individuals or organized groups. Where the press has been given more freedom, there have been tendencies to promote muckraking.

In such instances what passes as news is more invective, innuendo and selective information. Rarely has a story of administrative wrongdoing, for example, been followed up by sorting through all of the pertinent information and conducting an in-depth analysis of the issues. The overall picture of the press in developing countries suggests that its role as watchdog for the public interest and check on government excesses is minimal. Political leaders, administrators and the public all need more education about the ways a free press works in a democratic setting.

Political leaders need to have more courage in allowing a public review and critique of their actions. Journalists, for their part, need to be more responsible in their reporting and more responsive to the information needs of society. Finally, citizens need to be more critical of what they read in the newspapers and hear on the television and radio. More education about the ways in which the media can serve democratic societies is necessary in developing countries. Otherwise, the media cannot become a meaningful link in the public accountability process.

8.5 OPENNESS AND TRANSPARENCY IN GOVERNMENT

Closely related to the foregoing discussion is the issue of openness and transparency in the way government goes about its business. The necessity for both is readily agreed to by citizens and government officials. Many developed countries face a similar dilemma.

While open government may be the ideal, it is also recognized that this is not entirely possible in the real world. It is generally agreed that the State has the right to keep certain kinds of information secret to protect the national interest. Similarly, information on intra-administrative processes may be protected on the assumption that it enables senior administrators to speak frankly during policy formulation. Certain law-and-order issues may also have to be kept secret for national security reasons. For example, all countries ban the disclosure of official information to unauthorized persons. They all have official secret acts regulating or limiting disclosure of information relating to defence, security and foreign affairs. The difference between developed and developing countries in this regard is worth mentioning. In developed countries, the voluntary release of information happens quite frequently. Moreover, developed countries have documentation classification criteria which administrative agencies are expected to observe meticulously. They also have a system for the declassification of documents after a certain period of time.

In developing societies, the tendency is to keep most information secret. At issue is where to draw the line and how to maintain a balance when considering the release of information. The bias in developing countries is in favour of the State. Problems arise when secrecy becomes a habit in government or information is managed to convey partial or biased images. Rather than the national interest, individual or party interest becomes the dominant criterion in deciding whether to release information, or how much of it to release. The result is that citizens are unable to hold government accountable or exercise their individual rights.

Limited citizen access to non-classified information in developing countries is unfortunately all too familiar. For example, a citizen may have difficulty in getting information essential for his/her transactions with administrative agencies. Instead of government publicizing relevant information, the onus is placed on the citizen to find

his/her way around the bureaucratic maze. These often fruitless searches by individuals for information give rise to corruption and create information brokers. The latter make money simply by getting hard-to-get information citizens should be able to access at no cost.

Review Questions

1. Define the term accountability
2. Identify and explain the major types of public accountability
3. Explain the meaning and forms of management control systems operational in any name Country you know.
4. Distinguish between openness and transparency in government. How are the significant in enhancing effective service delivery?

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Chapter 9

ETHICAL STANDARDS, EFFECTIVENESS AND EFFICIENCY IN PUBLIC ADMINISTRATION



Ethics are basic standards and procedures which defines operations in the civil service. Ethical standards are of various forms, among which are the principles of efficiency and effectiveness. These standards will be discussed in this chapter. Public administrators who possess these standards are expected to possess certain qualities. These qualities will also be examined in this chapter.

- 9.1 Ethical standards in the public sector
- 9.2 Principles of public life
- 9.3 Basic normative criteria for effective and efficient public service delivery
- 9.4 Levels of ethical decision-making
- 9.5 Cooper's ethical decision-making model
- 9.6 Effectiveness and efficiency in the public service

9.1 ETHICAL STANDARDS IN THE PUBLIC SECTOR

What is ethics?

The word "ethics" has a Greek and Latin origins, respectively. Traditionally it refers to the customary values and rules of conduct (as in "cultural ethos" and "social mores"), as well as insights about what counts as human excellence and flourishing. "Ethics" and "morality" are often used interchangeably by us today. But ethics also refers to moral philosophy, i.e., a discipline of critical analysis of the meaning and justification of moral beliefs.

Ethics and morality--along with law and etiquette--are essentially normative, that is, they prescribe human behavior as obligatory, prohibited, or permissible. There's

considerable overlap between ethics and law, and ethics and etiquette. Much of the law embodies ethical principles: respect for basic rights to life, property, and the right of citizens to participate in political life. It's usually unethical to break the law. A breach of etiquette can also be unethical if it is done intentionally to offend someone simply for one's own amusement.

Ethics goes beyond etiquette, though, it include matters that nearly every human society considers significant: actions such as lying, breaking a promise or killing someone are more serious than social *faux pas*. Ethics also has to do with human character and motivation, which in many cases are irrelevant to etiquette and law. And law and etiquette can sometimes be criticized on moral grounds. In the public sector, ethics addresses the fundamental premise of a public administrator's duty as a "steward" to the public. In other words, it is the moral justification and consideration for decisions and actions made during the completion of daily duties when working to provide the general services of government and nonprofit organizations. Ethics are an accountability standard by which the public will scrutinize the work being conducted by the members of these organizations.

Decisions are based upon ethical principles, which are the perception of what the general public would view as correct. Having such a distinction ensures that public administrators are not acting on an internal set of ethical principles without first questioning whether those principles would hold to public scrutiny. It also has placed an additional burden upon public administrators regarding the conduct of their personal lives. Public sector ethics is an attempt to create a more open atmosphere within governmental operations.

Ethics must be seen as an ongoing activity and not as a status to be attained. Ethics is not just about establishing a set of rules or code of conduct but are an ongoing management process that underpins the work of government (Hondeghe, 1998:29). In the complex world of public administration, norms and values rarely provide clear-cut answers to difficult problems. Ethics should be thought of as helping to frame relevant questions about what government ought to be doing and how public administration ought to go about achieving those purposes" (Denhardt, in Hondeghe, 1998:29).

In order to have a clear understanding of the concept of ethics, the concepts "norms" and "values" need to be explained.

NORMS: Norms are standards of behaviour within the organisation which serve as a guide to all its members (Barton & Chappel, 1985:333). For example, one of the earliest norms in public administration was that of neutrality, meaning that public officials should be apolitical policy implementation functionaries rather than policy-makers. Within the context of public administration, the emphasis on norms is associated with the recommendation of certain values that are viewed as desirable by their promoters (Ferreira, 1996:143).

Van Dyke (1956:8) is of the view that, "Normative statements express conceptions of the desirable. They indicate value preferences. They concern not what is, but what ought to be, endorsing ends, purposes or norms" (Van Dyke (1956:08). There are concerns that with recruitment of personnel from the private sector, public sector norms and values need to be reinforced. Thompson (in Hondeghem, 1998:27), notes that since those who serve government come from more diverse backgrounds and begin with fewer values in common, the rules of government ethics are likely to become more important and more explicit.

VALUES: Heyns (1986:02) writes that values are basic perceptions of the relative importance of our elements of existence. These perceptions always have to do with priorities, whereas norms are the function which direct and evaluate human attitudes and actions. The common denominator of nearly all people problems is to be found in the area of values. It is widely recognised that values often differ widely from person to person and from culture to culture. The influence of values on people's thinking, acting and behaviour is underestimated. According to McMurry (1977:315), the influence of values on the individual is powerful because:

- 1) They principally determine what he/she regards as right, good, worthy, beautiful and ethical.
- 2) They provide the standards and norms by which he/she guides his/her day-to-day behaviour.
- 3) They chiefly determine his/her attitudes toward the causes and issues such as political, economic, social and industrial with which he/she comes into contact daily.

- 4) They determine which ideas, principles and concepts he can accept, assimilate, remember and transmit without distortion (McMurry, 1977:315). In addition to the above, it is accepted that individuals may temporarily or permanently discard their value systems in favour of specific goal attainment.

The importance of articulating ethics and the values that define and underpin the public service, cannot be underscored. This is seen as critical to providing both public officials and the public with a common frame of reference regarding the principles and standards to be applied and in assisting public officials to develop an appreciation of the ethical issues involved in effective and efficient public service delivery (Hondegheem, 1998:30).

What are ethics concerned with?

1. Ethics deals with the character and conduct and morals of human beings. It deals with good or bad, right or wrong behaviour; it evaluates conduct against some absolute criteria and puts negative or positive values on it (Hanekom, 1984:58). Guy (1990:06), agrees with Hanekom because he views ethics as the study of moral judgements and right and wrong conduct. Furthermore, he views ethics as different from law because it involves no formal sanctions. It is different from etiquette because it goes beyond mere social convention. It is different from religion because it makes no theological assumptions. It is different from aesthetics because it is aimed at conduct and character rather than objects. It is different from prudence because it goes beyond self-interests of others. Ethics is both a process of inquiry and code of conduct. As a code of conduct, it is like an inner eye that enables people to see the rightness or wrongness of their actions (Guy, 1990:06).
2. The ethical question is closely linked to human existence. The essence of mankind lies in the fact that he/she can reflect upon, as well as evaluate, him/herself and his/her deeds. To be in a position to evaluate, a set of evaluation criteria or values is required as yardsticks (Van der Waldt & Helmbold, 1995:157).
3. Heynes (1986:01) is of the opinion that ethics has to do with the actions of man. Consequently, it requires adjustments in the actions and attitudes of the public manager in relation to his colleagues and the public as well as in relation to himself.

According to De Villiers (1989:162), the basis of the evaluation of human behaviour is to be found in a system of values. Ethical values and integrity as a basic value as well as the rule of law are key elements of every democratic society. Public officials in their daily execution of their functions and management of public funding, dispose of discretionary competencies. These values must not only protect the citizens against arbitrary use of this public power, but also the public authority itself against any improper use of this power by its public officials. The public officials themselves must be protected against any abuse or diversion of law or authority on behalf of the public authority or its official bodies (Hondegheem, 1998:173).

4. In addition to the above, Hondegheem (1998:173), writes that ethical behaviour is essential for an effective and stable political-administrative authority as well as social and economic structures. Corruption can disturb economic competition; endanger free trade and stability on which the free market economy is based.

Esterhuyse (1989) writes that to make this evaluation possible, specific criteria are required. These evaluation criteria can be utilised as yardsticks and have a regulatory and evaluatory function. Aspects such as quality of life, legitimacy of public institutions and the management style of the public sector may be derived from the moral-ethical. The moral-ethical culture which prevails in the public sector is dependent on the values of society. A society which does not, or is not allowed to express moral protest in public can cause political office-bearers to have a low sense of responsibility and integrity. Consequently, the possibility of corruption and maladministration is increased (Esterhuyse, 1989).

9.2 PRINCIPLES OF PUBLIC LIFE

An example of the importance attached to the above-mentioned ethical principles is found in the "Seven Principles of Public Life" by the Nolan Committee in the United Kingdom. The principles (below), which are set out for the benefit of all who serve the public provide a valuable framework for evaluating recent experience and consider the future.

1. **Selflessness:** Public officials should take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family or their friends

2. Integrity: Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in the performance of their official duties.
3. Objectivity: In carrying out public business, including making public appointments, awarding contracts or recommending individuals for rewards and benefits, holders of public office should make their choices on merit.
4. Accountability: Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.
5. Openness: Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest demands it.
6. Honesty: Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.
7. Leadership: Holders of public office should promote and support these principles by leadership and example (*The Nolan Committee's seven Principles of Public Life* (Chapman, 2000:230-231).

9.3 BASIC NORMATIVE CRITERIA FOR EFFECTIVE AND EFFICIENT PUBLIC SERVICE DELIVERY

From the literature it is inferred that specific criteria derived from the body of knowledge on general normative guidelines pertaining to public service delivery is that a universally acceptable code of conduct is a necessary component for public officials to perform their activities ethically. In the table below, Kishore & Derek (2005) noted that normative criteria are proposed as being suitable as a base for effective and efficient public service delivery to its populace on the local sphere. Normative criteria for effective and efficient public service delivery are based upon values, attitudes and aptitudes that can be measured or evaluated.

Values	Attitudes	Aptitudes
*Integrity	*Transparency	*Knowledge
*Transparency	*Responsibility	*Acceptance & comprehension of the goals & functioning of the administrative institutions
*Publicity	*Quality awareness	*Leadership qualities
*Accountability	*Legibility	*Communication skills
*Equity	*Clarity	*Social skills
*Non-discrimination	*Simplicity	*Independence
*Quality	*Inquisitiveness	*Ability to use experience
*Professionalism	*Adaptability	*Ability to further education & training
*Reliability	*Listening ability	*Analytical capability
*General interest	*Involvement	*Sense of renewal
	*Speed	
	*Effectiveness	
	*Efficiency	

The above-mentioned criteria constitute a point of departure from the implementation and maintenance to an acceptable, effective and efficient public service delivery.

9.4 LEVELS OF ETHICAL DECISION-MAKING

Cooper (1990) is an often-cited author in the field of public administration ethics. His book, *The Responsible Administrator*, is an in-depth attempt to bridge the philosophical points of ethics and the complex workings of public administration. While not revolutionary, his work has become a focal point around which ethical decision-making in the public sector are made. In *The Responsible Administrator*, he states that public administrators make decisions daily according to a distinctive four-level process. The four levels are:

- a. The expressive level: At this stage, a person responds to a situation with spontaneous, unreflective expressions of emotion ... which neither invite a reply nor attempt to persuade others.
- b. The level of moral rules: This is the first level at which we begin to question actions and begin to look for alternatives and consequences. The responses at this level are often built upon moral rules we acquire through the socialization process from our families, religious affiliations, education and personal

- experiences. Decisions on how to handle the situation are then whittled down based on what we feel is the most appropriate action within our own personal moral bank.
- c. The level of ethical analysis: There are times when a personal moral code will seem inadequate for the situation, or that the alternatives and consequences do not feel right. When this occurs, a person has entered this level and begins to examine their ethical principles, or statements concerning the conduct or state of being that is required for the fulfillment of a value; it explicitly links a value with a general mode of action. Particularly, at this level, one begins to reexamine their personal values, and may eventually disagree with actions to such an extent that they will become "whistleblowers."
 - d. The postethical level: At this level, questions center on one's view of the world and human nature, how we know anything to be true, and the meaning of life. Here there is a philosophical examination as to why ethical standards are important and relevant to the individual.

These levels are progressive and as an individual begins to move from level to the next, he/she will begin to question increasingly more fundamental assumptions upon which the decision-making process is built. It is important to understand the level of thinking upon which a decision is made to ensure that a decision has been tested for strength and a public sense of validity.

9.5 COOPER'S ETHICAL DECISION-MAKING MODEL

Cooper (1990) devised a method of moving from an ethical problem to appropriate alternatives and consequences. This model follows a sequential, rational approach to ethical decision-making. This method utilizes description and prescription, where public administrators begin to describe to themselves and others an objective state of affairs, and then begin to suggest steps to change the situation.

The steps to this process are as follows:

- i. The descriptive task: A problem is often presented in a fragmented, distorted fashion coupled with judgmental language and inflections. Cooper contends that the administrator is in a position to have more complete knowledge when

an issue is brought forward. Additionally, an administrator should attempt to describe questionable situations void of personal feelings (moving beyond the expressive level).

- ii. **Defining the ethical issue:** Often the most misinterpreted step, with defining the ethical issue, an administrator is not charged with defining the problem. Instead, there is an examination of what is the underlying ethical value that is being addressed. Often, there is a decision made because of a problem, without examination of the ethical issue. This is damaging to the process of decision-making because it harms one's ethical analysis skills and ethical identity. This is true because situations can differ, and practical decision-making may lead to inconsistencies without an ethical base.
- iii. **Identifying alternative courses of action:** Using a rationalistic approach, an administrator, with as complete knowledge of the situation as possible and an assessment of the ethical issue at hand, identifies all the plausible courses of action in response to the situation.
 - i. **Projecting the possible consequences:** In this stage, all positive and negative results of each alternative are examined. When discovering the possible positive and negative outcomes of an action, administrators use their moral imagination, or the imagined enactment of how alternatives will play out. Ideally, as more consequences are enumerated, the ethical decision-making process will be strengthened.
 - ii. **Finding a fit:** The appropriate solution or alternative is a balance of four elements:
 - a. *Moral Rules:* Those basic standards that can be attributed to the alternatives and their consequences.
 - b. *Rehearsal of Defenses:* The assessment and alignment of alternatives with the accepted norms of the wider professional organization and political communities of which we are a part.
 - c. *Ethical Principles:* In assessing the moral rules, it may become clear that certain moral values are competitive. Therefore, it becomes difficult to say that an alternative which support social justice is more correct than the security of an individual or the organization. Here, an administrator assesses alternatives and their moral values under the light of the level of ethical analysis - deciding how

the hierarchy of moral rules is structured and ultimately influencing the final decision.

- d. Anticipatory Self-Appraisal:* Simply put, this analysis of alternatives requires an internal reflection of whether an administrator feels that an alternative fits within what he or she perceives to be their own personality. This is an examination of whether an alternative will meet our need to feel satisfied with the decision.

By following Cooper's model of ethical decision-making, a public administrator is able to create a more concrete process by which to assess individual steps that were taken in reaching a decision. This ensures that at each point, an effort was made by the administrator to uphold ethical principles and that fairness and equality were the standard. An administrator's decision must be able to withstand scrutiny to ensure that there is a continued trust and respect for accountability among employees and the public in the administrator's ability to conduct his/her duties.

Some specific obligations of public officials:

- a) Public officials must use impartial judgment in the course of service delivery.
- b) Must strive to avoid conflicts of interest that could undermine his objective judgment.
- c) Must avoid the show of favoritism toward family and friends in hiring or employment decision.
- d) Must not solicit or accept bribes from people seeking to influence his official decisions.
- e) Must not invest in property that could be affected by his official decisions.

9.6 EFFECTIVENESS AND EFFICIENCY IN THE PUBLIC SERVICE

Effectiveness and efficiency are both commonly used management terms. Yet, while they sound similar and start with the same letters, they both mean different things.

What is effectiveness?

Effectiveness is generally used to refer to the achievement of some policy goal if possible at minimum cost but without doubt successfully. Put differently, effectiveness is *how best an organization is able to meet its goal regardless of cost involved.*

Adebayo (2001) explained that the term in contrast to efficiency, may be looked at as the potency or ability to achieve desired results. The concern is less of economy as capacity to deliver. For example, the Guardian Newspaper can be said to be effective if it is able to meet its production target in a given period irrespective of the money or cost involved by so doing. A police party will be considered effective if even at great cost, it arrests a situation that could jeopardize peace and order or contain crime wave at any given time if this is the objective or target set for it. Thus notwithstanding the cost, a given agency may be adjudged effective, if at the end of the day, it achieves or realizes the objectives of goals or target etc.

The central focus of effectiveness is to get a task accomplished, not minding the resources employed in the process. As long as the task is accomplished, the individual or organization involved is said to be effective.

What is efficiency?

The Oxford English dictionary defines 'efficiency' as fitness or power to accomplish, or success in accomplishing, the purpose intended; adequate power effectiveness, efficiency'. In the Encyclopedia of Social Sciences, 'efficiency' is described as follows:

Efficiency in the sense of a ratio between input and output, effort and results, expenditure and income, cost and the resulting pleasure, is a relatively recent term in this specific sense, it became current in engineering only during the latter half of the 19th century and in business and economics only since the beginning of the 20th century.

In its economic sense, which applies within the framework of our discussion in public administration, efficiency refers to an input-output relationship; that is, maximum work achieved for minimum input of energy or resources. It is a notion of 'optimization' whereby maximum satisfaction is obtained for given outlay of resources. The emphasis is largely on economy in the use of resources for goal realization. We can therefore, in this regard define efficiency in terms of the ratio of resources input and output in any given organization, engaged in productivity. This means, maximum work achieved for a minimum input of energy, or resources. It is a notion of optimization, whereby maximum satisfaction is obtained for a given outlay of resources. Efficiency in public

service can be seen as the optimum application of human and material resources aimed at achieving organizational goal.

Nyong (2003) explains that, the problem which arises in thinking about efficiency in the public service is that it is far more complicated to value and determine than in commercial organizations where the criterion of efficiency is largely guided by the profit objective. In public administration, the value which public services seek to realize is seldom expressible in concrete terms of quantification. In spite of this difficulty, the public administrator must still apply the criterion of efficiency to his work generally the resources, which is, the inputs available to the public administrator, are strictly limited, and are made available to him after much pruning. As Herbert Simon has observed, 'it is not his function to establish a utopia; it is his function to maximize the attainment of governmental objectives by the efficient employment of limited resources that are available to him.

Everyone is agreed that the public service should be efficient as well as effective. In fact, many people would like to see the public service adopt the principles and practices of business management which are regarded as far more efficient than those of the public service. No doubt, it is now generally recognized that public administration, in order to serve the needs of modern times, must adopt some of the modern management principles and techniques (Nyong, 2003).

Unlike effectiveness, the central focus of efficiency is the determination of the economy in use of resources for performing a task or achieving the set goal. For a task to be efficient, the amount of resources employed must be considered. Given our example above about the Guardian Newspaper, the organization can be said to be effective if it is not just able to meet its production target in a given period, but considers the amount of resources, especially money and time used in the achievement of its production target. In this case, for it to be effective, it must have used less time with less resource, but was still able to meet intended target.

In our second example above, a police party will be considered efficient, not just effective if within a minimal cost and within the shortest possible time frame, it arrests a situation that could jeopardize peace and order or contain crime wave at any given time.

The resources employed, again, especially time and money is considered important. It is about achieving the same result, or even better result with lesser resources.

Differences between efficiency and effectiveness

Both the terms *efficient* and *effective* refer to the ability of a person, enterprise, or process to perform a function well. An efficient person has high efficiency while an effective person has high effectiveness. However there is a small but very significant difference between these two measures of performance.

- i. Efficiency refers to the economy in use of resources for performing a task, and effectiveness refers to the total output generated. Efficiency is all about utilizing resources; saving time, money or effort. Effectiveness is all about getting the job done.
- ii. Efficiency refers to doing things in a right manner. Scientifically, it is defined as the output to input ratio and focuses on getting the maximum output with minimum resources. Effectiveness, on the other hand, refers to doing the right things. It constantly measures if the actual output meets the desired output. Since efficiency is all about focusing on the process, importance is given to the 'means' of doing things whereas effectiveness focuses on achieving the 'end' goal.
- iii. Efficiency is concerned with the present state or the 'status quo'. Thinking about the future and adding or eliminating any resources might disturb the current state of efficiency. Effectiveness, on the other hand, believes in meeting the end goal and therefore takes into consideration any variables that may change in the future.
- iv. In order to be efficient time and again, discipline and rigor is required. This can build inflexibility into the system. Effectiveness, on the other hand, keeps the long term strategy in mind and is thus more adaptable to the changing environment.

In public administration, it is important to achieve high efficiency as well as effectiveness. The relative emphasis to be given to efficiency and effectiveness will depend from situation to situation.

In several cases, the challenges of inefficiency in public administration is owed to some factors, some of which include,

1. Faulty recruitment of employees in the public service. Recruitment and job placement in the civil service is supposed to be one merit. Within the contemporary society of faulty recruitment based on affiliations, money and influence, performance is greatly hindered
2. Inadequate training and development of employees to update skills and competence. Skill development is supposed to be an often exercise to improve skills and capacity of civil servants. Lack of it or inadequacy will affect competence and job delivery.
3. Faulty, frequent and unguided postings of employees from one department to ministry to another.
4. Inherent problem of corruption interferes with the ethics of public procurement and service delivery. No gain to say much here, corruption; falsification of records, false declaration of age, embezzlement of public funds, absence from work and other practices interferes with effective and efficient service delivery in the public service.
5. Lack of effective institutional capacity to enhance public accountability on public servants. Accountability is one of the key principles of effective public administration, absence of it implies, ineffective and weak performance. The problem often here is that of weak institutional framework to enhance public accountability.
6. Incompetent superior; this affects institutional operations in skills, directives, supervision of projects, etc. by this, the ability of the junior employee to learn from his superior is hindered, he/she grows up with same incompetence or even worse. This affects the level of performance.
7. Lack of data, defined and clear objectives. Among other variables, data is the strength of any administrative system. Data helps in planning and assessment of impact or outcome. Of course, absence of data, goals or objectives forming target for public officers to pursue will lead to no meaningful achievement.
8. Conflict between administrators and professional bodies and sometimes, with the political class. Most times, there is undue interference by the politicians in core responsibilities of the career civil servant, and at other times, the politicians who are the boss are not bound to accept or implement advice given by professional or career civil servants. This equally affects job performance.

The way out of the above problems is having a careful and well thought out measures to address the indentified and other challenges that may be identified in the future. Civil servants must strive to attain effectiveness and efficiency in the course of their duty. The civil service is the engine of government administration. An efficient civil service is therefore imperative in actualizing these goals. The under listed will be instrumental in enhancing a viable civil service in the country. There are,

- i. the determination of appropriate work structures that will lead to efficient departmentalization,
- ii. the installation of an effective Human Resource Acquisition Process for the Service and.
- iii. the installation of an efficient Performance Measurement system for upward mobility and promotion in the service.
- iv. efficient cooperation between the Civil Service Commission, the Head of Service and the Secretary to Government must exist in order to synchronize at all times the programmes of Government and the harmonization of reform programmes, etc.

9.7 QUALITIES OF AN ADMINISTRATOR

Public administrators are unique class of people in the society and they possess certain unique qualities in the performance of their duties. These qualities, Adebayo (2001) identified as follows,

1. Tact

Demonstration of tact is one of the basis qualities of an administrator and this must be manifested in daily activities. Tact is sense of modesty, the ability to nepolite and careful about what one says or does, in such a way that it is not embarrassing to others. A public administrator must be tactful in dealing with his political boss- the President or Governor, Minister or Commissioner, as the case may be. An administrator must be efficient and brilliant and yet there may be clamor for him to be moved somewhere else on the grounds that he usually puts up the backs of those working with him. When dealing with political bosses and members of the people, a top administrator should avoid being arrogant, pompous, or pedantic. Equally, under no circumstance should an administrator have a confrontation with his/her political boss. It is the essence

of tact to avoid open confrontation with his/her political boss and to seek to persuade him of accepting opinions that may be suggested in the course of public activities or official responsibilities.

Again, in his sense of tact, he has to understand the prevailing social and psychological disposition of his boss in the course of the discharge of their duties. It is tactless to introduce sensible issues when his boss is angry. He has to approach issues with his boss in the most convenient moments.

Equally, it is tactless and a sign of immaturity for an administrator to wish to display his wealth of experience or knowledge or the superiority of his education, and show up his political boss in a poor light. A sense of modesty and a habit of courtesy, both in styles of writing and in address, are indispensable assets for a top administrator who wishes to carry along with him both his boss and his colleagues in the fulfillment of the programme and goal of the department.

2. Modesty

To be modest is to be unwilling to talk proudly about one's abilities and achievement. Modesty is an element of tact. It is asking for resentment and antagonism for an administrator to correct or inform his political boss in public, in a manner which exposes the boss to a suspicion or ignorance or outright blunder. Administrators have a duty to brief their bosses, both when they are alone together and when they are in public as some meeting or conference. Such briefings especially the ones carried out in the public should be done as unconstructively as possible. Ostentatious movements and whisperings on the part of an administrator when briefing his Minister are often a mark of immaturity. In all manner of public appearance, a public administrator must be modest.

3. Sense of judgment

This is the third quality required of an administrator while in the discharge of his public responsibility. Daily, an administrator is engaged in assignments which require evaluation, weighing of evidence, assessing degrees of urgency

on various public issues, and assessing the mood and temper of those sections of the public which are clients of the departments, and which the department has to consult or take into consideration before arriving at decision and formulating policies. The administrator's accuracy and sense of judgment in these matters is of utmost importance. Wrong sense of judgment will mean wrong decisions and faulty policies. It is therefore important that an administrator develops a sound sense of judgment, this will manifest not just in his performance, but in the advice of his boss (politicians) in making administrative decisions, sound decisions.

4. Foresight

This is the ability to decide what is likely to happen and to consider this planning for the future. It is expected that an administrator should be a prophet and a seer. He should, however, be able to forecast based on his knowledge and experience the probably consequences of measures proposed for public policy. He should, in addition, be able to think of likely developments that may arise over the next year or two. From his knowledge and accumulated experience, he should have the skill to deduce likely developments, given a set of factors and circumstances. It is this aptitude that will enable him to advice accurately and effectively on the formulation of policy.

5. Ability to delegate

Delegation is an approach to get things done, in conjunction with other employees. Delegation is often viewed as a major means of influence and therefore is categorized as an activity in leading (rather than controlling/coordinating). Delegation generally includes assigning responsibility to an employee to complete a task, granting the employee sufficient authority to gain the resources to do the task and letting the employee decide how that task will be carried out. Typically, the person assigning the task shares accountability with the employee for ensuring the task is completed.

Delegation of responsibilities is an important quality of an administrator, especially, those who are in the superior echelon. They should be able to delegate work to their subordinates. This makes for faster service delivery and effective job performance. It is the mark of poor administration for a top

administrator to seek to handle by himself all the essential assignments in the department. Delegation gives room for flexibility and for progress in the organization.

6. Sympathy and consideration

A good administrator should have sympathy and consideration, both for his subordinates and for members of the public. There should be in him some sense of human kindness, especially while relating with his subordinates. He can be firm and strict yet sympathetic and considerate. A good administrator inspires his subordinates to give their best. He praises and encourages their modest efforts and when vetting their work he does so with sympathy and consideration. The aim is not to hurt their feelings or destroy their initiatives and self confidence, but to so correct their work that they will feel the impact of a superior mind and thereby benefit from his correction and be inspired by his encouragement.

7. Flexibility and Catholicity

As another basic and fundamental quality, an administrator should possess a flexible mind, a catholicity of views and interests, a mind capable of comprehending enough about every conceivable subject and inter-relating them in clear and logical consequence. In this particular field of specialization; he is often so enthusiastic about his particular field of specialization; he is often so enthusiastic about his particular field that he does not feel it is his concern to recognize the political, financial, and practical limitations of a given situation. The administrator on the other hand must possess the quality of thinking briefly and rapidly about many subjects and their interconnections, of combining political, social, and technical factors into specific judgment for the consideration of policy makers.

8. Relaxation and Sleep

These are two other most essential qualities an administrator must possess. Relaxation and sleep are of extreme significance for effective job performance. A good night rest is a precursor for an effective and a healthy work day. A relaxed

mind is a healthy mind, and healthy minds reasons accurately both in their sense of judgment and in the execution of administrative task.

9. Decent way of dressing
This may appear unimportant, but it is one of the most important qualities of a good administrator. Decent dressing, gives an administrator a sense of confidence. A neat and decent way of dressing, not loud but trim and respectable; a dignified and calculated manner of speech; all these form part of the indispensable qualities of an administrator.

In conclusion, it is important to state that these attributes or qualities can be learnt and acquired by any aspiring and young administrator. Formal education is the key. Personnel training and development are basics in improving skills and administrative qualities. Self development through reading and learning from senior administrators who have years of practical experiences is also important in attaining these qualities. There are in no small measure significant in enhancing qualitative administrator.

Review Questions

1. Underscore the importance of ethics in public service.
2. What are the basic ethical standards required in the public sector?
3. There are basic normative criteria for effective and efficient public service delivery. Identify and explain their importance.
4. Mention the various levels of ethical decision-making. Using Cooper's ethical decision-making model, explain the importance in ethics in effective decision making in the public service.
5. Clearly distinguish between effectiveness and efficiency in the public service. Using good examples show that both are necessary in public service performance.

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JOB MOTIVATION IN PUBLIC ADMINISTRATION



Employee's motivation is one of the major determinants of job performance in any administrative set up, either public or private. It is therefore important to learn and understand the factors that determine positive motivation in the workplace. The size of the organization is irrelevant: whether one is trying to get the best out of fifty of employed staff or just one, everyone needs some form of motivation. Motivation is something that is approached differently by different businesses and the responsibility of its integration lies with all immediate supervisors of staff. The aim of this chapter is to discuss the meaning, understand the importance and effects of motivation on job performance and assess some theories of job motivation.

- 10.1 Meaning of motivation
- 10.2 The importance employee motivation
- 10.3 Characteristics of a motivating job
- 10.4 Common methods of job motivation
- 10.5 Theories of job motivation

10.1 MEANING OF MOTIVATION

Many contemporary authors have defined the concept of motivation. Motivation has been defined as: the psychological process that gives behaviour purpose and direction (Kreitner, 1995); a predisposition to behave in a purposive manner to achieve specific, unmet needs (Buford, Bedeian, & Lindner, 1995); an internal drive to satisfy an unsatisfied need (Higgins, 1994); and the will to achieve (Bedeian, 1993). For this book, motivation is operationally defined as the inner force that drives individuals to accomplish personal and organizational goals. Motivation is the force that makes us do things: this is a result of our individual needs being satisfied (or met) so that we have inspiration to complete the task.

Definition of Key Terms

Following are several key terms that we believe are very important in order to fully comprehend the theories and approaches behind employee motivation.

Motivation - derives from the Latin word *movere*, meaning, 'to move'.

1. The internal condition that activates behavior and gives it direction.
2. The psychological process that gives behavior purpose and direction.
3. The set of forces that causes people to engage in one behavior rather than some alternative behavior.

Needs - something that is necessary for humans to live a healthy life. It can be objective and physical (food and water), or subjective and psychological (need for self-esteem).

Satisfaction - The good feeling that you have when you have achieved something or when something that you wanted to happen does happen.

Dissatisfaction - The feeling that you are not pleased or satisfied.

Incentives - Any factor (financial or non-financial) that enables or motivates a particular course of action.

Job rotation - periodically move people from one specialized job to another for neutralizing job boredom.

Job enlargement - Combining two or more specialized tasks into a single job to make jobs more challenging.

Job enrichment - Redesign a job to increase its motivating potential by introducing planning and decision-making responsibility.

Extrinsic reward - external outcomes granted to someone by another person or by organizational system, such as money, promotions etc.

Intrinsic reward - derives internally from individuals that can be experienced through their work, such as the feelings of competency, sense of accomplishment etc.

10.2 THE IMPORTANCE OF EMPLOYEE'S MOTIVATION

Why do we need motivated employees?

1. The first thing is simple, survival (Smith, 1994). Motivated employees are needed in our rapidly changing workplaces for the survival of that organization. Motivated employees help organizations survive.
2. Motivated employees are more productive. To be effective, managers need to understand what motivates employees within the context of the roles they perform. Of all the functions a manager performs, motivating employees is arguably the most complex. This is due, in part, to the fact that what motivates employees changes constantly (Bowen & Radhakrishna, 1991). For example, research suggests that as employees' income increases, money becomes less of a motivator (Kovach, 1987). Also, as employees get older, interesting work becomes more of a motivator.
3. Motivation is the key to improve performance. Performance is considered to be a function of ability and motivation
4. Motivating at the right time and for the right reasons puts the employee in 5th gear. They feel good and that pat on their back boosts more confidence making them deliver what was impossible some time ago. In other words their productivity increases. This is an underlying reason in the importance of motivating employees.
5. Motivation leads to waking up with a fresh mind and a feeling to come to office every day. Motivation leads to working effortlessly notwithstanding the hours of work schedule.
6. Motivation leads to neutralising a heated situation as the motivated employee knows that an argument will lead to nowhere. Basically motivation means making a person hold his head on his shoulders.

10.3 CHARACTERISTICS OF A MOTIVATING JOB

On the academic front, Turner and Lawrence suggested that there are three basic characteristics of a "motivating" job:

1. It must allow a worker to feel personally responsible for a meaningful portion of the work accomplished. An employee must feel ownership of and connection

with the work he or she performs. Even in team situations, a successful effort will foster awareness in an individual that his or her contributions were important in accomplishing the group's tasks.

2. It must provide outcomes which have intrinsic meaning to the individual. Effective work that does not lead a worker to feel that his or her efforts matter will not be maintained. The outcome of an employee's work must have value to himself or herself and to others in the organization.
3. It must provide the employee with feedback about his or her accomplishments. A constructive, believable critique of the work performed is crucial to a worker's motivation to improve.

10.4 COMMON METHODS OF JOB MOTIVATION

There are as many different methods of motivating employees today as there are companies operating in the global business environment. Still, some strategies are prevalent across all organizations striving to improve employee motivation. The best employee motivation efforts will focus on what the employees deem to be important. It may be that employees within the same department of the same organization will have different motivators. Many organizations today find that flexibility in job design and reward systems has resulted in employees' increased longevity with the organization, improved productivity, and better morale.

1. **Empowerment:** Giving employees more responsibility and decision-making authority increases their realm of control over the tasks for which they are held responsible and better equips them to carry out those tasks. As a result, feelings of frustration arising from being held accountable for something one does not have the resources to carry out are diminished. Energy is diverted from self-preservation to improved task accomplishment.
2. **Creativity and innovation:** In most organizations, employees with creative ideas do not express them to management or superiors for fear that their input will be ignored or ridiculed. This de-motivates such junior staff. power to create motivates employees and benefits the organization in having a more flexible work force, using more wisely the experience of its employees, and increasing the exchange of ideas and information among employees and departments.

These improvements also create an openness to change that can give a company the ability to respond quickly to market changes and sustain a first mover advantage in the marketplace.

3. **Learning:** If employees are given the tools and the opportunities to accomplish more, most will take on the challenge. Organizations can motivate employees to achieve more by committing to perpetual enhancement of employee skills. Professional, accreditation and licensing programs for employees are an increasingly popular and effective way to bring about growth in employee knowledge and motivation. Often, these programs improve employees' attitudes toward organizational task.
4. **Money and Motivation:** 'No one works for free, nor should they'. Pursuing money with hard work to provide security and comfort for oneself and their family is not the same pursuing money with a negative motive. Obviously, employees want to earn fair wages and salaries, and employers want them to know this is what they are getting for their hard work. Unsurprisingly, this all leads to the fact that employees and employers would all view money as the fundamental incentive for satisfactory job performance.

Smith (1994) pointed out two general suggestions that can be provided to managers:

1. *Financial incentives are very important but their effectiveness also depends on organizational conditions.* Differences in organizational conditions contribute to possibility and effectiveness of various monetary incentives. Therefore, to ensure the success the implementation of any changes to existing incentives plans, companies are recommended to study those environment conditions.
2. *Group incentive systems can also be very effective in private sector settings.* Team-based or small-group incentives are described as rewards for individuals' hard work as a team. In general, its effectiveness depends on the characteristics of its reward system, the organization, the team and the individual team members. Research suggests that equally divided small-group incentives maintain high level of productivity.

If, as acknowledged by many scholars and theorists, money is not the single most important motivation factor, what are the other types of motivation? Our next sections attempt to explain the most common types of motivation that good managers can take into account.

5. **Motivation through Job Design:** Considering the fact that the average adult spends half of their waking lifetime at work, to effectively motivate them no longer relies on the importance of money or other material objects. As jobs are the central feature of 'modern existence', feelings of having a challenging and interesting work can attach people to their jobs whereas a boring and tedious job, on the other hand, can become a serious obstacle to motivating people, not to mention the effect it has on an individual's physical and mental health. This is when Job design comes in to deepen a good manager's understanding and persuade them to adopt different approaches of dealing with employee mediation rather than the typical approach of motivating people through financial means.

There are two main strategies a manager can take to motivate employees:

Strategy one: Fitting people to jobs

To avoid continual dissatisfaction and reinforce motivation, three alternatives with proven track records include realistic job previews, job rotation, and limited exposure, each of which explains how a manager could fit the right people to the right jobs.

a. *Realistic Job Previews:* Managers commonly make unrealistically high expectations in recruits to persuade them into accepting a position. Dissatisfaction often appears in this kind of circumstances when high expectations of the jobs are brought down to earth by terrible or boring work. Realistic job previews - giving out honest information of what works involve in the job - have been useful in this kind of situation. Research has been done on two groups of telephone operators whose jobs are ultimately repetitive and boring. By giving out realistic job review film to the first group of telephone operators before getting hired, they actually had fewer thoughts of resigning and in contrast, another telephone operators group was given the "good news only" job review film before they got hired was found to have a higher thought of resigning from their jobs. This would prove that realistic job previews could be useful in reducing staff turnover.

b. *Job Rotation:* Job rotation is an alternative to eliminating job boredom. It refers to the action of periodically moving people from one specialized job to another. It can help neutralizing the boredom barrier in highly specialized jobs, but of course, it should be noted that balance is needed to achieve its ultimate effects. Frequency of rotating jobs cannot be too high or too low or it will lead to unsatisfactory outcomes instead.

C. Limited Exposure: Another way to deal with a tedious job is to limit the individual's exposure to it. This technique is called 'contingent time off' (CTO), it is about establishing a challenging yet fair daily performance standard, and letting employees go home if standard is met. CTO plan was implemented in a large manufacturing plant where employees were producing about 160 units a day with 10 percent rejects: "...if the group produced at 200 units with three additional good units for each defective unit, then they could leave the work site for the rest of the day. Within a week of implementing this CTO intervention, the group was producing 200+ units with an average of 1.5 percent rejects. These employees, who had formerly put in an 8-hour day, were now working an average of 6.5 hours per day and importantly, they increased their performance by 25 percent." Some employees find the CTO plan extremely motivating (Maslow, 1943).

Strategy two: Fitting jobs to people

This second strategy is for managers to consider changing the job itself instead of the people. Two techniques are provided in this field: Job Enlargement and Job Enrichment.

a. Job Enlargement: Job enlargement is the process of combining two or more specialized tasks in the workflow sequence into a single job. For instance, a clerk working in an insurance claims department whose job is normally to type only the client's name and address on the claim form may be asked to add in works of typing in the claim description and disposition. A moderate degree of complexity and freshness can be introduced in this manner. However, critics claim that having two or more typically boring tasks do not necessarily help making a job challenging. Besides, job enlargement has as well been criticized by organized labor that it is a tricky tactic for adding more work in getting the same amount of salary. For one condition, if pay and performance are kept in balance, boredom barrier can be reduced a bit by job enlargement.

B. Job Enrichment: In general terms, job enrichment is to redesign a job to increase its motivating potential, in other words, it is to increase the challenge of one's work. Unlike job enlargement, this is about building more complexity into jobs by introducing planning and decision-making responsibility that is normally carried out at higher levels.

According to experts, jobs can be enriched by upgrading the five core dimensions of work:

- i. **Skill variety:** The degree to which jobs are completed with a variety of different activities in the use of one's different skills and talents.
- ii. **Task identity:** The degree to which a job is done from beginning to end with a visible outcome.
- iii. **Task significance:** The degree to which the jobs involve significant impact on other people whether they are from the organization or the world at large.
- iv. **Autonomy:** The degrees to which the jobs provide significant freedom, independence, and discretion to the individual in completing their work by letting them schedule the work and determine the procedures to be used.
- v. **Job feedback:** The degree to which clear and direct feedback is provided to the individual when completing their work activities.

Note that, however, not all employees will respond positively to enriched jobs. Personal traits and motives influence the connection between core job characteristics and desired outcomes. Only those who have necessary knowledge and skills plus the desire for personal growth can be successfully motivated by enriched work. Job enrichment can effectively work when it is carefully planned, when management is committed to its success, and when employees truly desire additional challenge to their jobs.

6. **Motivation through Rewards:** Employees, or volunteers who donate their time and efforts for good causes, expect to receive rewards of some sort for their contributions. Managers have found that rewards play a significant role in motivating employees to work harder and longer. This section, therefore, attempts to identify the numerous types for rewards that can be administered by managers.

There are two types of rewards: Extrinsic and Intrinsic. Extrinsic rewards are external outcomes granted to someone by others, such as money, employee benefits, promotions, recognition, status symbols, and praise. In other words, this kind of reward is provided by another person or by organizational system to individuals.

In contrast, intrinsic reward derives internally from individuals and can be experienced through their work, such as the feelings of competency, sense of accomplishment, personal development and self-esteem. The importance of

being self-administered offers great advantages and power of "motivating from within". As a 50-year-old Steve Schifer, who works at a small copper kettle manufacturer in northern Ohio, once said, 'It gets in your blood and you can't get rid of it, it's something you can create with your hands and no one else can'.

There are four ways in which extrinsic rewards can be administered in order to improve job performance and efficiency.

- Reward must satisfy individual needs

Motivation is an unlikely outcome if the reward does not satisfy individual needs. Since different people have different needs, what they expect to be rewarded from their work is also different. Some people tend to focus more on high wages, while others would prefer to be promoted to a higher position in the organization.

- One must believe that effort will lead to reward

Employees tend to work harder if they believe their efforts will lead to reward. According to the expectancy theory, an employee will not endeavor for a reward if they perceive it as unattainable. For example, a company has promised to pay for the leading salesperson to go on a trip for two to Hawaii. This will only prompt those who feel they have a good chance of winning it to work hard and try to sell as many of their products as possible. Those who believe the reward is highly unlikely to achieve will not be motivated to try any harder.

- Rewards must be equitable

Reward must be fair and equitable. For instance, if the reward is a bonus payment of \$100, so each member, considering other things equal, should be rewarded with the same amount of money. In contrast, inequity will lead to jealousy and dissatisfaction in work.

- Rewards must be linked to performance

The manager can increase staff motivation by providing rewards to those who 'give that little extra' hard work. Schemes that can be used to reward employee based on their performance include profit sharing, annual bonus, and stock purchase.

6. Motivation through Quality-of-work-life innovations: One of the world authorities on this subject has once described Quality-of-work life (QWL) as "a process by which an organization attempts to unlock the creative potential of its people by involving them in decisions affecting their work lives." In other words, QWL

programmes is an interpersonal connection between employees and the organization; it touches every aspect of modern work life. Three main categories of QWL program are flexible work schedules, participative management, and workplace democracy. The common characteristic of these three categories is that they give employees a degree of control over their own work lives, or to say that every step and decision they make does not only affect the company but also themselves, which leads to another kind of employee motivation.

a. Flexible Work Schedules

The standardized and normal work life starts from 8.am to 5.pm, 40 hours a week; things started to be different when Flexible work schedules were introduced. Flexitime is a work-scheduling plan that offers employees the chance to determine their own arrival and departure times within specified limits. All employees must be present during a fixed time. Supposed an eight-hour day is required, the early bird can choose to arrive at 7.am, take a half an hour lunch break, and leave work at 3.30.pm, on the other hand, people who like to come late can decide to come in at 9.am and leave at 5.30.pm.

Flexible work schedules can be introduced in several types, such as compressed workweeks (40 hours in less than 5 days), permanent part time (less than 40-hour workweeks), and job sharing (corresponding schedule that allows two or more part timers to share a single full-time job). For all these years, employees have been working under the standard of the 40-hour, five days workweek. These flexible work schedules represent a significant adjustment to individual needs and circumstances.

b. Participative Management

By years of research and implementation, management scholars have tried hard to determine which part of management should be appropriate for employees to participate in, and fortunately, one scholar came up with the final answer of the four key areas of participative management. Employees are allowed to participate in (1) setting goals, (2) making decisions, (3) solving problems, and (4) designing and implementing organizational changes. Employee motivation and performance are said to have significant improvement via personally involved in one or more of the management areas. Participative management connects employees to their companies, making them more dedicated to their jobs.

To achieve the ultimate effect of participative management, some barriers are needed to overcome:

- Every level of management may resist employee participation because they do not believe in its underlying philosophy.
- To believe that its short-run costs outweigh its long-term benefits can end this program from the start.
- Fear that participative management might threaten the authority and power over some part of management.
- Managers who lack experience with consensual decision-making might fight the process.

Participative management is more than just a new motivation method, it involves great planning and a good background work is often needed to make sure that supportive climate exists.

7. Workplace democracy: Generally, workplace democracy covers all efforts to increase employee self-determination. This could be achieved through providing stocks and shares to employees. Letting the employees own part of the company's stock does not necessarily mean that they can take control over the company, but as stockholders, employees will be more dedicated to their work to increase the company's profitability. The harder they work, the greater their stock dividends will be. Another way would be to ask employees to manage the company. However, this concept has raised a lot of questions from scholars and managers and is highly debatable.

10.5 THEORIES OF JOB MOTIVATION

a. Early views of motivation: the Hedonism philosophy

One early view of motivation derives from the concept of Hedonism the idea 'that people seek pleasure and comfort and try to avoid pain and discomfort'. This philosophy, which argues that pleasure is the 'ultimate importance and is the most important pursuit of humanity', dominated and shaped early thinking of human motivation. Even if this theory seems reasonable as far as it applies to the current society, there are still many kinds of behavior that it cannot explain. For instance, why do recreational athletes train themselves very hard willingly and regularly while hedonism suggests that people are always seeking to relax? And why do volunteers spend their time working untiringly to collect money for charity events? As experts eventually

realized that the concept of hedonism is very limited and does not adequately explain the view of human behaviour, other perspectives of motivation stood out.

b. The Scientific Management Approach

The Scientific Management Approach strongly emphasizes the belief that people are motivated by money. Frederick W. Taylor, the supporter of this approach, assumed that employees are 'economically motivated' and will work hard to earn as much money as they can. Researchers, however, soon found out that human behavior is far more complex and cannot simply be explained by the assumption of the scientific management theory.

c. The Human Relations Approach

The human relations approach suggested that employees are motivated by social factors other than money, in other words, they respond to their social environment at work. Job satisfaction is assumed to be the crucial motive in improving employees' performance. The development of Maslow's hierarchy of needs theory, which is our next main topic of discussion, has played a vital role in helping scientists answer questions related to human behavior.

d. Need Theories of Motivation

Need theories represent the 'starting point' for most contemporary thought on motivation. These theories argue that humans are motivated by 'deficiencies' in one or more important needs or needs categories. Human beings then try harder to satisfy those needs and thus become motivated. The two best-known need theories are Maslow's hierarchy of needs and Alderfer's ERG theory.

i. Maslow's Hierarchy of Needs Theory

The hierarchy of needs, developed by Abraham Maslow in the 1940s, was arguably the most famous need theory famous probably because it was so straightforward and 'intuitively appealing' to those interested in work behavior.

Maslow, who labeled human beings as 'wanting' animals, asserted that people have an 'innate' desire to satisfy a predictable five-step hierarchy of needs. These needs have been categorized in an order of importance, with the most basic needs at the foundation of the hierarchy. The three sets of needs at the bottom of the hierarchy can be grouped as 'deficiency needs', which must be satisfied in order for a person to be comfortable, while the top two sets can be named 'growth needs', which focus on the growth and development of an individual.

Having looked at the basic concepts of Maslow's hierarchy of needs theory, we are going to examine each one of the five needs very closely.

Physiological Needs: these needs refer to the desire to fulfill physical satisfactions such as water, sleep, food, air and sex. These needs are considered the most important needs because without them, human beings cannot survive. No other needs would be of any importance if physiological needs have not been satisfied.

Safety Needs: Maslow's theory states that human beings strive to meet these needs once the physiological needs are satisfied. It is about individual safety - being away from evils and threats. It is also believed that most modern employees are able to fulfill these needs through earning an income or depending on unemployment benefits. Maslow asserts that individuals who have 'prolonged deprivation of physiological and safety needs' may become 'seriously maladjusted' people.

Love/Belongingness Needs: Once the physiological and safety needs are satisfied, human beings tend to focus on the needs for love and affection. People endeavor to obtain a sense of belonging with others. This category of needs is a very powerful motivator of human behavior.

Esteem Needs: A person who wishes to be a highly valued individual in the society always desires for high self-esteem. These self-esteem needs derive from self-respect, which in turn comes from being accepted and respected by the society. It is essential for those who are considered the people to help achieve an organization's targeted objectives to be able to fulfill this category of needs. Once again, according to Maslow, esteem needs to be met for an individual to move to higher-level needs.

Self actualization Needs: The fifth and final category at the top of Maslow's hierarchy of needs is the needs for self actualization. This means 'realizing our full potential and becoming all that we can be'. In other words, it involves to the need to become more and more what we are, and to become everything that we are capable of becoming, which makes self-actualization an open-ended category.

Achieving all of the above characteristics is almost an impossible task. After all, it is still debatable whether an organization should have more or fewer self-actualized managers. On the one hand, this type of managers will play an important role in breaking barriers to creativity and providing new initiatives as to where the organization should be heading. On the other hand, too many 'unconventional nonconformists', i.e. self-actualized individuals, can also provoke chaos in one organization.

ii. Alderfer's ERG Theory

Another very important theory of motivation is the ERG Theory, which was developed by Yale psychologist Clayton Alderfer. The ERG Theory E stands for Existence Needs, R for Relatedness Needs and G for Growth needs has many aspects that are very similar to those of Maslow's hierarchy of needs, although there are still a number of very important differences between the two.

For Alderfer's ERG Theory, The Existence category is similar to Maslow's Physiological and Safety needs, while Maslow's Love and Self Esteem needs are placed in the Relatedness needs category. Finally, the Growth category is similar to the self-actualization and self-esteem needs of Maslow's theory. The ERG Theory, in contrast to the Hierarchy needs theory, emphasizes that more than one kind of need may motivate a person at the same time. Also, an even more important difference between the two theories is that the ERG includes two main components: *The Satisfaction-Progression Component* and *The Frustration-Regression Component* (Herzberg, Mauser & Synyderman, 1959).

The satisfaction-progression component explains that after an individual has satisfied one category of needs, he then moves on to the next level. This concept agrees with that of hierarchy of needs' theory. The Frustration-Regression Component, on the other hand, argues that if an employee is not able to satisfy a higher level of needs, he becomes 'frustrated' and eventually 'regresses' to the previously satisfied level.

To illustrate, we are going to look at an example. Nick Hernandez has satisfied his basic needs at the relatedness level, which means he has a lot of friends and social relationships. As a result, he is now trying to satisfy his growth needs through doing his best to progress to a higher position in his career. However, due to certain organizational constraints (e.g. few challenging jobs, few chances to demonstrate his ability and potential), he does not have the opportunity to advance to a higher position. Consequently, according to ERG theory, he grows frustrated, and such frustration eventually causes his previous level of needs his relatedness needs to dominate his thoughts. This means that once again Nick has the desire to make more friends and develop more social relationships.

Other Important Needs

Having succinctly discussed the two main needs theories, we would like to specifically examine three very pivotal individual needs: the needs for (a) achievement, (b) affiliation, and (c) power.

(i) The need for achievement

This need is the individual desire of accomplishing goals or tasks more effectively than in the past. People who have a high need for achievement are likely to set challenging goals and take risks with decision making. Suppose that Neary, Sales Manager of a company, has set a goal to increase sales of the business from 1% to 50%. The first goal is certainly too easy while the last is impossible to achieve. However, a target somewhere in the middle would be an ideal one. 15% or 20% might represent reasonable and reachable target. This goal is what is called the need for high achievement.

(ii.) The need for affiliation

Individuals also experience the need for affiliation, which refers to the need for 'human companionship'. People with high need for affiliation most likely want to be approved by others and are usually concerned about others' feelings. They tend to act and think as what they believe to be expected by others, specifically to those whom they long for friendship. Researchers recognize that people with high need for affiliation are most attached to jobs as sales and teaching positions where there is a lot of interpersonal contact.

(iii.) The need for power

The third individual need is the need for power 'The desire to control one's environment, including financial, material, informational, and human resources'. Not everyone experiences this kind of need. Some people can spend a lot of time searching for power while some will try to avoid it if possible. If three conditions can be met, people with high need for power can be very successful in management jobs. First, they must try to avoid seeking personal interests for power and think for the goods of the whole organization. Second, they must have a fairly low need for affiliation. This is because a desire to obtain power may force an individual to 'alienate' other people. Finally, they have to be able to control the limits of their desire for power if it has a negative impact on organizational or interpersonal relationships.

e. Herzberg's Dual-Structure Theory

In the late 1950s and early 1960s, Frederick Herzberg developed what would be a very famous theory known as the Dual-Structure Theory. Originally called the 'Two-Factor' Theory, it went on to play a very important role in influencing managers' decisions on employee motivation.

Herzberg and his associates started by asking around 200 accountants and engineers in Pittsburg to recall times they felt satisfied and motivated by their jobs and times they felt dissatisfied and unmotivated. He then went on to ask them to describe the reasons behind those good and bad feelings. Surprisingly, Herzberg found that 'entirely different' factors were related to the employees' feelings about their jobs. For instance, those who stated they were not satisfied because their jobs were 'low-paid' would not necessarily identify 'high pay' as a cause of satisfaction and motivation. Those people instead claimed that factors such as recognition or achievement were some of the main causes of job satisfaction and motivation.

These findings led Herzberg to conclude that the traditional view on job satisfaction and dissatisfaction, motivation and un-motivation was 'incorrect'. The theorist insisted that 'the opposite of job satisfaction is not job dissatisfaction but, rather no job satisfaction; and similarly, the opposite of job dissatisfaction is not job satisfaction, but no dissatisfaction.' These two different dimensions led to him naming his theory the 'Dual-Structure' theory.

In addition, Herzberg claimed that the primary factors that cause satisfaction and motivation are called Motivation factors, such as achievement and recognition. The presence of these factors results in job satisfaction and motivation, while their absence leads to feelings of 'no satisfaction' rather than dissatisfaction. The other set of factors is called Hygiene factors, which refer to things such as job security, pay and working conditions. Without these factors, people will be dissatisfied; and if they are present, there will be feelings of 'no dissatisfaction', rather than satisfaction. Figure 2.2 below compares the traditional view of human motivation with Herzberg's Dual Structure theory.

Evaluation of the theory

Due to its fast gain in popularity, the dual-structure theory has been studied and analyzed by scientists more than most other theories in organizational behaviour.

One criticism to this theory is that the original sample of accountants and engineers may not 'represent the general working population'. Skeptics argue that the theory does not take into account the individual differences. In addition, further research has found that one factor, for example salary, may influence satisfaction in one sample and dissatisfaction in another, and that individual's age and organizational level has a huge impact on the outcome of any one factor. Finally, the theory does not clearly identify the relationship between satisfaction and motivation. Such criticisms obviously led to the shrinking popularity of the theory by organizational behaviour researchers. Nonetheless, its early esteem would mean that the theory still has a place and role to play in the field of organizational motivation.

F. The Expectancy Theory

Both Maslow's and Herzberg's motivation theories have been criticized for generalizing about human motivation. Our practical experience can show that 'the same people are motivated by different things at different times and that different people are motivated by different things at the same time'. The Expectancy Theory, first proposed by Victor H. Vroom in the 1960s, somehow focuses more on highly personalized rational choices that an individual makes when dealing with the prospect of having to work hard to achieve rewards. 'Expectancy' refers to the 'subjective probability' that one thing will result in another. Individual perception is therefore an essential part of Expectancy theory.

According to the expectancy model, people's motivation strength increases as their perceived effort-performance and performance-reward probabilities increase. Although the two terms may sound very complicated, they can easily be understood through simple examples. For instance, how strong can you be motivated to study if you expect to score poorly on your tests no matter how hard you study (low effort-performance probability) and when you know that the tests will not be graded (low performance-reward probability)? In contrast, your motivation to study will increase if you know that you can score well on the tests with just a little hard work (high effort-performance probability) and that your grades will be significantly improved (high performance-reward probability). Employees are no different to students - they are motivated to work harder when they believe their hard work will lead them to achieve personally valued rewards.

If employee contributions are based on their expectations, managers can take steps to try to cultivate favorable expectations among their employees. When people can expect personally valued rewards, they will undoubtedly work harder to try to accomplish

their tasks. A good manager will listen to his/her employees, learn from his experience and try to discover what rewards certain employee values. By so doing, the manager can potentially enhance their employees' willingness to put more efforts into their work.

g. Adams' Equity Theory

Regarded as one of the 'justice' theories, Equity theory was first developed in 1962 by John Stacey Adams. It attempts to explain the satisfaction that derives from the fairness and equality that a manager brings to his/her employees. Equity theory places value on fair treatment, which is believed to be the major motivational factor among employees.

An individual will consider that he is treated fairly when he feels that the 'ratio of his inputs to his outcomes' is the same to other people around him. In this case, it would be acceptable for an employee who has much more work experience and who is a more senior colleague to receive higher compensation/salary for his/her job. On the other hand, if an employee feels that another individual who has the same qualifications and provides the same amount of efforts is earning more recognition or compensation, he will feel he's treated unfairly and thus perform at a lower level on his tasks.

An employee who feels he is over-compensated may increase his effort. However, he may also change the perceptions of his inputs and feel a sense of superiority, which may lead to him decreasing his efforts instead. However, just like other motivation theories, Equity theory has its own criticisms. Critics argue that a number of 'demographic and psychological variables' affect people's perceptions of equality. In other words, what a manager feel is equal may be considered unfair by his employees. Secondly, because much of the research supporting the propositions of this Equity theory has been conducted in laboratory settings, some people may believe that it does not apply to the practical situations. Finally, skeptics have also argued that employees might perceive equity/inequity not only in terms of their relationships with their colleagues, but also with the overall system. This means that, for instance, an employee may view his inputs and outputs are relatively similar compared to his colleagues, yet may feel that the system as a whole is unfair.

Nevertheless, Adam's Equity theory reminds us that people are hugely concerned of the way they are treated in their surrounding environment, team and system. For this reason, they must be managed, controlled, and treated fairly.

Review Questions

1. Briefly, define the term, job motivation.
2. Identify the importance of employee motivation in the public service.
3. What are the characteristics of a motivating job?
4. Mention and explain 2 theoretical assumptions on job motivation, showing its relevance in contemporary public sector

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DECISION MAKING AND PROBLEM SOLVING IN PUBLIC ADMINISTRATION



Decision-making is one of the defining characteristics of leadership. It's core to the job description. Decision making is a vital component of organizational success. Decisions that are based on a foundation of knowledge and sound reasoning can lead the organization into long-term prosperity; conversely, decisions that are made on the basis of flawed logic, emotionalism, or incomplete information can quickly put a small business out of commission (indeed, bad decisions can cripple even big, capital-rich corporations over time). All administrators recognize the painful necessity of choice. Furthermore, making these choices must be done in a timely fashion, for as most people recognize, indecision is in essence a choice in and of itself a choice to take no action. Ultimately, what drives administrative success is the quality of decisions, and their implementation. Good decisions mean good public administration. Understanding the framework of decision making is the focus of this chapter.

- 11.1 Concepts and definitions
- 11.2 Meaning of decision making
- 11.3 Importance of decision-making
- 11.4 Components of decision making
- 11.5 Factors that influence decision making
- 11.6 Some decision making strategies
- 11.7 Decision making process
- 11.8 Understanding a perfect decision

11.9 Improving decision making process

11.10 Models of decision making

11.1 CONCEPTS AND DEFINITIONS

1. **Information.** This is knowledge about the decision, the effects of its alternatives, the probability of each alternative, and so forth. A major point to make here is that while substantial information is desirable, the statement that "the more information, the better" is not true. Too much information can actually reduce the quality of a decision.

2. **Alternatives.** These are the possibilities one has to choose from. Alternatives can be identified (that is, searched for and located) or even developed (created where they did not previously exist). Merely searching for preexisting alternatives will result in less effective decision making.

3. **Criteria.** These are the characteristics or requirements that each alternative must possess to a greater or lesser extent. Usually the alternatives are rated on how well they possess each criterion.

4. **Goals.** What is it you want to accomplish? Every decision is intended to attain specific aims and objectives. This aims forms the goal. A component of goal identification should be included in every instance of decision analysis.

5. **Value.** Value refers to how desirable a particular outcome is, the value of the alternative, whether in dollars, satisfaction, or other benefit.

6. **Preferences.** These reflect the philosophy and moral hierarchy of the decision maker. We could say that they are the decision maker's "values," but that might be confusing with the other use of the word, above. If we could use that word here, we would say that personal values dictate preferences. Some people prefer excitement to calmness, certainty to risk, efficiency to esthetics, quality to quantity, and so on. Thus, when one person chooses to ride the wildest roller coaster in the park and another chooses a mild ride, both may be making good decisions, if based on their individual preferences.

7. **Decision Quality.** This is a rating of whether a decision is good or bad. A good decision is a logical one based on the available information and reflecting the preferences of the decision maker.

In judging the quality of a decision, in addition to the concerns of logic, use of information and alternatives, three other considerations come into play:

A. *The decision must meet the stated objectives most thoroughly and completely.* How well does the alternative chosen meet the goals identified?

B. *The decision must meet the stated objectives most efficiently, with concern over cost, energy, side effects.* Are there negative consequences to the alternative that make that choice less desirable? We sometimes overlook this consideration in our search for thrills.

C. *The decision must take into account valuable byproducts or indirect advantages.* A new employee candidate may also have extra abilities not directly related to the job but valuable to the company nonetheless. These should be taken into account.

8. **Acceptance.** Those who must implement the decision or who will be affected by it must accept it both intellectually and emotionally.

Acceptance is a critical factor because it occasionally conflicts with one of the quality criteria. In such cases, the best thing to do may be to choose a lesser quality solution that has greater acceptance. Thus, one of the most important considerations in decision making is the people factor. Decision makers must always consider the impact or outcome of the decision on the people.

9. **Risk.** Decision making always involves a choice between alternatives and always involves risk as it is concerned with estimates of future revenues, costs, outcomes and events, none of which can be known with certainty (Nyong, 2003).

10. **Problem Solving.** Also sometimes referred to as problem management can be divided into two parts process and decision. The process of problem solving is predicated on the existence of a system designed to address issues as they crop up. While the process or choice itself is concerned with several sets of elements need to be considered in looking at the decision process. One set refers to the rationales used for decisions. Others emphasize the setting, the scope and level of the decision, and the use of procedural and technical aids.

11.2 MEANING OF DECISION MAKING

Decision making is the process of identifying and choosing alternatives based on the values and preferences of the decision maker. Making a decision implies that there are

alternative choices to be considered, and in such a case one must not only identify these alternatives but choose the policy option that,

- a. has the highest probability of success or effectiveness and,
- b. best fits with our goals, desires, lifestyle, values, and so on.

Decision making is the process of sufficiently reducing uncertainty and doubt about alternatives to allow a reasonable choice to be made from among them. This definition stresses the information-gathering function of decision making. It should be noted here that uncertainty is *reduced* rather than eliminated. Very few decisions are made with absolute certainty because complete knowledge about all the alternatives is seldom possible. Thus, every decision involves a certain amount of risk. If there is no uncertainty, one does not have a decision. In other words, no matter how perfect the choice is, there are still elements of uncertainty but it's reduced. The outcome of such choice is more desirable with limited level of risk.

It is often considered to be the process in which events, circumstances and information precipitate or give rise to a choice designed to achieve some desired goals, results or ends. It involves choosing what to do by considering the possible consequences of different choices. In the definition, reasoning skills are utilized in the decision-making process and refer to specific cognitive abilities, some of which include assessing probability and thinking systematically or abstractly. According to Kahneman (2003), the basic process that decision-makers use when confronted with a decision involves:

- i. listing relevant choices,
- ii. identifying potential consequences of each choice,
- iii. assessing the likelihood of each consequence actually occurring,
- iv. determining the importance of these consequences, and
- v. combining all this information to decide which choice is the most appealing.

Inferring from the above process, we can infer that decision making are the mental processes (cognitive process) resulting in the selection of a course of action among several alternative scenarios. Every decision making process produces a final choice made among existing alternatives whose consequences are well defined and known.

Herbert Simon (1954), a leading authority in Management studies defined decision making as “intelligence or attention directing processes that determine the occasion of

decisions, processes for discovering and designing courses of actions, processes for evaluating alternatives and choosing from among them. He added that decision making comprises four principal phases. These phases include,

- (i) Finding occasions for making decisions,
- (ii) Finding possible courses of action that are alternatives
- (iii) Choosing among courses of action, and
- (iv) Evaluating past choices.

The concern of decision making is therefore to narrow down body of information, identify primary problems and choose from among alternatives solutions (Ikeji, 2005). There are several types of decisions. The range from sovereign, political, strategic, structural, administrative/operational, macro and micro, business, public policy decisions and so on. Each is defined by its content, actors and environmental interaction. But primary among them is the business and public policy decision. Business decisions are taken by the entrepreneurial class in pursuance of profit, while public policy decisions are made by the government or public bureaucrats in the interest of the masses at large.

11.3 IMPORTANCE OF DECISION-MAKING

Decision-making makes it possible to adopt the best course of action in carrying out a given task. When there are different ways of performing a task, it becomes necessary to find out the best way and that is what decision-making is all about. The course of action finally selected should produce the best results.

1. By choosing the best method of doing any work, decision-making ensures optimum use of the enterprise resources, namely, men, machines, materials and money. Resources are always scarce and therefore, it is necessary to make a proper use of the same.
2. Decision-making helps to find a solution to any problem in a work place. For example, if an organization faces the problem of low productivity, such a problem cannot be ignored and it becomes necessary to find a remedy. To find a remedy, the actual cause of the problem must be identified after which corrective action may be taken. If negative employee attitude is found to be the

root cause of low productivity, the management may have to decide on the right course of action to be adopted to change such a negative attitude.

3. Decision-making helps to identify the best course of action in each given situation and thereby promotes efficiency. The course of action finally selected should be acceptable to both the workers and the management. Satisfied workers put in their best efforts and this results in higher output. Higher output satisfies the management and it may come forward to share the gain with the workers. Thus, there is improvement in the overall efficiency of the organization.
4. The conflicts in an organization are resolved through decisions. For example, the workers may want better pay and improved working conditions and put forth their views to the management. If the management avoids taking a decision on the matter, the workers are not going to give up. A decision, therefore, becomes necessary. Such a decision need not be one-sided decision. The management may evolve a formula that is acceptable to the workers as well.

11.4 COMPONENTS OF DECISION MAKING

There are several components of decisions making, but two are outstanding. These are the decision environment and access to information.

1. The decision environment

Every decision is made within a decision environment, which is defined as the collection of information, alternatives, values, and preferences *available at the time of the decision*. An ideal decision environment would include all possible information, accurate, and with every possible alternative. However, both information and alternatives are constrained because the time and effort to gain information or identify alternatives are limited. The time constraint simply means that a decision must be made by a certain time. The effort constraint reflects the limits of manpower, money, and priorities. Since decisions must be made within this constrained environment, we can say that *the major challenge of decision making is uncertainty*, and a major goal of decision analysis is to reduce uncertainty. We can almost never have all information needed to make a decision with certainty, so most decisions involve an undeniable amount of risk.

2. Access to Information

Information is necessary for effective decision making. There must be access to information to guide choice, which must be made among policy alternatives. Lack of needed information may result in delay in decision making and delaying a decision involves several risks:

- i. As the decision environment continues to grow, the decision maker might become overwhelmed with too much information and either makes a poorer decision or else face decision paralysis.
- ii. Some alternatives might become unavailable because of events occurring during the delay. In a few cases, where the decision was between two alternatives, both alternatives might become unavailable, leaving the decision maker with nothing.

11.5 FACTORS THAT INFLUENCE DECISION MAKING

There are several important factors that influence decision making. Significant factors include past experiences, a variety of cognitive biases, an escalation of commitment and sunk outcomes, individual differences, including age and socioeconomic status, and a belief in personal relevance. These things all impact the decision making process and the decisions made.

1. Past experience of the decision maker. Anthony (1967) established that there is a significant correlation between the past experience of the decision maker and his decisions in the present and future. It implies that when something positive results from a decision, people are more likely to decide in a similar way, given a similar situation. On the other hand, people tend to avoid repeating past mistakes. This is significant to the extent that future decisions made based on past experiences are not necessarily the best decisions. In financial decision making, highly successful people do not make investment decisions based on past sunk outcomes, rather by examining choices with no regard for past experiences; this approach conflicts with what one may expect.
2. Cognitive biases: In addition to past experiences, there are several cognitive biases that influence decision making. Cognitive biases are thinking patterns based on observations and generalizations that may lead to memory errors, inaccurate judgments, and faulty logic. Cognitive biases include, but are not

limited to: belief bias, the over dependence on prior knowledge in arriving at decisions; hindsight bias, people tend to readily explain an event as inevitable, once it has happened; omission bias, generally, people have a propensity to omit information perceived as risky; and confirmation bias, in which people observe what they expect in observations.

In decision making, cognitive biases influence people by causing them to over rely or lend more credence to expected observations and previous knowledge, while dismissing information or observations that are perceived as uncertain, without looking at the bigger picture. While this influence may lead to poor decisions sometimes, the cognitive biases enable individuals to make efficient decisions with assistance of heuristics.

3. **Lack of commitment to the decision making process:** In addition to past experiences and cognitive biases, decision making may be influenced by the level of interest and commitment showed by the decision maker. Most often, people show commitments; invest larger amounts of time, money, and effort into a decision to which they feel committed or have some level of gain; further, people will tend to continue to make risky decisions when they feel they have little or nothing to gain from such decisions. Lack of adequate commitments to the process, like finding out details, exploring all available alternatives, etc, will obviously affect the outcome and effectiveness of such decisions.

11.6 SOME DECISION MAKING STRATEGIES

As we know, there are often many solutions to a given problem, and the decision maker's task is to choose one of them. The task of choosing can be as simple or as complex as the importance of the decision warrants, and the number and quality of alternatives can also be adjusted according to importance, time, and resources, etc. There are several strategies used for choosing. Among them are the following:

1. **Optimizing.** This is the strategy of choosing the best possible solution to the problem, discovering as many alternatives as possible and choosing the very best. How thoroughly optimizing can be done is dependent on,
 - a. importance of the problem
 - b. time available for solving it
 - c. Cost involved with alternative solutions

- d. availability of resources, knowledge
- e. personal psychology, values

Note that the collection of complete information and the consideration of all alternatives are seldom possible for most major decisions, so that limitations must be placed on alternatives.

2. **Satisfying.** In this strategy, the first satisfactory alternative is chosen rather than the best alternative. If you are very hungry, you might choose to stop at the first decent looking restaurant in the next town rather than attempting to choose the best restaurant from among all (the optimizing strategy). The word *satisficing* was coined by combining *satisfactory* and *sufficient*. For many small decisions, such as where to park, what to drink, which pen to use, which tie to wear, and so on, the satisficing strategy is perfect.

3. **Maximax.** This stands for "maximize the maximums." This strategy focuses on evaluating and then choosing the alternatives based on their maximum possible payoff. This is sometimes described as the strategy of the optimist, because favorable outcomes and high potentials are the areas of concern. It is a good strategy for use when risk taking is most acceptable, when the go-for-broke philosophy is reigning freely.

4. **Maximin.** This stands for "maximize the minimums." In this strategy, that of the pessimist, the worst possible outcome of each decision is considered and the decision with the highest minimum is chosen. The Maximin orientation is good when the consequences of a failed decision are particularly harmful or undesirable. Maximin concentrates on the salvage value of a decision, or of the guaranteed return of the decision. It's the philosophy behind the saying, "A bird in the hand is worth two in the bush."

11.7 DECISION MAKING PROCESS

The ideal decision-making process has at least six logical and sequential stages. Each stage has a special set of requirements and methodologies. A brief summary of the process is given below.

1. **Defining the problem.** The goal in this stage is to define the problem accurately in relation to expectations. Since problems are interrelated, it is necessary to pinpoint the critical factors and related parts of the problem. Questions about

the time frame and costs are important. This stage also requires consideration of historical or background information, relevant current data and comparable information from secondary sources;

2. *Identifying alternatives.* The identification of alternatives includes the formulation of internal and environmental factors. The environment is sometimes referred to as the state of nature, and determines the type of decisions and their relevant considerations. The department or internal variables have to be free of personal biases;
3. *Quantifying alternatives.* The quantification of alternatives is necessary to allow conversion into the symbolic language of mathematics. Each alternative is assigned a utility. Identifying risks and rewards in the short- and long-term is also part of this stage;
4. *Evaluating alternatives.* This stage involves decision problem analysis, and often raises questions about the appropriate concepts, models and techniques. Linear programming, game theory and linear regression are frequently utilized;
5. *Choosing an alternative as a decision.* Based on the problem analysis, a choice is made on the alternative considered most appropriate in light of decision criteria and matrix techniques. At this point, the process has yielded a decision for implementation;
6. *Implementing the decision.* This stage can begin another cycle of the process to make a decision about an implementation strategy or plan.

The above is not an end to itself, an administrator can adopt any style he consider useful in making the most useful or perfect decision, whose outcome is of maximum benefit.

11.8 UNDERSTANDING A PERFECT DECISION

All decisions have elements of imperfection, considering the fact that, it is a choice made within competing alternatives. However, in public policy and administration process, a decision can be accorded the credence to be 'perfect'. A perfect decision doesn't technically mean complete absence of any imperfection. A perfect decision is the best one that can be selected out of all possible courses of action open to the decision maker. It is one which has the maximum of desired consequences (results) and the minimum of undesired consequences (Ikeji, 2005). Thus, an administrator is making a decision; he should consider the alternatives (bearing in mind the time,

resources to be committed in implementing the decision, level of satisfaction or outcome in terms of benefit that decision will bring about) open to him carefully and systematically so that he will be in a position to be near perfect. This requires a logical and systematic means of assessing possible policy options before choice. When a choice finally made has maximum or desirable benefits and minimum or less undesirables, such decision can be classified to be perfect.

11.9 IMPROVING DECISION MAKING PROCESS

There are basic steps for improving the decision making process in the organization. Some of these include,

1. **Seek out available and new information.** Effective decision making is predicated by existing information. It is therefore important that an administrator seeks out information, detailed information so as to be guided by the intended choice. New information from various sources are necessary, to assist in evaluation of alternatives and update in the process. It will also help in considering the full range of objectives to be fulfilled and the challenges that may arise in the long run. Every information is necessary, assimilate and take into account every information available, expert opinions, even when the sound contrary.
2. ***Improve the setting.*** Decision making settings can be improved through organizing better meetings (focused agenda, clear questions, current and detailed information, necessary personnel). With necessary information, options and the right caliber of personnel, it sets a pace for an effective decision making platform.
3. **Carefully evaluate the cost.** More than anything else, it is important to evaluate the cost and consequences, both negative and positive of decision options before a choice is made. This will help reduce the often arising challenges in the course of implementation and outcome.
4. ***Use Logical Techniques.*** Decision making requires logical techniques for it to be effective. This technique is further explained using the Mechanistic Model, which advocates for a scientific; value-free and rational approach in taking decisions.
5. ***Evaluate decisions and decision making patterns.*** Evaluation tends to focus the attention on the assessment and re-assessment of policy choice even in the course of implementation to ensure that, there are within intended outcome. Evaluation is

especially helpful in today's administrative environment because of the interdependency of individuals and departments in executing tasks and addressing goals. When policies or decisions are evaluated, it helps reduce uncertainty and chances of failure.

6. *Determine appropriate levels of decision making.* Administrators need to ensure that operational decisions are being made at the right level. Keys to avoiding micromanagement and other decision making pitfalls include: giving problems their proper level of importance and context; addressing problems in an appropriate time frame; and establishing and shifting decision criteria in accordance with organizational goals.

7. *Make detail plan for implementation. Every policy option is intended to be executed, so as to attain the expected outcome. At the point of choice, the decision maker must have a clear understanding of the strategies required for implementation. This may involve discussing with those affected, training, material acquisition, contingency plans to cope with problems which may arise, etc. This review of the effectiveness of the decision will then take place at the end of the review which involves the process of assembling resources, allocating resources and utilizing resources that is, operations (Nyong, 2003).*

11.10 MODELS OF DECISION MODEL

There are several models/ theories in decision making. Some of them include, the ecological, bounded rationality, disjointed incrementalism, rational comprehensive, natural system, socio-technical, cognitive, classical, behavioral, mixed scanning model among others. Some of them are briefly discussed below,

I. Ecological Model

Ludwig (1965) disclosed that the ecological model presents a logical sequence of decision making process. Decisions are made within seven stages, and these are,

- a. Discover the systems of difficulty through environmental surveillance.
- b. Set goal or define problem
- c. Develop criterion on ranking the outcome of each of the alternatives
- d. Determine all outcomes or consequences
- E. Select best alternatives
- f. Act or implement decisions.

Notwithstanding its logical order, critics have pointed out that the model does not describe how managers actually function. In Nyong (2003), he noted that, in this connection, it was highlighted that the model is based on the following assumptions which may seldom hold true in real life situations;

- a. Availability of relevant information about all alternatives and their consequences;
- B. The capacity of the human mind to handle and process complex information;
- c. Comparability of alternatives, transitivity preferences, orderings of all expected values, independence of outcome, and preference for optimization;
- d. Individual managers are economically rational in terms of his choice and action; and
- e. Every step in the process is indispensable as well as sequential.

These factors gave rise to evolving other models, especially the Bounded Rationality model.

ii. Bounded Rationality Model

Bounded rationality is the idea that in decision-making, rationality of individuals is limited by the information they have, the cognitive limitations of their minds, and the finite amount of time they have to make a decision. It was proposed by Herbert Simon as an alternative basis for the mathematical modeling of decision making, as used in economics and related disciplines; it complements *rationality as optimization*, which views decision-making as a fully rational process of finding an optimal choice given the information available (Elster, 1981). Another way to look at bounded rationality is that, because decision-makers lack the ability and resources to arrive at the optimal solution, they instead apply their rationality only after having greatly simplified the choices available. Thus the decision-maker is a satisficer, one seeking a satisfactory solution rather than the optimal one. Simon (1954) used the analogy of a pair of scissors, where one blade is the "cognitive limitations" of actual humans and the other the "structures of the environment"; minds with limited cognitive resources can thus be successful by exploiting pre-existing structure and regularity in the environment.

Bounded rationality thus, presupposes that that decision makers (irrespective of their level of intelligence) have to work with three unavoidable constraints:

- a) only limited, often unreliable, information is available regarding possible alternatives and their consequences,

- b) human mind has only limited capacity to evaluate and process the information that is available, and
- c) only a limited amount of time is available to make a decision. Therefore even individuals who intend to make rational choices are bound to make satisficing (rather than maximizing or optimizing) choices in complex situations.

These limits (bounds) on rationality also make it nearly impossible to draw up contracts that cover every contingency, necessitating reliance on rules of thumb. Due to the complexity, dynamism and equivocality of the present and future environments surrounding decision-making, Simon (1957) suggested that humans are not able to always act fully rational, and that the inability will result in a general state of satisficing, in which solutions that may not be optimal are chosen if they meet minimum requirements. This satisficing occurs due to the limited rationality of humans, who are oftentimes not mentally equipped to evaluate all potential consequences of decisions being made.

He proposed that humans are limited in their rationality due to at least three factors.

1. Rationality requires complete knowledge and understanding of the consequences of a given action. Gaining full understanding of future consequences is, of course, a very difficult task, and therefore this complete knowledge is seldom present at the time decisions are made.
2. Given that consequences of actions, per definition, will emerge in the future, it is difficult for decision-makers to fully evaluate the future worth of their decisions.
3. Rationality requires that all alternative actions are known. In actual decision-making processes, very few alternatives are known, which inhibits humans in making optimum decisions.

These three points are therefore the main reasons why humans or organization cannot fully act as a rational economic entity. Decision-makers are therefore inhibited in being rational, since they will primarily base their decisions on readily available data and knowledge, and not be able to incorporate unknown data or knowledge into their decision-making. Since humans are not able to act fully rational, Simon proposes that organizations should develop clear organizational goals for employees to follow. These goals should act as the value premises that underlie daily decision-making. The value

premises should communicate what ends are preferred or desirable to the organization, and clearly distinguish between what is acceptable from unacceptable.

Formalized control mechanisms like e.g. routinization, specialization, training, standard procedures etc., which are normally found in formalized organizational structures, can also be seen as supporting rational decision making, giving the individual employee the mental capacity to perform more rational decisions. It is therefore important for public administrators acknowledge the irrationality of man due to limited insights into the effects of given decisions, and that the organization needs to assist decision-making before it can become rational. Organizations would benefit from developing and communicating organizational goals, resulting in value premises that will guide the decision-making and that might guide the development of formalized structures supporting organizational goals.

When organizational members suffer from bounded rationality, managing and organizing is thus a much more difficult task than proposed by e.g. the Scientific Management Approach, and organizations must provide both the formal and informal control mechanisms to make organizational members perform as rationally as possible.

c. Incrementalism Model

Incrementalism, also called *disjointed incrementalism*, is a policy making process which produces decisions only marginally different from past practice. Some analysts describe incrementalism as *muddling through*, in contrast to the ideal of the rational-comprehensive model of policy planning. This is predicated from the Science of Muddling Through, advanced by Charles E. Lindblom. The model identifies a problem and tries to discover how it had been handled in the past. It considers incremental change which objective is to arrive at agreed upon decisions which are closely based on past experiences.

Acknowledged as one of the strategic model used by public functionaries in decision making in areas of public finance, public administration and public policy, Nyong (2003) added that incrementalism deals small changes added to meet new challenges. The choice made is that which contributes to solving the problem without involving major changes in the status quo. Incremental decisions have the following logical steps,

- (i) Analysis is restricted to few variables rather than attempting a comprehensive survey and evaluation of all alternatives.
- (ii) Evaluation is based on selected number of important policy consequences, and

- (iii) The problems of policy processes are continually re-examined. It calls for meaningful inputs analysis and evaluation.

Limitations

Incrementalism is characterized by severe limits in the rationality applied to policy analysis. It may also represent a failure of policy analysis. This failure is not purely technical, but institutional, since organizations operate with constraints, especially of time and budget. Here are several reasons that rationality is constrained for policy formulation:

1. Typically, only a narrow range of alternatives and consequences can be examined seriously, and even those few are blinkered by past practice.
2. The policy chosen is likely to provide only a limited, short-term amelioration of the concrete problem posed on the political agenda.
3. *Overhaul*, the opposite of incrementalism, introduces formidable risk and many decision makers prefer a risk-aversion strategy which prevents unanticipated and possibly irreversible policy outcomes.
4. The criterion brought to bear is not goal *maximizing*, but administrative *satisficing*, slight improvement as compared with past performance.
5. Incrementalism and inaction consume fewer resources than a more systemic solution, especially an unproven one. Large budget deficits, or merely the memory of such deficit spending, dampen enthusiasm for tackling problems on a grand scale.

Notwithstanding the above challenges, the incremental method is reckoned with as a useful model of decision making as it guarantees continuity in the decision making process in the organization.

d. Rational Comprehensive Model

Advocated by Frederick Taylor, the model presupposes that organizational decisions are reached based on rational assessment of an organization's needs, goals, and external influences. And like Taylor's Scientific Management, this is true in some situations, but is not comprehensive enough to tell the whole story of how needs, goals and external influences affect organizational analysis and planning.

Rational decisions are choices based on judgment of preferences and outcomes. They are not always turn out best and they do not eliminate the possibility of failure. Sometimes the goal is so important that it is rational to choose an option with little promise of payoff. The rational model assumes that deviations from rationality result from errors in judgment and calculation as well as from ignorance. This model treats organizations as mechanical groups because it conceives of the organization as having structure of different parts, and all of these parts can be modified and manipulated in order to improve the efficiency of the entire organization. Furthermore, individual parts of the organization are viewed as modifiable through deliberate effort. Finally, this model sees the long-term development of the organization as modifiable and controllable through planned modification in order to accomplish definite goals.

Six steps involve in rational comprehensive model

- i. Problem Identification
- ii. Setting objectives and criteria
- iii. Developing policy alternatives
- iv. Analyzing and identifying expected impact of the various alternatives
- v. Ranking alternatives according to established criteria and
- vi. Choosing the best policy alternative

The rational comprehensive model is taken to be the most efficient as it involves progressive and logical steps. It creates opportunity problem identification and clear definition, information gathering, identification of policy objectives, choice made within these alternatives whose consequences are clearly defined. This leads to a rational and perfect policy choice.

Limitations

The rational model is still pervasive among managers and corresponds to the pyramidal organizational structure, in which top managers are at the apex and employees are at the bottom. Managers possess the authority in this model, defining and assigning tasks to the employees, who are charged with completing the tasks. They must begin by giving employees clear and detailed instructions. After that, managers must evaluate employee performance and distribute rewards and punishments based on the way employees performed their tasks.

Managers assume that worker motivation is directly correlated with economic rewards and punishments meted out by the managers. Motivation, from a rational perspective, simply involves increasing pay or threatening workers with various punishments. Hence, according to this model, managers rely on pay and related forms of compensation to motivate workers to complete their tasks efficiently in order to achieve company goals.

The problem with this assumption is that there are many motivators other than money, there can be many ways to perform a given task, and there are many organizational goals that are not rational. The rational model is thus a starting point for thinking about organizational analysis, but certainly not encompassing enough to provide a complete picture.

e. Natural System Model

The natural system model sees an organization as not only striving to accomplish its own goals, but also other important goals. An organizational structure is regarded as an institution in its own right that has needs of its own. Hence, according to this model, an organization seeks to maintain a balance of its various needs and goals, which may restrict the way it pursues other goals.

Unlike the rational model of organization, the natural system model sees the modification of an organization as unplanned and adaptive reactions to unstable conditions that threaten the balance of the organization as an entire system. The way an organization responds to problems is characterized as a defense mechanism and as being influenced by the common values ensconced in the members of the organization. This model concentrates on threats to an organization's equilibrium, that is, on events and activities with the potential of disrupting an organization's balance.

When deviations from organizational plans and goals occur, they are seen not as the product of error or ignorance, but as the result of limitations brought about by an organization's social structure. This model generally is based on the concept of organizations as organisms in which all the parts are interconnected and interdependent. Consequently, changes in one part of an organization are thought to have an impact on other parts of the organization, and so planned modification of the organization is difficult.

In practical terms, the natural system model strives to balance the needs of all the members of the organization as well as other stakeholders, such as customers, shareholders, and suppliers. This model holds that organizations function best when members belong to at least one effective work group (department, committee, or staff group), thereby contributing to the goals of organizations. Members who belong to more than one work group help link the different units of the organization together and facilitate communication and the exchange of information throughout the organization.

The natural system model views change as affecting the entire organization, not just individuals or individual units. Consequently, managers cannot change just one small part of an organization; rather, they must change the whole organization. As a result, planning for change must be comprehensive and systematic. Theoretically, the natural system model helps prevent conflicts in that changes take place only with the involvement of each member of the organization. Therefore, commitment to change is greatly increased and conflict over change is limited.

f. Socio-technical Model

The socio-technical model views organizations as having a greater ability to modify their form and structure. Nevertheless, like the natural system model, the socio-technical model sees organizations as evolving. An organization changes when the expectations of its members change as a result of their collaboration with other members and the exchange of information.

This model views organizations as systems that interact with their environments, and this interaction affects the levels and outcome of its decision making. Through the course of this interaction, organizational behavior is affected by human, social, technological, and organizational inputs. These inputs are all interdependent, thus a change in one causes a change in the others. The basic tenets of the socio-technical model include,

- i. the belief that behavior in organizations can have a number of causes that organizations are systems, and
- ii. that informal social systems are different from formal social systems.

An organization's main task is accomplished through the process of inputs being converted into outputs. The organization is designed around these tasks. Similarly each unit of the organization is designed around its specific subtask. The socio-technical model assumes that an organization's effectiveness is determined by its design to perform its main task. Organizations have differentiated, yet integrated, units based on three primary factors: technology (including techniques, skills, and materials), geographic location, and time (work shifts). According to this model, if an organization is effectively designed around its main task and if its units are differentiated and integrated effectively, then the number of conflicts will be reduced.

g. Cognitive Model

The cognitive model of organization consists of three primary components: cognition, the decision-making or problem-solving process, and an organizational setting. Cognition refers to the information-processing units of an organization and its organizational units. The decision-making or problem-solving component is a series of steps, operations, and procedures that an organizational unit uses to make decisions or solve problems. The organizational setting component is the arrangement of the organization, that is, the way tasks are distributed and the way processes are coordinated.

Although the rational model of organization focuses on clarifying and assigning tasks, it does not address the other aspects of organizations. In particular, it provides little in terms of the ways organizations solve problems once tasks are clarified and assigned. The cognitive model moves beyond this level of organizational analysis by focusing on the processes through which organizations assign specific activities and times for the activities to be performed.

The cognitive model focuses on the decisionmaking process of an organization. An organization makes decisions in accordance with its objectives and based on available information. Since this model views individuals as having the capacity to do only a few things at a time, the organization functions as the combination of these limited capacities and facilitates the overall completion of a number of complex tasks, which are broken down into a series of subtasks so that individuals can perform them. These subtasks are the areas of specialization within an organization. Specialization, in turn, brings about the flow of specific information to and from specialized units.

This model provides several key insights into the workings of organizations. It conceives of an organization as a process that develops from the interaction of human cognition, organizational structure, and the types of decisions that need to be made. Because of these characteristics, the cognitive model focuses on the development and adaptation of organizations in different circumstances. Furthermore, this model accounts for the way in which specialization affects organizational behavior and coordination.

In conclusion, because each different organization model has its advantages and disadvantages, managers must decide which one (or ones) best capture the workings of their company by evaluating the assumptions and key processes of each, as well as by determining which one can solve the kinds of problems they need to solve.

Review Questions

1. Define the term decision making
2. Write short note on the following concepts, Information, Alternatives, Criteria, Goals, Value, Preference and Risk.
3. Advance an explanation on the components of decision making.
4. Identify certain factors that can influence the decision making process of an Organization, also point out possible ways of improving the process.
5. Mention and explain three models of decision making

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COMMUNICATION IN PUBLIC ADMINISTRATION



Interpersonal skills are those which are applied during social communication and interaction to get the specified results. Communication and interpersonal skills are normally used in business contexts. These terms are used to measure the person's ability to operate in public and business organizations through social communication and interactions. Good communication and positive interpersonal skills have a great importance in public administration. This chapter will explain various forms of communication and interpersonal skills in the public administration.

- 12.1 Meaning of communication
- 12.2 Forms of communication pattern
- 12.3 Meaning on interpersonal communication
- 12.4 Barriers to effective communication
- 12.5 Overcoming communication barriers

12.1 MEANING OF COMMUNICATION

Communication is the transfer of information from one means (people, gadgets, etc.), place to another. Communication is the life source of organizations, especially formal organizations, like the Civil Service, because organizations involve people. People cannot interact with each other without communication. In the absence of communication, everything would grind to a halt. For example; the workers in an organization would not know the organization's objectives so they would not strive to achieve the organization's objectives.

- i. The workers in an organization would not know what their roles and responsibilities were, so they would not be able to carry out their daily tasks and duties.
- ii. The managers would not be able to train their workers reports so the workers would not possess the skills they needed to carry out their jobs.
- iii. The managers would not be able to inform workers of changes
- iv. The organization would not be aware of their competitor's activities

And the list is endless.....

Organizations cannot operate without communication. Communication can take various forms but all forms involve the transfer of information from one party to the other. In other for the transfer of information to qualify as communication, the recipient must understand the meaning of the information transferred to them. If the recipient does not understand the meaning of the information conveyed to them, communication has not taken place. On the whole, people are able to communicate with each other as this is a basic human function (David & Lawrence, 2001). However successful organizations strive not only for communication, but effective communication.

12.2 FORMS OF COMMUNICATION PATTERNS

1. Formal and Informal communication pattern

Formal communication is defined as communication which occurs through the official organizational channels or is undertaken by an employee to do their job. For example official meetings, letters and a manager asking an employee to carry out a particular task. This is communication that takes place within (or across) an organization. In addition to the usual face to face, telephone, fax or mail, modern organizations may use technology to communicate internally. Technology may be used for e-mails or a linked internal communication system such as the intranet which is an internet system designed solely for use by those working for the organization.

Informal communication is that which occurs outside the recognized communication networks such as talking in the lunchroom or hallways between employees. Informal communication can be productive or negative. It has the potential to build teams,

improve working relationships and generate ideas as employees are in a relaxed environment. Sometimes, it is referred to as external communication.

2. Internal and External Communication pattern

Internal communication is a communication pattern that exists within the organization. It deals with the transfer of information within the same organization, with the interference of any external author. The actors involved in the communication process, both exist within the organization.

External communication is communication between the organization and those outside the organization. Modern organizations may design technological systems so that they can communicate with customers and undertake e-Commerce. Alternatively they communicate with other businesses through the internet or similar systems and undertake e-Business.

3. Upward and Downward Communications

Downward communication is communication created by directors and managers and passed down the hierarchy of workers in the organisation. In traditional organisations this is the preferred method of communication i.e. Managers decide what the systems, rules and procedures will be and then they pass these down to employees they manage and supervise. Downward Communication can increase efficiency by synchronising organisational procedures and can ensure that everybody is working towards the same overall aims and objectives. Types of downward communication include job descriptions, appraisals/evaluations, organisational policy, and organisational systems.

Although there are advantages to downward communication organisations have began to encourage upward communication. This is communication which originates at the lower level of the employment hierarchy and is then communicated up through the line. Organisations encouraging upward communication believe that everybody is capable of generating thoughts and ideas which may help the organisation to progress, particularly when they are working closely in the area that the idea applies to. Upward communication may increase motivation and make employees feel valued and respected whilst enabling managers to understand how employees are feeling. Furthermore, if problem occur at they are more likely to be identified earlier by those working closely in the area that they occur. Types of upward communications include

suggestion schemes, feedback forums/ surveys, grievance procedures and employee-manager discussions.

4. Lateral and Diagonal Communication

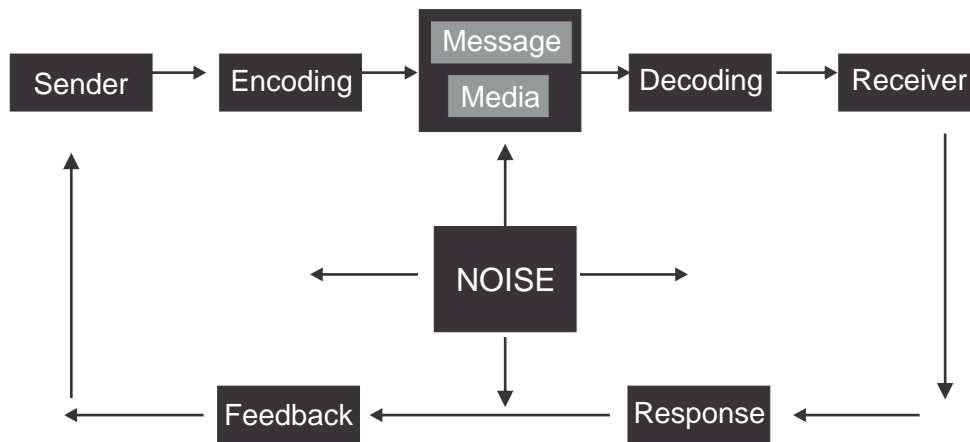
This is communication that occurs between employees on the same level in the organisation. As this can involve decision making, it can create efficiency as employees do not have to wait for managerial approval. On the other hand, if the manager is not kept informed or if the manager fails to set boundaries there is potential for conflict, this occurs when communication occurs between workers in a different section of the organisation and where one of the workers involved is on a higher level in the organisation.

12.3 MEANING OF INTERPERSONAL COMMUNICATION

Interpersonal communication is the communication between two or more people and involves the transfer of information (or message) from one person to the other(s). The person transferring the information is called the sender or transmitter. The people receiving the message are known as receivers. The transmitter will need to send the information in a format that the receiver(s) will understand. Converting the information into a format that the receivers will understand is known as Encoding.

Messages can be encoded into a variety of formats; oral, written or visual. After encoding, the message is transferred via a medium called a channel, for example a letter, fax, phone call, or e-mail. After transference the information will need to be interpreted by the receiver. This process of interpretation is known as decoding. Finally the receiver will send a message back to the transmitter confirming whether the information sent has been understood. This back check is known as feedback.

The communication process involves seven key elements as illustrated in the diagram below.



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12.4 BARRIERS TO EFFECTIVE COMMUNICATION

There are certain barriers to effective communication in the organization. These include,

1. **Language barrier** This affects the ability of the receiver(s) to properly understand the message that is being communicated. Language barrier occurs when the transmitter's language is foreign or not understood by the receiver. There may also be language barriers when the message communicated contains some technical information that the receiver is not familiar with. This will affect his ability to respond to the message.
2. **Cultural barrier/ differences:** Cultural differences are created when there is difference in the individual(s) cultural background, experience and perception of the world. Such cultural differences may affect the interpretation (decoding) of the message sent on the part of the receiver.
3. **Environmental issues:** If the environment that the transmitter or receiver is in, is noisy and full of sound; the sounds may prevent the message being fully understood. Background noise is often created by colleagues or machinery.
4. **Channel issues:** If the channel used to transfer the information is poor, it may prevent all or some of the information being transferred. Examples include a faulty fax machine, a crackling phone, handwriting that cannot be read or in the case of oral messages incorrect facial gestures.

5. **Receivers attitude and behaviour:** If the receiver(s) is not interested in the message (or unable to give their full attention to decoding) this may reduce the amount of information received or the accuracy of the information transmitted to them. Similarly the receiver(s) may misinterpret the message by "jumping to conclusions" or reading the message in a manner that suits their own interests/objectives and distort the true meaning of the message.
6. **Transmission journey:** i.e. steps in the message, if the message is complicated or there are lots of steps taken to transfer the message, it may affect the accuracy or interpretation. Often, this happens in the Civil Service, when messages have to go through a lot of administrative routing and procedures.
7. **Competing attentions:** Communicators are often faced with messages that compete for attention. Imagine this; if you're talking on the phone while scanning a report, both messages are apt to get short shrift. Even your own messages may have to compete with a variety of interruptions: The phone rings every five minutes, people intrude, meetings are called, and crises arise. In short, your messages rarely have the benefit on the receiver's undivided attention.

12.5 OVERCOMING COMMUNICATION BARRIERS

There are several ways of overcoming communication barriers. Bakke (2004) highlighted some of them to include,

1. **Avoiding complexity in message content.** When formulating messages, it is important to avoid complexities in the message to be communicated. Thus, the sender must adjust the ideas and style, so that there are easily understood. Avoid the use complex dictions in the message. The message content must be simple, clear and brief. To overcome physical distractions, try to prepare well written documents which are clear, concise, and comprehensive. When preparing oral presentations try to find a setting which permits audience to see and hear the speaker clearly.
2. **Try to overcome message competition.** To overcome competition barriers, avoid making demands on a receiver who doesn't have the time to pay careful attention to your message. Make written messages visually appealing and easy to understand, and try to deliver them when your receiver has time to read

them. Oral messages are most effective when you can speak directly to your receiver (rather than to intermediaries or answering machines). Also, be sure to set aside enough time for important messages that you receive. Business messages rarely have the benefit of the audience's full and undivided attention.

3. **Overcoming status barrier:** Employees of low status may be overly cautious when sending messages to managers and may talk only about subjects they think the manager is interested in. Similarly, higher-status people may distort messages by refusing to discuss anything that would tend to undermine their authority in the organization. Moreover, belonging to a particular department or being responsible for a particular task can narrow your point of view so that it differs from the attitudes, values, and expectations of people who belong to other departments or who are responsible for other tasks.

To overcome status barriers, keep managers and colleagues well informed. Encourage lower-status employees to keep you informed by being fair-minded and respectful of their opinions. When you have information that you're afraid your boss might not like, be brave and convey it anyway. Status barriers can be overcome by a willingness to give and receive bad news.

4. **Building trust is a difficult problem.** Without trust free and open communication is effectively blocked, threatening the organization's stability. Just being clear in your communication is not enough, you have to build trust, maintain a great disposition, and maintain an atmosphere of fairness. To overcome trust barriers, be visible and accessible. Don't insulate yourself behind assistants or secretaries. Share key information with colleagues and employees, communicate honestly, and include employees in decision making. For communication to be successful, organizations must create an atmosphere of fairness and trust (Tosi, Rizzo & Carroll, S. (2006).
5. **Improving communication structures.** Organizational communication is effected by formal restrictions on who may communicate with whom and who is authorized to make decisions. Designing too few formal channels blocks effective communication. Strongly centralized organizations, especially those with a high degree of formalization, reduce communication capacity, and they decrease the tendency to communicate horizontally thus limiting the ability to coordinate activities and decisions. Large organizations tend to provide too

many vertical communication links, so messages become distorted as they move through the organization's levels.

To overcome structural barriers, offer opportunities for communicating upward, downward, and horizontally (using such techniques as employee surveys, open-door policies, newsletters, memo, and task groups). Try to reduce hierarchical levels, increase coordination between departments, and encourage two-way communication.

6. Use appropriate communication medium. An appropriate communication medium will reduce tendencies of distortions in the communication process. You can select the most appropriate medium by matching your choice with the nature of the message and of the group or the individual who will receive it. Face-to-face communication is the richest medium because it is personal, it provides immediate feedback, it transmits information from both verbal and nonverbal cues, and it conveys the emotion behind the message. Telephones and other interactive electronic media aren't as rich; although they allow immediate feedback, they don't provide visual nonverbal cues such as facial expressions, eye contact and body movements. Written media can be personalized through addressed memos, letters, and reports, but they lack the immediate feedback and the visual and vocal nonverbal cues that contribute to the meaning of the message. The leanest media are generally impersonal written messages such as bulletins, fliers, and standard reports. Not only do they lack the ability to transmit nonverbal cues and to give feedback, they also eliminate any personal focus.

To overcome media barriers, choose the richest media for no routine, complex message. Use rich media to extend and to humanize your presence throughout the organization, to communicate caring and personal interest to employees, and to gain employee commitment to organizational goals. Use leaner media to communicate simple, routine messages. You can send information such as statistics, facts, figures and conclusions through a note, memo or written report

7. Use appropriate communication climate. Communication climate is influenced by management style, and a directive, authoritarian style blocks the free and open exchange of information that characterizes good communication. To overcome climate barriers, spend more time listening than issuing orders.

8. Employ ethical communication style. An organization cannot create illegal or unethical messages and still be credible or successful in the long run. Relationships within and outside the organization depend on trust and fairness. To overcome ethics barriers, make sure your messages include all the information that ought to be there. Make sure that information is adequate and relevant to the situation. And make sure your message is completely truthful, not deceptive in any way.
9. Employ an efficient communication style. Producing worthless messages wastes time and resources, and it contributes to the information overload already mentioned. Reduce the number of messages by thinking twice before sending one. Then speed up the process, first, by preparing messages correctly the first time around and, second, by standardizing format and material when appropriate. Be clear about the writing assignments you accept as well as the ones you assign.

Review Questions

1. Define the terms communication and interpersonal communication.
2. Using appropriate examples mention and explain the various forms of communication Pattern.
3. Identify 5 likely barriers to effective organizational communication. From the identified problems, mention ways in which they can be improved.

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**PRACTICES IN
PUBLIC ADMINISTRATION**





BUREAUCRACY AND PUBLIC ADMINISTRATION



- 13.1 The meaning of bureaucracy
- 13.2 Types of bureaucracy
- 13.3 Max Weber on bureaucracy
- 13.4 Basic elements of bureaucracy
- 13.5 Objectivity of bureaucracy
- 13.6 Characteristics of an ideal-type bureaucracy
- 13.7 Criticism of Max's idea of bureaucracy
- 13.8 The application of an ideal bureaucracy in a democratic society
- 13.9 Robert Merton on bureaucracy
 - 13.9.1 Robert Merton criticism of Weber's bureaucracy
- 13.10 Karl Marx on bureaucracy
- 13.11 Advantages and disadvantages of bureaucracy
- 13.12 Problems and challenges of applicability bureaucracy in the public service
- 13.13 Ways to enhance effective bureaucratic system

13.1 THE MEANING OF BUREAUCRACY

Every organization has a certain objective to achieve. However, members of the organizations do not necessarily share the same objectives, and therefore, a need for control over their activities arises so that the organization is able to meet their objectives. Authority therefore is needed to advance and achieve the objective of an organization. Bureaucracy is a form of authority using structures and sets of regulation in place to control activity. It is represented by standardized procedure (rule-following) that dictates the execution of most or all process within the body. It is one of the most efficient and fair way of control over an organization.

Bureaucracy is derived from the word bureau, used from the early eighteenth century in Western Europe to refer not only to a writing desk, but to an office, or a workplace, where officials worked. The original French meaning of the word *bureau* was the baize used to cover desks. The Greek suffix *kratia* or *kratos* means "power" or "rule." Bureaucracy thus basically means office power or office rule, the rule of the officialdom. The term bureaucracy came into use shortly before the French Revolution of 1789 and from there spread rapidly to other countries. Max Weber's work about bureaucracy, translated into English in 1946, was one of the major contributions that have influenced the literature of public administration.

Harold Laski, in the 1930 Encyclopedia of the Social Sciences, defined bureaucracy as a *system of government the control of which is so completely in the hands of officials that their power jeopardizes the liberties of ordinary citizens; the characteristics of which include a passion for routine in administration, the sacrifice of flexibility to rule, delay in the making of decisions, and a refusal to embark upon experiment; in extreme cases resembling a hereditary caste manipulating the government to its own advantage* (Laski 1930:70).

The renowned sociologist Max Weber (1947:328) -- often championed as the father of bureaucracy -- defined the term as referring to an organization of administrative hierarchy characterized by loyalty to the office, a highly specialized division of labor, and impersonal relationships based on prestige, power, and control. Weber (1946) presents bureaucracy as both a scientific and generic model that can work in both the public and private sectors (Rainey, 1996). For example, Weber asserts that:

The bureaucratic structure goes hand-in-hand with the concentration of the material means of management in the hands of master. This concentration occurs, for instance in a well-known and typical fashion, in development of big capitalist enterprise, which finds their essential characteristics in this process. A corresponding process occurs in public organization (1946).

This belief in science was evident in Max Weber's rational-legal authority, which became the defining feature of organizational structures, especially government bureaucracies, to this day. It steered organizational setups to rational based considerations, which are in line with the science of administration idea. In other words,

Weber's bureaucracy consists of the traditional way of thinking in public administration that relied on the same “ingredients” to reform public administration based on the science of administration (Thompson, 2005).

Bureaucracy is the means of carrying community action over into rationally ordered social action... an instrument for socializing relations of power, bureaucracy has been and is a power instrument of the first order” (in Friedrich, 1940; Finer, 1941; Simon, 1947). Bureaucracy is, from a purely technical point of view, capable of attaining the highest degree of efficiency and is in this sense formally that most rational known means of carrying out imperative control over human beings.

13.2 TYPES OF BUREAUCRACY

According to Forstein(1992), there are four types of bureaucracy: The Guardian bureaucracy, Caste bureaucracy, Patronage bureaucracy, and the Merit bureaucracy.

- (1) The Guardian Bureaucracy. Marx cites two examples of 'Guardian Bureaucracy' viz Chinese bureaucracy up to the advent of the Sung period (960 A.D.) and the Prussian Civil Service during 1640 and 1740. This type may be defined as “a scholastic officialdom trained in right conduct according to the classics “(Marx). Such civil service regarded itself as custodians of public interest, but was independent of and unresponsive to the public opinion. It was righteous, incorruptible, efficient, competent and benevolent on the one hand, but authoritarian and responsive on the other.

- (2) The Caste Bureaucracy. The Caste bureaucracy has a class and 'arises from the class connection of those in the controlling position'. (Marx). Such type is widely prevalent in oligarchical political systems. Under such systems only persons belonging to upper classes or higher castes can become public officials. Thus, in ancient India, only Brahmins and Kshatriyas could become high officials. Another way in which such a type manifests is 'linking the qualifications for the higher posts with arrangements that amount to class preference. (Marx). This is what Willoughby has described as the aristocratic type existing in England till recently. The British rulers introduced the class

character in the Indian civil services as well. The 'civil lines' where almost all the 'civilians' lived was just the counterpart of the 'cantonment' in which the military forces lived.

Concentration of officers in spacious bungalows in one locality away from the city, exclusive clubs of officers, and distance from the public, officiousness, and love of precedence, secrecy and formalism were the manifestations of the class character of Indian civil service. Even today the civil service in India has not been able to shed completely its class character. In the words of Appleby, "personnel ... are arranged self-consciously in too firm 'classes' and too firm and too many special 'services' with barriers between classes and services too high ... there is too much and too constant consciousness of rank, class, title and service membership, too little consciousness of membership in the public service.

- (3) **The Patronage Bureaucracy.** Another name for the patronage bureaucracy is the 'spoils system'. There is a subtle difference between these two terms patronage, and spoils system. In both, the recruitment is based on favouritism. But in patronage, the person would continue in employment while in spoils the beneficiaries have to quit when the government changes. In contrast to the spoils the beneficiaries have to quit when the government changes. In contrast to the spoils system, patronage provides stability of tenure. The traditional home of spoils has been the U.S.A. patronage had full sway in the U.K., till the middle of the nineteenth century.

This type of civil service exists where public jobs are given as a personal favour or political reward. The system, it is interesting to note, worked differently in the two countries mentioned above. In the U.K. patronage bureaucracy marched side by side with an aristocratic social order and fulfilled its purpose. The patronage in Britain was used only for the benefit of the scions of the nobility. In the United States, on the contrary, the spoils system worked quite differently and jobs went as spoils to the victorious political party. The American patronage was, thus, an exercise in 'democracy'. The system of spoils

began on a minor scale and apologetically with Washington, Jefferson, and Adams, became a torrent in 1829, when Jackson came into office, and from that time until 1883, swept through all the offices of government without let or hindrance, and most usually without moral inhibitions.

The case for the spoils system was put at its best by President Jackson in the first annual message to congress in 1829. "The duties of all public officers are, or at least admit of being made, so plain and simple that men of intelligence may readily qualify themselves for their performance; and I cannot but believe that more is lost by the long continuance of men in office than is generally to be gained by the experience. . . . No one man has any more intrinsic right to official station than another". Such a system, however, could not produce a civil service competent to cope with the ever-growing complexities of the governmental functions after the setting in of the industrial revolution. "The patronage system stood condemned as an anachronism for its lack of technical competence, its slip shop discipline, its concealed rapaciousness, its erratic ways, its partisanship, and its want to spirit.

- (4) Merit Bureaucracy has, as its basis, merit of the public official and, as its aim, efficiency of the civil service. It aims at 'career open to talent". In other words, the attempt is to recruit the best man for the public service, his merit being judged by objective standards. This is the method in vogue in all civilized countries. Appointment to public service is no longer governed by class considerations, and it is no more a gift or a favour. Nor is the public servant any longer the self-appointed guardian of the people. The civil servant in a modern democracy is really an official in the service of the people, and is recruited on the basis of prescribed qualifications tested objectively. He owes his job to no one except to his industry, intelligence, and luck.

13.3 MAXWEBER ON BUREAUCRACY

Max Weber was one of the most influential users of the word. He is well-known for his study of bureaucratization of society. Many aspects of modern public administration go back to him; a classic, hierarchically organized civil service of the continental type is if

perhaps mistakenly called *Weberian civilservice*. However “bureaucracy” was an English word before Weber; the Oxford English Dictionary cites usage in several different years between 1818 and 1860, prior to Weber's birth in 1864.

Weber described the ideal type bureaucracy in positive terms, considering it to be a more rational and efficient form of organization than the alternatives that preceded it, which he characterized as *charismatic domination* and *traditional domination*. According to his terminology, bureaucracy is part of legal domination. However, he also emphasized that bureaucracy becomes inefficient when a decision must be adapted to an individual case. According to Weber, the attributes of modern bureaucracy include its impersonality, concentration of the means of administration, a leveling effect on social and economic differences and implementation of a system of authority that is practically unchallengeable.

Weber's analysis of bureaucracy concerns:

- a) the historical and administrative reasons for bureaucratization
- b) the impact of the rule of law upon the bureaucratic organisations
- c) the personal orientation and occupational position of the status group of bureaucratic officials
- d) the attributes and consequences of bureaucracy in the modern world

Weber's interest in the nature of power and authority, as well as his pervasive preoccupation with modern trends of rationalization, led him to concern himself with the operation of modern large-scale enterprises in the political, administrative, and economic realm. Bureaucratic coordination of activities, he argued, is the distinctive mark of the modern era. Bureaucracies are organized according to rational principles. Offices are ranked in a hierarchical order and their operations are characterized by impersonal rules. Incumbents are governed by methodical allocation of areas of jurisdiction and delimited spheres of duty. Appointments are made according to specialized qualifications rather than ascriptive criteria. This bureaucratic coordination of the actions of large numbers of people has become the dominant structural feature of modern forms of organization. Only through this organizational device has large-scale planning, both for the modern state and the modern economy, become possible. Only through it could heads of state mobilize and centralize resources of political power, which in feudal times, for example, had been dispersed in a variety of centers. Only with

its aid could economic resources be mobilized, which lay fallow in pre-modern times. Bureaucratic organization is to Weber the privileged instrumentality that has shaped the modern polity, the modern economy, the modern technology. Bureaucratic types of organization are technically superior to all other forms of administration, much as machine production is superior to handicraft methods.

Yet Weber also noted the dysfunctions of bureaucracy. Its major advantage, the calculability of results, also makes it unwieldy and even stultifying in dealing with individual cases. Thus modern rationalized and bureaucratized systems of law have become incapable of dealing with individual particularities, to which earlier types of justice were well suited. The "modern judge," Weber stated in writing on the legal system of Continental Europe, "is a vending machine into which the pleadings are inserted together with the fee and which then disgorges the judgment together with the reasons mechanically derived from the Code."

Weber's focus on the trend of rationalization led him to concern himself with the operation and expansion of large-scale enterprises in both the public and private sectors of modern societies. Bureaucracy can be considered to be a particular case of rationalization, or rationalization applied to human organization. Bureaucratic coordination of human action, Weber believed, is the distinctive mark of modern social structures.

Rationality of Weber's Bureaucracy

Weber argues that human civilization evolved from primitive and mystical to the rational and complex stages and relationships. Weber believes that societies move from the primitive stage to theoretical and technical ones. According to Weber, the evolution of societies is facilitated by three types of authority that he identifies as traditional, charismatic and legal-rational authority (Fry, 1989). It is the legal-rational type of authority that constitutes the basis of Weber's concept of bureaucracy and the foundation of modern civilization as it is premised on "a belief in the legitimacy of the pattern of normative rules and the rights of those elevated to authority under such rules to issue commands" (Stillman, 2000, 51).

Since Weber argues that bureaucracy grows because of society's needs of provision of education, health, social services, collecting taxes, and others, and therefore work has to be divided and specialized to achieve the things desired by the society. In this vein, Stillman (2000) quotes Weber stating that “the proper soil for bureaucratization of administration has always been the development of administrative tasks” (Stillman, 2000, 52). Key features of the ideal type of bureaucracy that Weber presents are division of labor, hierarchal order, written documents, well-trained staff and experts, full working capacity of the officials, and application of impersonal rules (Hummel, 1998, 307). However, these ingredients of bureaucracy may not, always, help organizations to reach its ideal work or the most efficient performance. Crozier (1964) argues that some of the bureaucratic characteristics including the impersonal rules, hierarchy, and centralization of decision-making might lead to the inability of the organization to correct or change its behavior by learning from its previous mistakes while serving the society.

In fact, work within bureaucracy has to be divided rationally into units that can be undertaken by individuals or groups of individuals in a diligent manner. The hierarchical order is necessary for separating superiors from subordinates whereas impersonal rules are meant to ensure that bureaucrats are confined to prescribed patterns of conduct or performance imposed by legal rules. The rules are meant to facilitate a systematic control of subordinates by their superiors, “thus limiting the opportunities for arbitrariness and personal favoritism” (Stillman, 2000, 52). The operations of the bureaucracy “exclude irrational feelings and sentiments in favor of the detached, professional expert” (Fry, 1998, 33). Therefore, one may deduce from the foregoing that Weber believes that organizational goals can be attained if there is a science of administration which separates facts from values.

Moreover, Weber believes that bureaucracy is the most rational and efficient organizational form devised by man. Weber's bureaucracy “is rational in that it involves control based on knowledge, it has clearly defined spheres of competence, it operates according to intellectually analyzable rules, and it has calculability in its operations” (Fry, 1998, 32). In the same vein, Weber's “[b]ureaucracy is efficient because of its precision, speed, consistency, availability of records, continuity, possibility of secrecy,

unity, rigorous coordination, and minimization of interpersonal friction, personal costs, and material costs” (Fry, 1998, 32).

Domination is what Weber's concept of bureaucracy is all about according to Brian R. Fry (1998) in *Mastering Public Administration*. It is a domination that “is exerted through administration” and “that legal domination requires bureaucracy for its exercise” (Fry, 1998, 15). Bureaucracy, states Fry, is Weber's tool to express the most efficient and rational form of organization. By its essence, bureaucracy involves the element of control based upon the acquisition of specific types of knowledge. It is the efficient manner in which bureaucracy controls such knowledge that is its hallmark.

Weber states about efficiency and bureaucracy that:

Experience tends universally to show that the purely bureaucratic type of administrative organization that is, the monocratic variety of bureaucracy is, from a purely technical point of view, capable of attaining the highest degree efficiency and is in this sense formally the most rational known means of carrying out imperative control over human beings. It is superior to any other form of precision, in stability, in the stringency of its discipline, and its reliability. . . it is the scope of its operations, and is formally capable of application to all kinds of administrative tasks (Weber, 1947, 337)

Rational decision-making is the underlying root to the success of bureaucracy. The ideal-type of bureaucracy, according to Weber, possesses rationally discussible grounds for every administrative act. Further, it dispenses equality in concept and application as well as establishing relationships based upon a sense of permanence.

According to Weber, bureaucratic organizations operate “*sine ira ac studio*, meaning without a sense of bias or favour, relying solely on a professional decision-maker” (Rheinstein, 1954, 190-2). With such an emphasis on professionalism, there is a sense of a guarantee that rational objectivity is the order of the day rather than the personal choices of an arbitrary authority according to Weber. We can critically assess bureaucracies as organizations with similar elements to the ones described by Foucault (1975) in this book, *Discipline and Punish: The Birth of the Prison*. Are not the employees

of public organizations taught certain methods and norms? Do not they follow specific rules, procedures and ways of performing their tasks? We see structures of societal institutions that remind us of the Panopticon; workers can see and can be seen. They are constantly supervised, analyzed, tested, and reprimanded for not following the norms.

13.4 BASIC ELEMENTS OF BUREAUCRACY

The basic elements and characteristics of the bureaucratic organizations are Written Rights & Responsibility, Hierarchical Order of Authority, Formal Appointment / Promotion, Expert / Technical Training, Fixed Monetary Salaries, Administration as a Full-time Occupation and the Separation of Office & Person. We will discuss the following below:

- i. **Written Rights & Responsibility:** In a bureaucratic organization, rules & guidelines are all written down on paper, and employees are expected to work within the confines of this rules & guidelines. Job & departmental responsibilities are also stated clearly, and employees are to work within their specified areas. It is a cardinal principal that the incumbent in this position should never overstep the bounds of his authority.
- ii. **Hierarchical Order of Authority:** The organization has a order of hierarchy and the division of power involves the ranking of offices to provide a clear chain of command. In bureaucracies, the hierarchy is also typically complex leading to many levels providing a highly differentiated structure of authority.
- iii. **Formal Appointment / Promotion:** Appointments & Promotion of officers are formal, with specific titles and power which come from the office assigned to Expert / Technical Training: Employees are employed base on their technical competency in their position of employment. Factors like luck, favoritism or personal connection should play no part in the position the officials attains; advancement should be decided by expertise and ability alone.
- iv. **Fixed Monetary Salaries:** Employees are paid on a pre-agreed salary between the employer and employee. Salaries are tied to a pay grade system, with all employees in a certain pay grade drawing similar amount of salary. As they are

promoted, they move forward in the pay grade, drawing a fixed salary for that particular position.

- v. Administration as a Full-time Occupation: Labour in the organization is divided into various portions, with a group of people doing fully administrative work.
- vi. Separation of Office and Person: All dealings within the bureaucracy and with clients should be conducted on the basis of equal treatment according to procedural routine. The objective conduct of business should be free from any personal feelings.

13.5 OBJECTIVITY OF BUREAUCRACY

Trying to be objective as much as possible, neither democracy nor society will have chance to survive without bureaucracy because the latter (democracy) will not be able to carry out the programmatic promises of its elected leaders (Goodsell, 1994, 152). Waldo (1948) held that since democracy has long been accepted as the most appropriate form of government in America, it has served the “higher law.” The central issue of our time according to Waldo is that the potential conflict of bureaucracy and democracy are intimately joined.

Bureaucracy to Waldo meant large-scale, formal, complex, task specialized, and goal oriented organizations. Democracy is characterized by values and ethics and it is not totally incompatible with bureaucracy. The bureaucracy, on one hand, supports democratic values and, on the other hand, has some conflicting characteristics such as hierarchy and discipline and supervision which conflict with equality and liberty. Waldo contends what we must accept that both bureaucracy and democracy are desirable and necessary and we should seek for an optimum mix between the two (Fry, 1989, 236).

Many researchers examine the assumption that democracy and bureaucracy are incompatible. However, they conclude that bureaucracies respond to local electoral politics in way that reinforces and improves democratic controls (Scholz & Headrick,

1991, 829-850). The traditional view is that bureaucrats who are members of professions are especially adept at evading external controls because of their special expertise and ties to professional groups outside government. However, bureaucratic professionals *often* have no monopoly of skills or information, hold no homogenous values, and are subject to numerous checks.

On the positive side, professionalism promotes bureaucratic responsibility and accountability through professional norms, as well as democratic decision rules, and provides “a Rosetta Stone for deciphering and responding to various elements of public interest” (Kearney & Sinha, 1988, 571-579). Moreover, we have to remember that some scholars in the field, including (Rohr, 1985), argue that bureaucrats have the legitimacy to rule based on the following rational justifications:

1. They are competent, well- educated and trained and they do know things
2. They have long-term tenure which enables them to be experts in the details of the public issues in contrast to the politicians who have a fixed period
3. Bureaucrats are from people and they enjoy the values and they have the good will to serve people and society. So they should be given the chance to rule and people should not worry.

13.6 CHARACTERISTICS OF AN IDEAL-TYPE BUREAUCRACY

German sociologist and political economist Max Weber (1864 - 1920) famously noted six key characteristics of bureaucratic structures. Famous for his insights into capitalism and bureaucracies, Weber contributed significantly to the world of social science. By definition an organizational form of a group of workers often characterized by inflexible routine and rigid power structure, bureaucracy introduced a shift in the paradigm of society prior to the 19th century.

1. **Hierarchy:** The first principle of bureaucracy states that a formal hierarchy must exist. The hierarchy consists of power levels that control each subsequent level. The top person in power controls all levels. Common practice entails appointment by a superior rather than election.
2. **Rules:** The next characteristic of the bureaucratic form regards rules and decisions. The strict structure of power requires plenty of control by rules and

- regulations. The top power figures in the bureaucracy make the rules and decisions which must be followed consistently throughout all levels of the structure.
3. **Function:** The third principle of bureaucracy relates to organization and order. Organization remains key to proper functioning of a bureaucracy. This principle maintains that members organize by function and skill as to keep similar individuals together.
 4. **Focus:** Defining the focus of the structure rests the fourth principle of bureaucracy as outlined by Weber. An "in focus" form serves to fulfill the needs of members. Goals of an in focus bureaucracy relate to market share and high profits. Opposed to in focus is up focus. An up focus structure serves to profit stockholders and similarly powerful people.
 5. **Impersonal:** Weber's fifth characteristic relates to the treatment of all employees, members and clients of the bureaucracy. Impersonality rests paramount to the success of the structure. Equal treatment and uniform policies and procedures allow for uniformity and impersonality.
 6. **Qualification:** The final characteristic of bureaucracies relates to employment standards. Similar to impersonality, employment within the bureaucracy relies on qualifications rather than connections and relationships. This characteristic also relates to protection from dismissal without just cause.

According to Weber, bureaucracies are goal-oriented organizations designed according to rational principles in order to efficiently attain their goals. Offices are ranked in a hierarchical order, with information flowing up the chain of command, directives flowing down. Operations of the organizations are characterized by impersonal rules that explicitly state duties, responsibilities, standardized procedures and conduct of office holders. Offices are highly specialized. Appointments to these offices are made according to specialized qualifications rather than ascribed criteria. All of these ideal characteristics have one goal, to promote the efficient attainment of the organization's goals.

The bureaucratic coordination of the action of large numbers of people has become the dominant structural feature of modern societies. It is only through this organizational

device that large-scale planning and coordination, both for the modern state and the modern economy, become possible. The consequences of the growth in the power and scope of these organizations is vital to understanding our world.

13.7 CRITICISM OF MAX'S IDEA OF BUREAUCRACY

As Max Weber himself noted, real bureaucracy will be less optimal and effective than his ideal type model. Each of Weber's seven principles can degenerate:

1. Competences can be unclear and used contrary to the spirit of the law; sometimes a decision itself may be considered more important than its effect;
2. Nepotism, corruption, political infighting and other degenerations can counter the rule of impersonality and can create a recruitment and promotion system not based on meritocracy but rather on oligarchy;

Even a non-degenerated bureaucracy can be affected by common problems:

1. Overspecialization, making individual officials not aware of larger consequences of their actions
2. Rigidity and inertia of procedures, making decision-making slow or even impossible when facing some unusual case, and similarly delaying change, evolution and adaptation of old procedures to new circumstances;
3. A phenomenon of *group thinking* zealotry, loyalty and lack of critical thinking regarding the organisation which is *perfect* and *always correct* by definition, making the organisation unable to change and realise its own mistakes and limitations;
4. Disregard for dissenting opinions, even when such views suit the available data better than the opinion of the majority;
5. A phenomenon of Catch-22 (named after a famous book by Joseph Heller) as bureaucracy creates more and more rules and procedures, their complexity rises and coordination diminishes, facilitating creation of contradictory and recursive rules, as described by the saying "the bureaucracy is expanding to meet the needs of the expanding bureaucracy".
6. Not allowing people to use common sense, as everything must be as is written by the law.

13.8 THE APPLICATION OF AN IDEAL BUREAUCRACY IN A DEMOCRATIC SOCIETY

From Waldo's (1948) insight about the impossibility of really separating politics and administration, scholars of public administration can infer that there is tension in the literature between bureaucracy and democracy. Regarding the fourth limitation, many American scholars have expressed their concerns that the reality of bureaucratic discretion is a threat to democratic norms and practices. For example, we do not know how bureaucracy functions in light of what both Blau and Meyer argue that "to protect ourselves against the threat of bureaucratic domination while continuing to take advantage of the efficiencies of bureaucracy, we must first learn fully to understand how bureaucracies function" (Blau and Meyer quoted in Lane, 1999, 8).

Blau and Meyer explain that Weber confessed that established bureaucracies are, at best, ambivalent toward democracy. "On the one hand, bureaucratization tends to accompany mass democracy. on the other hand, it is not responsive to public opinion" (Blau and Meyer quoted in Lane, 1999, 12). People ask all the times whether public bureaucracies can be controlled completely or not, according to Lane (1999). James Wilson (1989) clarifies that there are three ways in which political power may be gathered undesirably into bureaucratic hands:

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by the growth of an administrative apparatus so large as to be immune from popular control, by placing power over a governmental bureaucracy of any size in private rather than public hands, or by vesting discretionary authority in the hands of public agency so that the exercise of that power is not responsive to the public good (Lane, 1999, 40).

Meier and O'Toole (2006) find that bureaucrats are powerful and can alter political programs to reflect their own values they are strategic agents. Wilson (1989) argues that American bureaucracy is laden with rules, "that is a sure sign that the bureaucracy is aloof from the people, distant from their concerns and preoccupied with the power and privileges of the bureaucrats an elaborate, grinding machine that can crush the spirit of any who dare oppose it" (Wilson, 1989, quoted in Stillman, 2000, 484). Due to the irreconcilable differences between administrative traditions and the impossibility of managing a modern society without bureaucracy, it is not surprising that scholars have had difficulty explaining the relationship between bureaucracy and representative government. The problems bureaucrats must deal with do not always fit into the hierarchy and authority based structures.

Although McSwite (1997) lament the reluctance of people within the field of public administration to resolve the question of how bureaucracy fits into democracy, they are of the view that "keeping the question alive is essential to the identity that it wishes to maintain for the republic administrator the power-wielding Man of Reason" (231). In other words, the more time we spend discussing the role of bureaucracy in the organizational development, the more the professionals or experts (bureaucrats) who dominate the decision-making process will continue to consolidate their position within the society.

American liberal thought is a major source of frustration to those who seek a theoretical base that integrates democratic and bureaucratic theory. This tension generates a conflict between democratic and bureaucratic perspectives on governance and precludes an effective integration of the two. What seems clear is that the conflict between bureaucracy and democracy is steeped in "primordial controversy" (Rohr, 1986, 59-73). A discourse on the tensions between bureaucracy and democracy could provide guidance to administrators through a better understanding of the conceptual barriers to the development of a theory of democratic administration.

The tension between bureaucracy and democracy leads the discussion to the issues of legitimacy of bureaucracy, power, discretion, and judgment in the field of public administration. Stivers (2001) states that

This tension [between democratic governance and bureaucratic effectiveness] has made important topics of debate. . . Beneath these questions is the even more fundamental issue. . . how to make the power exercised by career bureaucrats consistent with the democratic government. It is assumed that modern government needs the expert and efficient action that bureaucracy makes possible. But a basic tenet of democracy, enshrined in the U.S. Constitution, is that public power ultimately comes from the people. How, then, does the bureaucracy make itself answerable to the people? (Stivers, 2001:159).

Bureaucracy is no longer considered a closed system since citizens can participate in the decision-making process through advisory boards, neighborhood council and others forms. In this vein, Wilson (1989) contends that the system has become irrational and inefficient. He bemoans this situation by stating that “this popular involvement would be taken as evidence that the administrative system is no system at all, but a bungling, jerry-built contraption wallowing in inefficiency and shot through with corruption and favoritism” (Wilson quoted in Stillman, 2000, 484). As a result of adherence to rules and openness to the public, Wilson observed that “public bureaucracy in this country is neither as rational nor predictable as Weber hoped nor as crushing and mechanistic as he feared. It is rule-bound without being corrupt” (Wilson quoted in Stillman, 2000, 484). He goes further by arguing that the governments of the United States were not designed to be efficient or powerful, but to be tolerable and malleable.

13.9 ROBERT MERTON ON BUREAUCRACY

Robert K. Merton believed society could develop alternatives to current institutions by analyzing their dysfunctions. His essay "Bureaucratic Structure and Personality" (Merton 1957) describes the "red tape" and other inefficiencies of bureaucracy.

Merton suggested that, if the predominance of rational rules, and their close control of all actions, favors the reliability and predictability of the bureaucrat's behavior, as Weber believed, it could equally lead to his lack of flexibility and his tendency to turn means into ends. Instead of serving as means to an end, these rules become ends in and of themselves:

Such inadequacies in orientation which involve trained incapacity clearly derive from structural sources...

1. *An effective bureaucracy demands reliability of response and strict devotion to regulations.*
2. *Such devotion to the rules leads to their transformation into absolutes; they are no longer conceived as relative to a set of purposes.*
3. *This interferes with ready adaptation under special conditions not clearly envisaged by those who drew up the general rules.*
4. *Thus, the very elements which conduce toward efficiency in general produce inefficiency in specific instances. Full realization of the inadequacy is seldom attained by members of the group who have not divorced themselves from the meanings which the rules have for them. These rules in time become symbolic in cast, rather than strictly utilitarian (Merton, 1957).*

Merton called this phenomenon "goal displacement." He observed that this occurred when formalistic goals become more important than the main substantive goal of an organization. Merton concluded that bureaucratic characteristics can have both beneficial and harmful effects on organization.

13.9.1 Robert Merton criticism of Weber's bureaucracy

Robert Merton (1952) criticizes Weber's bureaucracy by observing that the bureaucratic features, which Weber believes in enhancing rationality and efficiency, might actually be associated with irrationality and inefficiency. Merton concludes that bureaucracy contains the seeds of its own destruction. This part discusses the bureaucratic model of Max Weber from a critical point of view. It focuses on four main irrational limitations that bureaucracy has in terms of its ideal type, its negligence of informal organization, and its dehumanization as well as its tense relationship with democracy. In particular, Weber's bureaucracy does not consider the important role of the informal relationships that exist in any human organizations. In addition, many in public administration argue that the reality of bureaucratic discretion is a threat to democratic norms and practices that govern and rule the American community.

1. Regarding the first limitation and through examining Weber's bureaucracy carefully, Weber presents to us an idealistic and platonic model of bureaucracy

that can govern and run the public system in any place and at any time. Weber (1946) uses expressions like: “fully developed,” “the pure type,” “most highly developed” or “purely objective considerations” which indicate that his model of bureaucracy is perfect and complete and it always functions effectively and efficiently. Having problems in the public performance and its inability to meet the whole citizens' social needs and political rights in any country negates the claim that the bureaucratic model is an idealistic and platonic system. Bureaucracy of Weber has not demonstrated that it is “fully developed” structure under the regular conditions in reality. Peter Blau and Marshall Meyer (1987) argue that “since perfect bureaucratization is never fully realized, no existing organization precisely fits the 'ideal type'... [which] does not provide understanding of concrete bureaucratic structure”. In other words, it does not seem right for organizations to follow an ideal guide which may never be reached or may not work efficiently when it is applied.

Even though if one argues that the ideal bureaucracy is only a conceptual guide for organizations to follow, it should be clear that this guide might be a misleading one because organization possesses “patterns of activities and interactions that reveal how social conduct is organized” (Blau and Meyer, 1987). Blau and Meyer (1987) assert that “empirical studies have shown that this approach is misleading”. However, this essay emphasizes that the word “ideal” did not imply or mean “the best” or “what we should strive for.” Weber meant it as “defining characteristics” that is, when we use the word this is what is meant. It is essentially a conceptual model of bureaucracy rather than something we thought that we should strive for.

2. The second limitation that one can argue in regard to the bureaucratic model of Weber is the unawareness of the role of informal organization in affecting the efficiency of organization's performance. Weber focuses mainly on the formal elements of bureaucracy such as specialization, rules, hierarchy, and others. On the other hand, the informal elements including human relationships, leadership, communication networks, motivation, and others were not given

the attention that they deserve in the functions of the public and private organizations as well. The existence and importance of informal organization, which is defined as “the aggregate of the personal contacts and interactions and the associated grouping of people” (Barnard, 1966), is highly accepted in the field of management. Barnard (1966) affirms that “informal organizations are necessary to the operation of formal organizations as a mean of communication, of cohesion, and of protecting the integrity of the individuals”. This importance of informal organizations is not seen in the bureaucratic model of Weber which focuses on formal structures only. Even though he talks about some social, political, or behavioral conditions of individuals in organization, his perspective emerges mainly from the framework of the formal organization.

3. Thirdly, Hummel (2007) in his classic book, *The Bureaucratic Experience* (5th edition), argues that bureaucracy is getting worse in spite of all efforts exerted by the theorists of quality management, corporate reengineering, and the new public management because it is still “business as usual” for bureaucracies. He explains that bureaucrat becomes only a mechanistic technician who is detached from her/his humanity, emotions, society, and even her/his individual thinking describing it as “the bomb that threatens humanity.” He adds that bureaucracy replaces human identity, character, and autonomous will by the organization identity (Bodley, 2002, 75).
4. Moreover, bureaucracy forces human to substitute her/his sense of right and wrong while performing her/his daily tasks by decisions, rules, and instructions imposed by higher supervisors who might be away from the real social context and its necessities. Hummel states that bureaucracy deals with human beings as cases rather than human beings who are in need for social and economic services stating that “[w]hat is a case? A case is never a real person”. If the case meets the rules and laws of bureaucracy the case can be served. However, if the case does not meet the eligibility the case can be neglected even if it is worthy to be served from a human discretionary point of view. Hummel announces that there is a conflict between society and bureaucracy and “all

attempts to humanize relationships between a bureaucracy and society must therefore be considered as suicidal or window-dressing when they come from within bureaucracy itself, and as declaration of war when they originate in society". In other words, bureaucracy is blind, deaf, and dumb.

13.10 KARL MARX ON BUREAUCRACY

In Karl Marx's theory of historical materialism, the historical origin of bureaucracy is to be found in four sources: religion, the formation of the state, commerce, and technology.

According to Marx's analysis, the earliest bureaucracies consisted of castes of religious clergy, officials, and scribes operating various rituals, and armed functionaries specifically delegated to keep order. In the historical transition from primitive egalitarian communities to a civil society divided into social classes and estates, occurring from about 10,000 years ago, authority is increasingly centralized in, and enforced by, a state apparatus existing separately from society. This state formulates, imposes and enforces laws, and levies taxes, giving rise to an officialdom enacting these functions. But the growth of trade and commerce adds a new, distinctive dimension to bureaucracy, insofar as it requires the keeping of accounts and the processing/recording of transactions, as well as the enforcement of legal rules governing trade. A fourth source of bureaucracy inheres in the technologies of mass production, which require many standardized routines and procedures to be performed. This type of bureaucracy is nowadays often called a technocracy, which owes its power to control over specialized technical knowledge.

In Marx's theory, bureaucracy rarely creates new wealth by itself, but rather controls, coordinates, and governs the production, distribution, and consumption of wealth. The bureaucracy as a social stratum derives its income from the appropriation of part of the social surplus product of human labor. Wealth is appropriated by the bureaucracy by law through fees, taxes, levies, tributes, licensing etc. Bureaucracy is therefore always a "cost" to society, but this cost may be accepted insofar as it makes social order possible, and maintains it.

13.11 ADVANTAGES AND DISADVANTAGES OF BUREAUCRACY

Advantages of bureaucracy

Bureaucracy is the hallmark of modern society throughout the world. While bureaucracies may not always function in the ideal form that Weber described, when the people working within the structure live for the sake of others rather than for self-centered pursuits the bureaucratic system offers the most efficient method of maintaining a social institution. As such, it provides the possibility for government to function effectively and efficiently, leading the larger and larger societies, with increasingly complex and diverse ways of life for its citizens. Beyond government, numerous other social organizations, both in the public and private sectors have developed bureaucratic forms of leadership, which have succeeded in advancing the goals of their organizations.

Some specific advantages of bureaucracies include:

- 1) Standardization of procedures creates the ability to easily pass knowledge to future workers as well as facilitating better communication among colleagues.
- 2) Division of labor creates economies of scale within organizations, enhancing productivity.
- 3) Formal hierarchy can also increase efficiency, as there is a clear chain of command eliminating the potential for some conflicts.
- 4) Impersonal relationships also lead to easier dismissal of workers, which contributes to greater efficiency.

Despite many actual and potential drawbacks, bureaucracy is the most ubiquitous form of dividing labor among members of an organization, town, state, or nation.

Disadvantages of bureaucracy

Weber's bureaucracy is an ideal model. There are numerous ways in which it can degenerate, some leading only to inefficiency, others with more serious consequences for the maintenance and development of the society:

- 1) Vertical hierarchy of authority can become chaotic, some offices can be omitted in the decision making process, and there may be conflicts of competence;
- 2) Competences can be unclear and used contrary to the spirit of the law; sometimes a decision itself may be considered more important than its effect;

- 3) Nepotism, corruption, political infighting, and other degenerations can counter the rule of impersonality and can create a recruitment and promotion system not based on merit, but rather functioning as an oligarchy;
- 4) Officials can try to avoid responsibility and seek anonymity by avoiding documentation of their procedures (or creating extreme amounts of chaotic, confusing documents).

13.12 PROBLEMS AND CHALLENGES OF APPLICABILITY OF BUREAUCRACY IN THE PUBLIC SERVICE

- 1) Overspecialization, making individual officials not aware of larger consequences of their actions;
- 2) Rigidity and inertia of procedures, making decision-making slow or even impossible when facing an unusual case, and similarly delaying change, evolution, and adaptation of old procedures to new circumstances;
- 3) The phenomenon of "group thinking": zealotry, loyalty, and lack of critical thinking regarding the organization which is viewed as "perfect" and "always correct" by definition, making it unable to change and realize its own mistakes and limitations;
- 4) Disregard for dissenting opinions, even when such views suit the available data better than the opinion of the majority;
- 5) Bureaucracy creates more and more rules and procedures, their complexity raises and coordination diminishes, facilitating the creation of contradictory rules.
- 6) In the most extreme examples, bureaucracy can lead to the treatment of individual human beings as impersonal objects.

13.13 WAYS TO ENHANCE EFFECTIVE BUREAUCRATIC SYSTEM

Nkup (2005), noted that there are several ways in which the bureaucracy can become more efficient and overcome all its challenges; and these ways include;

- 1- Speedy implementation and execution of policies backed by time bound rules and regulations, and judicial procedures for determining policy. The result will be continuous saving of time and money as against red-tape approach.

- 2- Procedural protection and the encouragement of participatory management, where all individuals can feel assured that they are part of the making or successes of the organisation and thus put in their best to facilitate speedy and timely delivery of services
- 3- The immunization of the Bureaus from threat to their survival which in itself can be a demerit and a merit. Immunisation gives the office holder certain degree of security to pursue and attain organisational goals with the needed zeal and commitment.
- 4- Encouragement of innovation, which is change-oriented and in line with the current need for organisations who are ready to meet with the changes that happen daily in the society. This enables the bureau to enjoy responsibility for social functions which are normally expanded by societal need.
- 5- Encourage the public discussion of bureaucratic policies as a panacea to promote accountability and transparency in the actions of government. This approach makes visible to the public what was previously dim and obscure.

In summary, bureaucracy is an effective means of organization, but however, it does and is robbing people working in them of their responsibility by dehumanizing the employee by seeing them as part of the machine suppose to achieve a specific task, by having formal rationality being seen as more important as substantive responsibility, and by goal displacement, where employees see the means, but not the goals of the organization.

Modern organizations however are changing, and many are moving into Human Relations Theory & Job Redesign to empower their employees. Bureaucracy is a crude, ugly machine that is able to churn out products achieving goals of the organization. As it is seen and is already the way to manage organization, it is time to start beautifying and improving on the piece of machinery, to add in certain variable one at a time to see whether it will improve to be a better tool of management.

Review Questions

1. With particular reference to Max Weber, define the term bureaucracy
2. What are the characteristics of an ideal-type bureaucracy?
3. Explain the position of Robert Merton and Karl Max on bureaucracy
4. What are the advantages and disadvantages of bureaucracy?
5. Identify the likely problems and challenges associated with the applicability on bureaucracy in the public service.

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THE PUBLIC SECTOR AND REFORMATION AGENDA IN NIGERIA



14.1 The meaning of public sector

14.2 History of the Nigerian public sector

14.3 Reforming public administration

14.1 THE MEANING OF PUBLIC SECTOR

The public sector refers to all organizations that exist as part of government machinery for implementing policy decisions and delivering services that are of value to citizens. It is a mandatory institution under the Nigerian Constitution of 1999. Chapter VI of the Constitution, Executive, Part 1 (D) and Part II (C) provides for a public service at the federal and state levels of government. The Public Sector in Nigeria is made up of the following:

- (1) The Civil Service, which is often referred to as the core service and is composed of line ministries and extra-ministerial agencies; and
- (2) The Public Service, which is composed of the enlarged public service, including the following: (a) Services of the State and National Assemblies; (b) The judiciary; (c) The armed forces; (d) The police and other security agencies; (e) Paramilitary services (immigration, customs, prisons, etc); (f) 'Parastatals' and agencies including social service, commercially oriented agencies, regulatory agencies, educational institutions, research institutes, etc.

It is obvious that Nigeria has a large public sector running into millions of personnel. Their major function is to implement government policies and programs. While it is true that some governments did (do?) not have any programs for the common good, the public sector has not successfully implemented the policies and programs of those that did. Many civil servants found it easier to align themselves with the government of

the day and participate in treasury looting that has reduced Nigeria to an embarrassment among the comity of serious nations. So, why is the public sector so inefficient?

14.2 HISTORY OF THE NIGERIAN PUBLIC SECTOR

The public service in Nigeria is a colonial heritage of public administration during which the upper echelon of the civil service was dominated by the Europeans on whom were concentrated executive, judicial and legislative powers. Succeeding constitutional reviews increased the stake of Nigerians at the helm of the public service until the Independence in 1960. Independence was supposed to catalyze the evolution of the service as a national institution for spearheading the rapid transformation of the nation and ensuring continuity in administration. It has failed to do any of these. Though the Nigerian public service has undergone changes and transformation over the years, unfortunately, successive reforms have not made significant impact to reengineer the public sector. Reforms were tailored towards achieving efficiency and effectiveness of the service because of the belief of successive governments that a thorough-bred public service was necessary for effective delivery of public good. Again, the public sector has continuously failed to deliver (Ade, 1985).

The rapid pace of the 'Nigerianisation' reforms created a few other problems requiring reform action, prompting some to argue that 'whatever might be the stage in the evolution of the service as at independence, the administrative system has not really gone through the full cycle of its establishment: birth, growth and maturity'. A major reference point in public sector reforms in Nigeria was the Civil Service Review Commission headed by Jerome Udoji which was the first to discuss the issue of efficiency in the public sector. The main purpose of the Udoji Commission was to conduct a comprehensive review of the standards of service and compensation in the civil service and public corporations. Apart from the preoccupation with wages and salaries, the Commission recommended a unified and integrated administrative structure, the elimination of waste and removal of deadwoods/ inefficient departments and the introduction of a results-oriented public sector that functioned on the basis of management by objective. Sadly, the goals of the reforms were not achieved. The Commission is better known for the salary increases it gave to public sector workers.

In 2003, the federal government embarked on yet another reform of the public sector. It has produced a number of changes to the structure of the public service and to its procedures, particularly the monetization of salaries and allowances. Nevertheless, the

universal conclusion of those who have studied the issue is that it has not achieved its fundamental goals. The public sector has not helped President Yar'adua to fine-tune his 7 Point Agenda, or developed an action-plan to implement it. Even if the political leadership fails, it is the job of the public service to help steer the nation in the right direction. Again, what explains the consistent inefficiency in the sector?

It is impossible to explain the public sector's inefficiency in this space, but the following are central to the point: (1) Colonial, outdated administrative machinery; (2) Poor capacity of the majority of civil servants, sometimes to the point of Illiteracy; (3) Certificate forgery to gain entry and get promotions; (4) Age falsification to remain in service beyond the stipulated period/ age; (5) Corruption; (6) Policy reversals; (7) Primordial considerations like ethnicity at the expense of merit, etc. How do these relate to public sector inefficiency?

On a visit to the National Archives in Kaduna in 2007, I caught sight of a memo that was being scanned for digitization. It was written by a white colonial official back in 1907, exactly 100 years ago that year. The same diction, style and procedure are still in use today. Any attempt at modernization is resisted forcefully by civil servants afraid of venturing out of their comfort zone. Similarly, the public sector is full of people that lack the skills required to be efficient in this age. The absence of a secretary or typist to operate a typewriter or computer can truncate important assignments because the big 'ogas' cannot do basic word processing. It is a fact that many workers in the public sector use fake or forged certificates. Indeed, if any serious verification of claimed qualifications is to be undertaken in the sector, many jobs would go (Ade, 1985).

At a time when even the most powerful nations in the world are opting for younger, more energetic leaders, the Nigerian public sector is full of people who have passed the mandatory retirement age of 60 years or 35 years in service. These people have nothing new to offer, but continue to remain in the service courtesy of their 'affidavit ages'. This is a true recipe for incompetence. The issue of corruption is also central to inefficiency in the public sector. Also, when policies and programs (like energy, for instance), are reversed by every government with support of civil servants, little, if anything can be achieved. And when primeval issues like ethnicity determine progress in the sector, efficiency becomes a mirage (*Government White Paper on Ayida Report on the Nigerian Public Service, 1997*).

In conclusion, while it is true that the political elite - whether military or 'democratic' - have made Nigeria the laughing stock of the entire world (no exaggeration), part of the blame lies with civil servants. It is only when the public sector is viewed as different from a public welfare service that true reforms, including the retrenchment of 'un-trainable' staff who create and benefit from the existing chaos, that values such as efficiency and professionalism can be expected from the public sector. At the moment, what obtains is a bazaar mentality, where everything and everybody has a price. And that price is shockingly low

14.3 REFORMING PUBLIC ADMINISTRATION

According to Augustus (2004), public administration is a continuous process in all States. In this sense, it is always undergoing reform. In developing countries in particular, it must keep pace with the wider transformation processes that are being attempted in society. Moreover, droughts, famine, civil war and dramatic changes in leadership can all place additional pressures on public administration in developing societies. Many factors explain this continuous process of transition and change and are briefly described below.

1. *National values.* National values often change with the advent of independence or new political leadership. As a consequence, public administration systems formed in an earlier era for certain purposes may have to be transformed to conform to and serve new values. For example, many developing countries are in the process of modifying current administrative systems to reflect an increasing emphasis on popular participation in public affairs, the accountability of elected representatives and the State's responsibility for the welfare of its citizens.
2. *Changing roles and functions of the State.* As the role and function of the State undergo change, so must administrative capabilities. At one time administrative reforms were carried out to enhance the centrality of the State in the national development process. Now that greater emphasis is being placed on market-based economies and the role of the private sector in economic growth and development, public administration systems are undergoing reforms that will increase opportunities for partnerships between the public sector and the private and non-governmental sectors.

- 3. Environmental change.* Various environmental changes directly impact the nature of demands made on public administration. For example, rapid population growth and burgeoning urbanization and industrialization create dynamics which cannot be handled through traditional public organizations, personnel or methods, and administrative capabilities have to be upgraded and redistributed to meet new demands and situations. Urban sprawl and its attendant high population densities may mean that planners and public officials have to devise new ways to deliver health, sanitation and education.

Similarly, heavy concentrations of young persons in the population may mean that new strategies have to be developed for dealing with unemployment and crime issues.

- 3. Resource availability.* Changing resource availabilities can necessitate adjustments in administrative structures and practices. Over the past decade many developing countries have come under international pressure to carry out structural adjustment programmes that have included administrative reforms. In the absence of well thought-out administrative development plans, many countries have been forced to undertake retrenchment measures on an ad hoc basis. Generally the response has been to apply across-the-board cuts, with undifferentiated attrition in staffs and discontinuance of all new programmes. These strategies can be highly dysfunctional and can affect the long-term future of a country.
- 4. Rigidities.* Public organizations, personnel systems and management practices typically evolve on an ad hoc basis developing both positive and negative characteristics. Administrative reforms which emphasize positive efforts, rationalization and coordination can facilitate the internal functioning of public administration and remove the rigidities that often stall flexible administrative responses to emerging problems and new situations.
- 5. New technologies.* Administrative reforms are a way of taking advantage of new technologies. For example, the introduction of double-entry bookkeeping, new methods of cost accounting, new management techniques or information technologies - all require organizational and procedural changes to exploit their technological potential fully.

The administrative reform process can be costly and time-consuming when the desired result is a public administration that is a genuine instrument of change. Some Governments have shown an enlightened degree of sensitivity towards administrative reform. Although analyses have revealed various weaknesses and change programmes have been known to produce unintended consequences, Governments have now generally recognized the need for greater public-sector productivity. In some instances, Governments have been concerned that the discovery of administrative weaknesses may be used by creditors or donors as an excuse to deny assistance or to impose stringent conditions on funding. This situation usually arises when countries have lost the initiative and are responding to external pressures. The safeguard against these difficulties is not to shun reforms, but to keep the initiative squarely with the national authorities.

14.4 DYNAMICS OF REFORM

Three expressions are used interchangeably in describing measures to enhance administrative capabilities: administrative development; administrative modernization; and reform. While the terms share many common characteristics, each has a different focus and approach.

- a. *Administrative development.* In response to the need for new functions and tasks, administrative development typically means setting up new organizations and inducting new kinds of expertise into the civil service. A good example is the establishment of central planning agencies, sectoral planning units and a number of project-related authorities or units. One organizational expansion was accompanied by the recruitment of economists and engineers into the civil service. Other examples include the creation of public authorities and enterprises to manage a wide variety of development activities.
- B. *Administrative modernization.* The purpose of administrative modernization is to upgrade the capabilities of public organizations and personnel through the use of scientific management and modern management techniques. This has usually involved the creation of policy analysis units, central and departmental "Organization and Method" units and management training institutions. Both administrative development and administrative modernization call for the

expansion of public administration systems. While both approaches have created more opportunities for individuals and organizations, prevailing authority patterns were not directly impacted. The end result was that public administration systems have become large conglomerates of public organizations, personnel and practices characterized by a wide spectrum of archaic and modern entities and ethos. The expectation that newer organizations and personnel would radiate their influence throughout the larger system has not always materialized. In fact, the reverse may have been true. There is mounting evidence that newer segments of organizations have frequently adopted the ethos of older organizations.

Administrative reform. Administrative reform differs from administrative development and modernization in some key respects. For example, reform programmes focus on an existing universe of public administration and seek to deal with government-wide problems. The purpose generally is to promote coordination in the management of public affairs through such measures as standardizing organizational patterns and practices, establishing uniform rules and regulations for public personnel, making management practices more effective and strengthening the budgetary process. Of the three approaches, administrative reform efforts have been more difficult to implement because they represent real or perceived shifts in prevailing authority relationships. Reform priorities and strategies have generally depended upon the perspectives and interests of the parties involved in the reform process. Many countries have come to recognize the importance of administrative reforms in meeting the changing needs of their societies. Sometimes reforms have come about in response to a crisis. In other instances they have become political slogans. For example, governments have been dismissed or toppled on allegations of abuse of power, corruption, mismanagement and maladministration. Incoming regimes have promised to remove the shortcomings through reforms, and to make administration more transparent, responsive and accountable.

International financial institutions and aid agencies (both multilateral and bilateral) have also promoted administrative reforms. Practitioners and advisers are frequently joined by the academic community in advocating administrative changes. Seminars and conferences have regularly convened to identify administrative problems in

developing countries and to explore avenues of administrative change. This has produced a sizeable reform "industry" involving international organizations, consulting firms, universities and change process experts.

Notwithstanding the popularity of the subject, there has been little agreement on the approaches, priorities and strategies of administrative reform. Each popular concept or technique became fashionable for a short while, only to be replaced by new ideas and techniques. Practically every developing country has instituted several reform efforts over the last three or four decades. While the impetus for reform has often come from within the country, international examples and pressure have also exerted considerable influence. While reform efforts have produced a voluminous body of written reports, their impact has been negligible in all but a few instances because of the difficulties in implementing large-scale change.

14.5 PUBLIC ADMINISTRATION REFORM AGENCIES

Most developing countries have been persuaded to establish central public administration reform agencies and departmental units to promote administrative reforms on a continuing basis. The movement started with the establishment of Organization and Method (O&M) units to assist senior administrators in rationalizing their organizational structures and improving their work methods. The model was borrowed from large industrial enterprises practising scientific management. Gradually the central O & M offices were upgraded to central administrative reform agencies under various names such as management consulting services, public administration agencies, development administration units or simply administrative reform departments. The goal was to develop a focal point for spearheading administrative reforms. The assumption was that Governments were keen to reform their administrative systems and what they lacked was technical and professional support. The central administrative agencies were to provide such support.

Central administrative reform agencies were intended to carry out administrative analysis and planning. In many ways the process was viewed as analogous to economic planning. The reform agencies were to prepare administrative plans for government-wide organizational structures, as well as methods and procedures. It was envisioned that they would set standards and serve as a clearinghouse for administrative changes. Although high expectations informed the creation of administrative reform agencies,

their performance has been highly uneven. Controversies developed over their role (mandatory or advisory), location (Chief executive's office, functional ministry, or autonomous) and their sphere of action. By now most of these agencies have become routine organizations.

Public administration in all countries needs a surveying and analytical capacity. It is also important to have national capabilities for management consultancy services. But there is no single best model for organizing these services. Central administrative reform agencies alone cannot perform both management consulting and the wide variety of functions involved in survey and analysis work. The specializations involved and the resources required to keep them in the central offices on a standing basis are probably unrealistic. Alternatively, small administrative reform agencies could carry out certain basic tasks and build supplemental capacity in other government or non-governmental institutions. More realistic goals for central agencies would be as information depositories on public administration. In this way they could follow up on the implementation of approved programmes and serve a clearing-house function.

Most central administrative reform agencies, however, have been engaged in peripheral ad hoc assignments. In some countries special commissions or committees were established to carry out major administrative reform programmes and central agencies were ignored. Part of the reason for the low standing of central agencies may stem from their treatment as routine organizations, where they are mostly staffed by civil servants from government departments. However, survey and analytical work calls for special aptitudes and skills. The typical civil servant is likely to lack the specialized skills involved in highly analytical and scientific assignments.

Improved training can help central administration reform agencies earn the credentials and professional standing that would compel leaders to take them seriously. There is an urgent need to define their terms of reference more precisely and to view the agencies as special entities. Moreover, it is important to provide reform agencies with the appropriately qualified staff and allow the staff opportunities to improve their professional credentials continuously.

Administrative inertia

A continuing obstacle to reform is administrative inertia. Some observers point out that administrative systems frequently retain their basic volition and ethos even after a change of regime and/or ideology. While this may be a pessimistic judgement, there are

also other reasons why administrative inertia remains an issue. To begin with, public administration systems are social institutions embedded in and reflective of the national milieu. This can make it difficult to institute change initiatives, particularly if it means a less favourable position for organizations and agencies relative to the rest of the government machinery.

Public administration institutions have also become vested interests in their own right and in some instances have allied with their client groups. When reforms are perceived to threaten the privileges of powerful groups and classes they are unlikely to be implemented. Moreover, when powerful interests are resistant to change, reform efforts may be more cosmetic than substantive.

Other reasons are more pragmatic in nature. For example, the size and diversity of public administration systems make it difficult to institutionalize reforms without major effort and investment. Some countries have found it difficult to make the long-term commitment that is required. Further, there is always individual resistance; fear of the unknown and the safety of familiar routines and practices are a strong inhibitor of change efforts. To overcome resistance may take more patience and tolerance than most managers and political leadership can give.

Most reform programmes have attempted to deal with these problems through discussion groups and additional training. In the final analysis, a well thought-out strategy is indispensable to the successful implementation of reforms. This may require not only educational and training campaigns, but also the reallocation of resources and personnel and close monitoring of the transitional process. Few Governments have been able to do this.

Political agendas and administrative responses

Administrative reform has sometimes been delayed or postponed by the political realities of developing countries. For purposes of survival every State relies on the unifying nature of cultural, linguistic or economic forces. Where there is cohesion, stability and general agreement on goals and objectives, the potential is high for Governments to experiment, decentralize or disperse public functions.

In the case of fragile States characterized by linguistic, ethnic, regional or tribal diversity--a heavy reliance is placed on public administration institutions to provide the

glue for holding the country together and ensuring some semblance of political stability. Politicians may also try to realize their political agendas through administrative responses. Many fragile States have used public administration as a way to concentrate authority in the centre. The result is that field administration and local government and decentralization have been kept weak or under tight deconcentration. This has led to an excessive burden on central organizations and the frequent resentment of people living outside the centre. Some countries have used political realities to justify special discretionary powers for public organizations and officials.

The accumulated experience of developing countries shows that administrative responses are inadequate when the problems are essentially political in nature. In fact, reforms that strengthen and centralize government may aggravate the situation by making the central Government and public administration the target for complaints or public protests. Frustration levels may increase if public administration is identified too closely with a particular region, group or class. Sometimes public administration itself may become the arena to deal with conflicts surrounding ethnic and linguistic issues.

It is clear that administrative institutions and processes have failed to solve political problems. Political processes that allow debate and accommodation are the appropriate response to political issues. Such an approach will enable public administration reform to be based on the instrumental tasks for which public administration is qualified and competent. Many problems have developed in this regard because political development has not kept pace with administrative development.

Role of public administration

Public administration is generally considered the instrument of government. Many civil servants blame administrative maladies on political interference and claim that fear for their jobs forces them to become acquiescent. One remedy suggested to address political interference is constitutional guarantees for the terms and conditions of service of civil servants. The status of civil servants and public organizations varies greatly among countries. Some countries provide constitutional cover to the civil service, while others regulate it through legislative or executive action. The experience of various countries shows that these differences are generally irrelevant with regard to the quality of administrative behaviour. Perhaps a case could be made for making public

administration an instrument of the State. This would not make it immune to governmental policy directives would become more autonomous in the execution of public policies, where most political interference takes place. However, certain conditions would have to be met to ensure responsible and responsive administration:

1. Administrative processes must be explicit and transparent;
2. Civil servants must assume responsibility for self-regulation and the disciplining of their errant coworkers;
3. The division of tasks among various institutions of the State must be observed scrupulously;
4. Public administration must be professionalized with a strong and enforceable code of conduct;
5. There must be a strong system to enforce accountability.

In the last analysis, laws alone cannot suffice to improve public administration. They have to be supplemented by conventions and ethical standards and practices which grant legitimacy to government decisions and actions (*The Report of the Ayda Panel on the Review of the Nigerian Public Service 1995*).

Leadership

A critical factor in the success of administrative reforms is the role and quality of leadership. The nexus between leadership and reform efforts has several dimensions. In one respect, leadership provides the impetus for reforms. Leadership is also critical to the implementation process. Leadership for initiating administrative reforms may come from legislative bodies, political parties, government executives, civic movements, professional bodies or the permanent career service. Sometimes public administration reform movements have come from civic and professional groups before being taken up by Governments. In particular, professional groups have a special role in promoting the use of standards and technologies in public administration. For example, accounting professions can make useful contributions to the improvement of accounting practices in government. The latter are indispensable for the realization of many of the objectives of good governance such as accountability and transparency, but are often overlooked by reform advocates. In many developing countries there is evidence that the initiative for reform came from within public administration. This is

due partly to the weaknesses of private or non-governmental institutions, and partly to the absence of a tradition of cooperation between the executive and other institutions. To some extent this deficiency can be reduced by increasing the transparency of public administration transactions and decision-making processes, and encouraging a public dialogue about administrative problems.

While intra-administrative leadership succeeded in many cases in bringing about reforms (especially in management processes), their impact was limited. The problem can be traced to the failure of reform leaders to work with the leadership of affected groups such as civil service associations, trade unions, departments and authorities. Different actors may have differing views on the reform process. For example, political leaders want visible and pragmatic reforms that produce tangible results in a short time. On the other hand, professionals may be more inclined toward long-range reforms. Improving productivity will require coordination between long- and short-term goals.

The leadership function for administrative reforms comes both through individuals and a network of institutions. This has clear implications for the reform process in that leadership needs to proceed beyond the policy formulation stage to encompass policy approval, implementation and the ongoing evaluation of change initiatives.

Reforming public administration is a dynamic and continuous process. In developing countries, administrative reforms frequently accompany wider transformation processes. In this sense, public administration is both expected to transform itself and assist in transforming society. No wonder reform movements often stall or proceed too slowly to satisfy political leaders. More recently domestic groups outside of government have been participating in reform efforts. International lending institutions and aid agencies also have strong and influential voices in change initiatives. From this survey of some of the larger environmental factors affecting administrative reform efforts, the next several chapters take a closer look at administrative performance and how specific reforms are being carried out.

Review Questions

1. Define distinctively the concepts, public and civil service
2. Attempt a critical review on the history of the Nigerian Public Service
3. Comment on the reform strategies of public administration

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CIVIL SERVICE SYSTEMS: THE NIGERIA'S PERSPECTIVE



The Civil Service is an important institution of the state. It is concerned with the execution of state will. This chapter is set to examine the civil service system in Nigeria. It will be treated under the following,

- 15.1 The civil service system
- 15.2 The meaning of civil service
- 15.3 The Nigerian Civil Service
 - 15.3.1 Evolution of the Nigerian civil service
 - 15.3.2 The structure of the Nigerian civil service
 - 15.3.3 Basic facts about the Nigerian civil service
 - 15.3.4 Common features of the Nigerian civil service
- 15.4 Historical dynamics in the growth and contradictions of civil service
- 15.5 Civil service reform in Obasanjo administration
- 15.6 Apprehension in the Nigerian civil service system
- 15.7 Major problems of the Nigerian public sector (1954-1956)
- 15.8 Reform and diffusion with civil servants as catalyst of change
- 15.9 Revitalizing the civil service and steps towards realization to acquire better world view and eschew parochial interest.

15.1 WHAT CONSTITUTES A CIVIL SERVICE SYSTEM

Civil service systems are neither unitary nor inclusive, and most countries have a multiplicity of personnel systems in place at different levels of government (central, state, local). Public enterprises, authorities, commissions and nationalized enterprises also may have their own systems. It is also not uncommon for some countries to have

one or more central cadres where members move around and occupy key jobs in all types of organizations, while other personnel are part of different systems.

Generally speaking, the core civil service systems conform to three major models.

1. *Fused model.* These are systems which combine political and administrative activities at all levels, with no differentiation between political and administrative cadres. The trend is now towards separating political and managerial functions and entrusting the latter to professional managers;
2. *Metropolitan model.* This model is typical of countries that have enjoyed longer periods of independence. The civil service organization is usually borrowed from a metropolitan power, but has been given a local colour. This model often leads to contradictions, and in some countries there is great divergence between formal laws and actual practices. For example, many countries based on this model have civil service laws, but the spoils system remains dominant;
3. *Colonial model.* This model is representative of countries that gained independence during the last four or five decades. These countries exhibit a strong continuity of belief in the structures and practices evolved during colonialism. In many cases, independence simply meant a change of personnel, as foreigners were gradually replaced by nationals. Typically, this model of civil service system retained its essential characteristics, even though their role was intended to become more instrumental in nature. Many problems with political and administrative relationships can be traced to this phenomenon. Civil service organizations also exhibit different organizing principles. A few systems are job and skill oriented. Others employ the concept of grand corps for major professional groups. Finally, some developing countries build their personnel systems around the concept of rank with generalist administrators as the dominant group. Most systems have horizontal and vertical authority structures.

Horizontally, the systems are divided among the various corps and services at the top. Vertically, the systems are divided into somewhat rigid classes to reflect task complexities and professional qualifications. The main criteria for structuring the civil service should be to recruit and retain a motivated managerial and work force, and the system should be designed to make it possible to get the right person for the right job. In many cases, however, the rigidities of the prevailing systems make it difficult to apply these criteria. Some countries have tried to overcome rigidities by abolishing the class system and adopting a unified grade system. Theoretically, this can promote vertical and horizontal mobility. In reality, new strategies may be employed to retain the essence of the old practices.

Civil service systems are generally regulated by the executive branch of government. In some countries, the responsibility is shared by the executive and the legislative bodies, with the legislature providing general guidelines. In a few countries, civil servants enjoy constitutional protection for their terms and conditions of service, but the structure and organization of the civil service is left to the executive.

A final point to be made about civil service structures is that many evolved from and are the product of a non-technical and non-professional era. In recent years, however, public transactions have become so complex that even managerial personnel need to know something about the substantive content of a task. For example, a pension system cannot be designed and managed without some knowledge of actuarial principles and practices. A banking system or corporate sector cannot be managed or regulated without expertise in the relevant disciplines and some knowledge of the law. A key issue in the debate on civil service reform is how to recruit and retain highly qualified technical and professional personnel for both operational and managerial positions.

15.2 THE MEANING OF CIVIL SERVICE

The civil service is commonly used as the synonym of the machinery of the government; this is so in Britain and most common wealth countries of Sub-Saharan

Most references and historical facts in this chapter are used with permission from the paper presented by AMB. AHMED AL-GAZALI OON, mni, mda, HON. CHAIRMAN, FEDERAL CIVIL SERVICE COMMISSION, on "THE ROLE OF THE CIVIL SERVICE IN NATION BUILDING", on the occasion of the Delta State Civil Service DAY, Wednesday 25TH June, 2008.

Africa. In the British conception, the civil service is used to refer to the body of permanent officials appointed to assist the decision makers.

The civil service according to the 1999 Nigerian Constitution, section 318 sub sections 1 is: Service of the Federation (state) in a civil capacity, staff of the office of the President, (Governor), the vice President, (Deputy Governor), a ministry or department of the federation (state), assigned with the responsibility for any business of the government of the federation (state), (FRN, 1999). The term civil service is normally used when referring to the body of men and women employed in a civil capacity and non-political career basis by the Federal and state Governments primarily to render and faithfully give effect to their decisions and implementation (Ipinlaiye, 2001). Such career officers normally derive their appointment from the civil service commission, which also exercises power of delegating duties and responsibilities to department in accordance with laid down rules.

Today, the civil service has come to be regarded as modern institution bequeathed to mankind in the process of revolutionizing an efficient way of organizing any large human organization. It is in this respect that the civil service is defined as a bureaucracy (Ipinlaiye, 2001). It is as a complex organization with a body of seemingly permanent officials appointed in a capacity to assist the political executives in the formulation, execution and implementation of the government policies in Ministries and Extra-Ministerial Departments within which the specific government works are carried out.

Civil service refers to government workforce covering all the departments of the government of a state and the people who work in them; while economic development describes profitable incidents that cause peoples' situation to positively change. It is the body of government employees entrusted with the administration of the country, and mandated to carry out the policy of the government of the day. We can also add that, the civil service is an administrative system within the social structure of modern mass society. It is a formal organization designed to co-ordinate activities of many individuals in the pursuit of tasks set up by Government. These organizations are highly differentiated, efficiently organized by means of formal rules and a hierarchical chain of command that could either be vertical or horizontal.

15.3 THE NIGERIAN CIVIL SERVICE

The Nigerian Civil Service is an important institution of the state. In fact, it is almost the most important institution of Nigerian State affecting the life of citizens daily. It is essential to modern life because of the roles it plays. Therefore, the quality of the Civil Service is important to the quality of modern life. The Nigerian Civil Service has undergone various changes since the amalgamation of the socio-political development in Nigeria has over the years had some major and tremendous effects on the Civil Service. Such developments include State creation, the civil war, the Military regimes, Political instability, ethnicity, Federal Character and so on (Omotoso, 2001).

15.3.1 EVOLUTION OF THE NIGERIAN CIVIL SERVICE

The development of the federal civil service from colonial rule to the present reflects the political transitions that the country has experienced. The colonial civil servants consisting of the British and Nigerians served at the command of the British monarch. They carried out their duties on the instruction of Her Majesty's government which was theoretically at the service of the crown. The 1954 constitution promulgated Nigeria as a federation, with a federal government at the centre and regional government for each of the three regions. This resulted in the creation of a federal civil service for the centre and regional civil service for each of the regions, and corresponding establishment of public service commission for each tier of government. From 1954 up to independence, each of the four civil services acquired a number of characteristics unique to the circumstances.

Thus, the Nigerian civil service up till 1954 when political power began to devolve substantially to legislative bodies and executive council can be said to have acted as state servants. However, they all exhibited certain common features.

- a. Firstly, they were committed to Nigerianisation of the civil services even though the tempo was uneven among the various governments. For example, the tempo of Nigerianisation was more rapid in the western and eastern civil services than in the northern and federal civil services. The western region civil service made the greatest stride toward Nigerianisation, announcing by independence in 1960 the Nigerianisation of the posts of permanent secretary - the highest echelon of the career civil service.

- b. Second, all relied to a very great degree on expanded training programmes as a vehicle for bringing Nigerians into the professional and administrative grades.
- c. Third, there was commonly shared commitment, if not rigorously enforced, to the concept of a career civil service. From independence in 1960 and thereafter, the federal civil servants have served as professional public servants. During the military regimes, the civil service primarily ran the government (Bevan, Collier, & Gunning, 1999).

15.3.2 THE STRUCTURE OF THE NIGERIAN CIVIL SERVICE

The structure of Nigerian Civil Service is patterned on the British model. The service is divided into classes, viz administrative class, executive class, professional class, clerical class and the messengerial class. The nationalist's agitation for independence brought about the introduction of the Nigerianisation policy. The essence of this policy was to make Nigerian Civil service entirely staffed, managed and controlled by Nigerians themselves (Omotoso, 2001). At independence in 1960, so many British officials were replaced with Nigerians but in spite of this, the old (Colonial) method of doing things was still predominant in the Civil Service. In other words, the whites were replaced by Nigerians; yet, the west Minister-patterned General Orders and Financial instructions remained the operational codes in the Nigerian Civil Service.

At independence, Nigerians had virtually taken over the control and management of the civil service. The Civil servants were inexperienced because of the indigenization policy most of them occupied positions that their abilities and capabilities in terms of experience, training and qualifications cannot cope with. A number of factors affected the quality and performance of the civil service in the First Republic One, was the indigenization policy. The civil servants that occupied positions were unprepared. They lacked the necessary training initiative and administrative acumen (Okunade, 1990).

Second, was the administrative style. The Civil servants that took over from the British officials promoted and maintained the style, customs, conventions and the traditions they inherited from the colonial administration. This was a serious problem for the Civil service as change was very necessary. Three, was the nature of politics in the country. The politics in the First Republic was ethnically coloured, the three political parties then, the Action Group (AG) The Northern People's Congress, (NPC) and the

National Council of Nigerian and Citizens (NCNC) were working towards ensuring that the party from its zone takes over the control of the country. This led to a lot of crises that affected not only the civil service but the entire country. Four, was the political Leadership. At independence in Nigeria, the leadership was immature, conservative, inexperienced and lacked foresight and vision. The meddling roles of the politicians of the first republic curtailed and inhibited the performance of the Civil Service. The second Republic Politicians were interested in all things that came their way. In fact, it can be simply said that they hijacked policy making and to some extent policy implementation completely from the Civil Service. This had demoralizing effects on the Civil Servants as they were not allowed to use initiative and to provide necessary advice for the country.

In 1999, the civil service assumed a new dimension, it became dynamic and effective, unlike the past, civil service were allowed to perform their traditional duty, which is to advise and to implement policies of government (The Punch, May 2, 2000). It is not our contention that the Civil service under Obasanjo administration was problem-free but that the regime gave new lease of life to the sector. In 1999, the civil service was revitalized by training and retraining. The change that was brought into civil service in 1999 by Obasanjo regime is still thriving, the current administration has not done much to improve on what Obasanjo did during his time, except the Eighteen Thousand Naira minimum wage for civil servants that is waiting to be approved by government, if approved at the end of the day, it will be an improvement to what Obasanjo regime did.

15.3.3 BASIC FACTS ABOUT THE NIGERIAN CIVIL SERVICE

The Nigerian Public Service in general and Civil Service in particular has been undergoing gradual and systematic reforms and restructuring since May 29, 1999 after decades of military rule. At present the Government of Nigeria is engaged with the Public Service Reform Programme (PSRP) 2003-2008.

1. Legal basis

The legal basis is provided by the Civil Service Rules that replaced the General Order (GO) bequeathed to the civil service by the British colonialists and the Civil Service Handbook. Those covered by the Rules include all public officials, including the President of the Republic. The Civil Service Rules cover,

among other issues: appointments to and separation from service, civil servants' discipline, salaries and increments, annual performance evaluation reports and certificate of service, petitions and appeals, leave and travel and reward for outstanding work.

2. Federal Service Commission

The Federal Civil Service Commission is a constitutional body, established under Section 153(1) d of the 1999 Constitution of the Federal Republic of Nigeria. Part of (D), Paragraph 11b of the Third Schedule of the Constitution vests the Commission with powers to appoint persons to offices in the Federal Civil Service; and to dismiss and exercise disciplinary control over persons holding such offices. Each of the 15 Commissioners is assigned to oversee a number of States and Federal ministries/extra-ministerial departments. They meet regularly to consider briefs on recommendations from ministries/extra-ministerial departments on appointments, transfer, promotion and disciplinary matters, etc. The Commission has delegated some of its powers on appointments, promotion and discipline of officers on Salary Grade Levels 01 to 06 and the promotion and discipline of officers on Salary Grade Levels 07 to 13 to ministries/extra-ministerial departments.

3. Recruitment

Appointments into the Federal Civil Service are done through recruitment, transfer and secondment. By recruitment is meant “the filling of vacancies by appointment of persons not already in the Civil Service”. Transfer means “permanent release of an officer from one scheduled service to another or within the same service”.

Secondment refers to the temporary release of an officer to the service of another Government Agency or International Organization of which Nigeria is a member for a specified period.

The Commission has reserved the right to exclusively appoint the entry grades of Senior Staff on Grade Levels 07 to 10. Appointments to posts graded Grade Level 12 to 14 are done directly by the Commission “after due advertisement as

the need arises”¹⁵. Appointments of directorate staff, Grade Levels 15 to 17, are made by the Commission “in consultation with the Head of the Civil Service of the Federation” and “in response to advertised vacancies”¹⁶.

Appointments into the Federal Civil Service are determined by three (3) major factors. The first is the availability of vacancies. Vacancies for posts are to be declared by ministries/extra-ministerial departments to the Commission through the Office of Head of Civil Service of the Federation. The second factor is qualifications.

The specific qualifications and skills required for every post are prescribed in Schemes of Service. The third factor that determines appointment into the Federal Civil Service is Federal Character.

For the Federal Civil Service Commission, the major problem is how to confront the increasing and persistent pressure for employment into the Federal Civil Service. In 2000 alone, over 100,000 well qualified graduates applied for employment into the Federal Civil Service. This has serious implications on the logistics of the commission, and the selection of candidates for appointment into the Service.

4. Promotion

There are four major criteria that determine and influence promotion in Nigeria Federal Civil Service. The first is that the officer must have spent the required minimum number of years in his/her grade. For staff on Grade Levels 01-06, it is two (2) years; for officers on Grade Levels 07-14, it is three (3) years and for officers on Grade Levels 15 to 17, it is four (4) years. The fourth criterion that affects the promotion of an officer is the availability of vacancies or jobs at a higher level.

5. Remuneration

One major problem of the Civil Service is the very poor remuneration package of civil servants. According to the Director of Recruitment and Appointment in the Federal Civil Service Commission in 2003, the civil servants are the most

disadvantaged and depressed wage earners in Nigeria. The salaries and allowances of civil servants are very poor in relation to the rising cost of living and the amount required for reasonable subsistence. In mid-2000, senior level officials were earning less than US\$200. Also, the gap in salaries between the public and private sector is 300-500%. Even within the public sector, the salary of the civil servants is worse: “the least paid staff of the Central Bank (of Nigeria) earns higher than a Grade Level 13 officer in the Civil Service. Also, the pay package of a Director in the Civil Service is only about 20% of that of his/her equivalent in the Nigerian National Petroleum Company (NNPC)”.

Considerable effort has gone into efforts in the past three years to audit payrolls and verify staff strength in the ministries and extra-ministerial departments. Also, through a Government Circular issued on 27 June 2003, under the title “Monetization of Fringe Benefits in the Federal Public Service”, the Federal Government of Nigeria formally introduced its monetization policy into the core Federal Civil Service.

6. Training

In Nigeria, the Office of the Head of the Federal Civil Service is the body charged with this vital responsibility for providing central guidance in manpower development matters. Secretarial staff is trained at Federal centers to acquire basic secretarial skills. Technicians and Professionals aspiring to become managers of resources are given managerial training at, inter alia, the Administrative Staff College of Nigeria (ASCON), Agricultural and Rural Management (ARMTI), Centre for Management Development (CMD), etc.

Managers and senior administrators and professionals aspiring to occupy leadership positions are prepared at higher training and policy institutions, especially the National Institute for Policy and Strategic Studies (NIPSS), where a lot of emphasis is put on strategic policy studies. Supervisory middle level cadres are also trained at institutions such as ASCON, CMD, etc.

7. Pension

The existing pension scheme is benefit-determined, with pensions calculation based on terminal salary and is 100% non-contributory. It is estimated that the number of serving officers to pensioners is 180,000 for serving officers and 160,000 for pensioners in the core Federal Civil Service. It is feared that, there would be more pensioners than the work force in the Public Services of the Federation in the near future. There is the problem of 'ghost pensioners', a function of poor human resource information system and inadequate documentation of staff.

8. Ethics

The basis of prevention includes the revised Civil Service Rules and the Civil Service Handbook. Chapter 4 of the Civil Service Handbook is on the Code of Ethics in Government Business. The Handbook states clearly that the civil service must be well disciplined, the rules and regulations should be adhered to and service must be paramount.

Civil servants are also expected to be diligent in carrying out their duties and in their dealings with the public. Since they are paid salaries for the duties that they perform, they should not demand or receive money or anything in kind from anyone for the performance of their duties. They are expected also to eschew parochialism by ensuring that the interest of any ethnic group should not be pursued at the expense of what is best for Nigeria. There is also the Code of Conduct Bureau that is enshrined in the 1999 Constitution, under the third schedule. The aims and objectives of the Bureau are to establish and maintain a high standard of morality in the conduct of Government business and to ensure that the actions and behaviours of public officers conform to the highest standards of public morality and accountability.

The fifth schedule of the 1999 Nigerian Constitution states in detail the Code of Conduct for Public Officers. The code includes issues such as the avoidance of conflict-of-interest by preventing a public officer from putting himself or herself in a position where his or her personal interest conflicts with his or her official duties and responsibilities. A public officer must not engage in private business (except farming).

The Code of Conduct Tribunal was also established to treat cases of infringement or noncompliance brought to it by the Code of Conduct Bureau.

15.3.4 COMMON FEATURES OF THE NIGERIAN CIVIL SERVICES

From 1954 up to independence in 1960, each of the four civil services acquired a number of characteristics unique to these circumstances. However, they all exhibited certain common features which define their generic affinity as follows:

1. There was a commitment to the Nigerianisation of the civil services even though the pace was uneven among the various governments. For example, the pace of Nigerianisation was less rapid in the northern and federal than in the western and eastern civil services. The western region civil service, which was the most rapid to Nigerianise announced the Nigerianisation of the posts of permanent secretary (the highest echelon of the career civil service) by independence in 1960;
2. All relied to a very great degree on expanded training programmes as a vehicle for bringing Nigerians into the professional and administrative grades and
3. There was commonly shared commitment, even if not rigorously enforced, to the concept of a career civil service to perform their duties with political neutrality, anonymity and impartiality.
4. Moreover, drawing its legacy from Gorsuch Report, all civil services had comparable pay and grading structure (1954-1955). This was a legacy that drew its inspiration from the report of the commission on public services of the government of the Federal Republic of Nigeria 1954-1955. That report observed that it was not in the interest of the regional governments to differ greatly in matters of structure and remuneration of public services. This was because the more they differed, the more difficult it became to devise terms of service for a federal organisation (Olusanya, 1975). However, in 1997 the federal government decided to abandon the policy of uniform salary scale for the civil services of the states in the federation. Hereafter, each state established its own salary structure on the basis of its ability to pay (Federal Republic of Nigeria: 1997 Budget Speech).

15.4 HISTORICAL DYNAMICS IN THE GROWTH AND CONTRACTION OF CIVIL SERVICE

- (a) Growth in the Size of the Civil Service: Political and economic factors that proved crucial in the growth of the federal civil service included the following:
- 1) *Influence of political transition:* Colonial administration needed limited size of the civil service for execution of the indirect rule system that co-opted the traditional rulers and the fairly limited objective of maintaining law and order with sporadic commitment to socio-economic development.
 - 2) *Need to bring economic development to all corners of the country:* When Nigeria gained independence, the political leaders were committed to bringing development to all corners of the country. The political leaders strove to honour their enhanced commitment to economic development which consequently needed expanded role and numerical strength of the civil service.
 - 3) *Impact of increased oil revenue:* Another major factor, which contributed to the growth of the civil service was increased revenue from oil, especially in the 1970s. At the end of the civil war in 1970, the federal government launched a programme of reconstruction, rehabilitation and reconciliation. The implementation of this programme was funded mainly by the significantly increased oil revenue that came from the first major oil price in 1973/74. Following the civil war, reconciliation was rapid and effective, and the country turned to the task of economic development. Foreign exchange earnings and government revenues increased spectacularly with the oil price rises of 1973-74. On July 29, 1975, Gen. Murtala Muhammed and a group of fellow officers staged a bloodless coup, accusing Gen. Yakubu Gowon's military government of delaying the promised return to civilian rule and becoming corrupt and ineffective. General Muhammed replaced thousands of civil servants and announced a timetable for the resumption of civilian rule by October 1, 1979. Muhammed also announced the government's intention to create new states and to construct a new federal capital in the center of the country. This in turn led to phenomenal growth of the civil service. Indeed, the federal civil service doubled between 1970 and 1974.
 - 4) *Drive towards increased representativeness:* The drive towards increased representativeness was yet another factor that contributed to the growth of the

federal civil service. To be sure, the leaders of various regions had argued for higher and balanced representation from pre-independence period. This demand became more strident with the centralisation of political power by the military and the creation of more sub-national units (states) by the military government.

- 1) *Increased demand for state creation:* The first major exercise in state creation, coinciding with the beginning of the civil war was in 1967, when the federation was divided into 12 states. The next state creation occurred in 1976 with creation of seven additional states. The second major leap in the size of the federal civil service occurred between 1978 and 1980, on the heels of the creation of the states in 1976 and second major oil price hike in 1979/80 period.

- (b) Contractions in the size of the civil service.

The same political and economic factors that led to the growth accounted for the contractions of the federal civil service. For example, the civil war in the 1967-70 caused contraction through some federal civil servants from the war affected area either deserting the federal service or fled to Biafra, believing that their security could not be guaranteed. Some federal civil servants were trapped in the war affected areas. Similarly, the purges in 1975 and 1984/85 referred to earlier also contributed to the contraction in the federal civil service. Again, the 1986 retrenchment implemented by federal government undertaken in the context of IMF-influenced structural adjustment programme (SAP) led to reduction of the size of federal civil service. Taken together all these stimulated the need for constitutional and civil service reforms.

15.5 CIVIL SERVICE REFORM IN OBASANJO ADMINISTRATION

The essential outcome of this regime include involvement of the United States in working with the Central Bank of Nigeria, Finance Ministry, National Planning Commission, and others to improve the environment for investment in agriculture through policy reform at the national and state levels. Micro-investment is hindered by lack of access to market-driven financial services and lack in policy that provides for liberalisation of credit institutions and encourages savings plans with transparency in both the private and public sectors. Federal and state policy strengthening are essential

as business decisions and banking regulation take place at both levels. U.S. programs help develop a policy climate in which micro, small and medium enterprises have access to credit, encourage investment, stimulate job growth, and build capacity in both the public and private sectors. Trade initiatives include capacity building in customs regulation and operations, policy reform to encourage internal and external trade, taking advantage of African Growth and Opportunity Act (AGOA) incentives for bilateral trade, and development of the private sector capacity to meet international trade and export standards.

Ongoing presidential initiatives with Nigeria include the African Growth and Competitiveness Initiative, fighting avian flu, the Initiative to End Hunger in Africa, and the Trans-Sahel Counter-Terrorism Program. Nigeria's eligibility for other regional activities includes the Famine Early Warning System, Anti-Corruption Initiative; trafficking in persons; and the Ambassador's Girls Scholarship Fund. Nigeria is a premier participant in the President's Emergency Plan for AIDS Relief (PEPFAR), for which \$270 million was committed by 2007.

15.6 APPREHENSIONS IN THE NIGERIAN CIVIL SYSTEM

The whole of the Nigerian public administration system (PAS)- comprising the civil service, parastatals and local governments, even after forty seven years of political independence and a multitude of reforms, remains largely indebted to the legacy of the British colonial and civil service traditions. The problems encountered today in implementing the civil service appear to be innate to our culture. The civil service today is generally apprehended as a battered institution which has virtually lost its vital attributes of anonymity, neutrality and security of tenure; an institution in which morale has reached its all-time low, in which excessive caution, undue bureaucratic practices and interminable delays have become the hall marks, an institution seemingly resistant to change; an institution which has become the object of constant criticism. High level of political cynicism is exercised by the public on government as a whole and on the civil service in particular. This has been due in part to:

- a) The annulment of the June 12 elections and the history of rigging of elections by civilian politicians.
- b) The seeming perpetuation of the military in power;

- c) Weak civil society coupled with a state apparatus that is determined to repress societal organs;
 - d) Weak institutional mechanisms for protecting the merit system within the civil service: leading to a loss of professionalism and political neutrality;
- A declining economy marked by graft and lack of accountability and human rights abuses on the part of the political leadership (Olowu, *et. al.*, 1997).

15.7 MAJOR PROBLEMS OF THE NIGERIAN PUBLIC SECTOR (1954-1956)

The major problems of the Nigerian public service can be categorised into six:

1. The large scope of the public sector coupled with growing inefficiency in the sector. Generally, public sector agencies tend to be inefficient compared to the private sector. This has been attributed to the nature of political competition in the Nigerian environment where the public service is to all intents and purposes transformed into the theatre for sharing the national cake among the major ethnic and sub-ethnic groups. This fact has been identified as being responsible for the unending demand for fragmentation of governmental structures (units of ministries, states, local governments and divisions of major departments). This is in spite of visible considerable difficulties in sustaining the existing structures. In addition, the public service is regarded as an unscrupulous public territory that is to be plundered to sustain individual survival or the informal public realm such as the community, ethnic or other primeval grouping (Ekeh 1975, Joseph 1987).

2. Irony of continued expansion of the public sector in spite of the poor performance of public sector institutions. This is visible from the comparative performance of public versus private sector organisations in:

- a. plan implementation,
- b. the failure of several parastatals in the financial and utility sub-sectors and
- c. the quality of services delivered by civil service and local governments.

Balogun (1976) and Sanda *et. Al;* (1989) reported that the police was the single largest institution in the federal civil service in 1984, and constantly received more resources in terms of cash and personnel but its performance in terms of fighting crime, especially armed robbery, remain less than impressive.

The adversarial/ conspiratorial relationship between politicians and civil servants. Historically, politicians and civil servants or administrators are contemptuous of one another. This is usually because the administrator perceives the politician as uneducated and uninformed in public service procedures and often under intense pressure to use governmental power to his/her own advantage against public interest. On the other hand, the politicians feel threatened by administrators whom they see as exercising considerable but undeserved influence or power in government. Again, this trend was further aggravated by the 1988 civil service reforms which were essentially based on grounds that politicians and senior administrators colluded to loot the government treasury while in power.

4. Weak institutional structure and the culture of accountability. Long years of military rule created a state of affairs in which the key institutions for advancing accountability in government have been casualties of military rule:

- a. the press is censored,
- b. the legislature is suspended and
- c. independence of the judiciary is severely constrained by law- through coup clauses.

In addition, there exists a cultural hangover from the colonial era in which the public service is regarded as a foreign institution while the actions of its officials facilitated credence to that notion (Ekeh 1975, Olowu 1996).

5. Excessive centralisation of administrative power. There has been over centralisation of administrative power through vertical relationships among federal, state and local governments. For instance, federal expenditures have hovered between 60 to 70% of total public expenditure since 1970. Similarly, within each of the governmental agencies, there is a high concentration of institutional resources (personnel, finance, and discretionary authority) at the centres or the headquarters. Even the local governments tend to concentrate their activities on the headquarters and have very little relationships with the large number of voluntary community development agencies which actually shoulder development responsibilities within their respective jurisdictions. Furthermore, even within the same ministry at the headquarters, there is very little delegation without abnegation of authority. Practically all decisions are referred to the most senior officers.

6. Controversy between generalist administrators and professionals. This problem is one of those inherited from the colonial rule. During that era, professionals occupied the top management positions in the departments until the shift to the parliamentary system in 1948, when these positions were taken by generalists as in Britain. Up to date, several approaches have been adopted for solving this problem but with minimum success. Consequently, there is the undue rivalry between these two sets of leaders in the public services, aggravating mutual suspicion and the difficulty of joint effort. In addition to these six problematic issues, there are others such as:

7. Lack of access to citizens. Public service providers were almost inaccessible to the citizens and very limited opportunities existed for grievances and redress. Public Complaints Commissions were created in 1975 as a result of the Udoji Reforms (generally referred to as Udoji Award) (Udoji 1975) but the Commissions were largely ineffective because they had no compliance powers, were grossly under-funded and were required to report to the executive which was invariably the perpetrator in the first instance.

8. Weak incentive systems. Economic downturn and extravagant civilian and military administrations in Nigeria have combined to generate severe economic problems in form of high inflationary pressures and low production levels. Most of the governments have sought despicable popularity and have favored increase in minimum wage without reference to the senior management categories. Consequently, there exist:

- a. a cavernous gap between private and public sector wages,
- b. a high level of wage compression resulting in significantly reduced differences in wages between workers with different skills working in the same industry or workers with similar skills working in different industries or states of the country,
- c. Wage erosion in the public sector, especially the civil service.

These are coupled with the loss of top professional and committed officers followed jointly with creeping institutionalised degeneracy.

15.8 REFORM AND DIFFUSION WITH CIVIL SERVANTS AS CATALYST OF CHANGE

Up to the mid-1960s, which witnessed the first military coup, the thinking of the average Nigerian was that whatever was not done by the service will never be well done. By the late 1970s there had been a complete reversal of this popular notion- whatever must be well done must be given to the private or voluntary sector. This kind of feeling has induced the need to accept reform recommendations from international agencies. The civil as well as public service reform in Nigeria has sought to improve the performance of the Nigerian administrative system through managerial reforms. The pattern of diffusion has also been largely hierarchical with reform ideas coming mainly from the top rather than the society. Even when inputs have been made by members of the civil society as to what should constitute the substance of reforms; the political regimes have found it easy to alter these at the level of implementation.

Nigerians have drawn their reform ideas both from within and outside the country. In other words, they have been pragmatic and eclectic rather than dogmatic, following particular ideological positions. This is on the positive side. On the other hand, the Nigerian reform efforts have been vitiated or undermined by lack of strong concurrence between the desire to reform and those charged with the governance of the country. This then makes the issue of political configurations critical.

The reforms have sought to improve the performance of the civil service through managerial and structural reforms by exploring ways of making them catalysts of change. They include:

(i.) The Public Service Reform of 1974/75:

This was perhaps the first reform of the whole of the Nigerian public service (the civil service, parastatals, local governments).

- i. First, it harmonised and unified job grading and salary scales throughout the public service. Instead of the multitude of grading and salary systems, it replaced these with a 17-step Unified Grading and Salary Structure (UGSS).
- ii. Second, it fixed a minimum pay for all public officers, with the results that public servants' salaries were substantially upgraded to keep pace with inflation.
- iii. Thirdly, it made a strong case for introducing private sector management methods into the public service as a way of introducing a new approach to

management in the public sector. The most important among these methods were management by objectives (MBO), Project Management (PM), Plans, Programme and Budgeting System (PPBS) and the Open Reporting System to replace the confidential reporting system in use up till that time. It made a strong case for the creation of a senior management group within the civil service which should be the focus and chief promoter of these changes, and see policy making and the management of change as its primary responsibilities.

- iv. Fourthly, the reform made a case for the introduction of a new code of conduct for all public officers and instituted the public complaints commission and the anti-corruption bureau. Finally, in order to ensure that new management orientations were inculcated by all line and staff, a very elaborate programme of training and retraining was put in place.

The reform was quite ambitious both in terms of coverage and the substance and range of the measures it canvassed.

(ii) The Reform of Local Government, 1976

Local government was one of the institutions included in the 1974/75 public service reform. The government then embarked on a global and comprehensive reform of local governments. The reform re-defined local governments and changed their orientation from field administrations of the state governments to being semi-autonomous local government structures that were responsible to their local electorate. Increasingly, local governments, both under civilians and military administrations were largely appointed by state or federal government. Some state governments cancelled or took over local government revenues or denied them their entitlements. The local government units have therefore been as distant and artificial as the state or national government units.

(iii) Reform of largely Parastatals, 1986- 1993

Estimates of the total number of public enterprises (PEs) in Nigeria in the early 1980s range from 600 to 1,700, depending on how one defines them and whether or not one includes state government PEs. The rapid growth of PEs has been fuelled in Nigeria by the phenomenal rise in oil revenues, with practically all of the royalties accruing to the central government. PEs were perceived as instruments for controlling the

'commanding heights of the economy' as stipulated by the 1979 constitution but also for indigenising the economy, mobilising resources in terms of jobs and capital and administer 'natural' monopolies. The major problem, however was that these parastatals were so poorly managed, as several commission reports revealed. The primary reason was that the boards of management of these organisations were usually filled with party stalwarts, or heads of civil service agencies or retired army generals (under military rule) without respect to their qualifications, competence and background. There were also problems with respect to conflicting objectives of parastatals, poor financial and personnel management practices, poor record keeping and lack of attention to productivity.

PEs sustained severe losses and were usually the major theatre of documented large scale corruption, involving often the triumvirate of PE board of management, senior civil servants and private businessmen. Most of the PEs were financially insolvent and were generally inefficient in terms of services delivery.

In the 1986 budget statement, government announced its intention to reform the PEs using as its main strategy the privatisation of loss-making parastatals. But it took another two years before the decree (No.25 on Privatisation and Commercialisation) was published and technical committee set up to implement the decree. The decree listed 68 federal enterprises for full privatisation and 43 for partial privatisation. Eleven were to be commercialised, that is made to operate like any other private enterprise- setting its own prices and not receiving any government subsidy- even though they remained within government. Twenty-four other enterprises were to be partially commercialised- they will cover all operating costs from own sources and will receive only capital grants from government.

The reform brought some form of sanity to Nigerian PEs even though the government reneged on privatising the big parastatals. But it made a lot of money from the sale of several financial and light to medium PEs to the public mainly through public offers. A number of PEs, the most notable being Nigerian Telecommunications (NITEL) not only regained solvency but began to record substantial operating surpluses. But then when the government changed hands in 1993, the reform was not only lost, it was reversed. A number of PEs were renationalised and the government took a u-turn in respect of the free market policies espoused by its predecessor. However, very recently, the Abacha government announced its intention to privatise the large PEs, namely NITEL, NEPA etc and established a Committee to advise it on how to proceed.

(iv) Reform of the Civil Service

In 1985, the federal military government constituted a study group to assess the effectiveness of the federal civil service and make recommendations that would lead to the reduction of personnel and any other organisational changes. The group made a broad search for information on new directions for civil service reform within and outside Nigeria. In 1988, however, the federal military government announced sweeping reforms of the Nigerian civil services- the federal and state governments initially and later extended to local governments as well. Essentially, the reforms, attempted to synchronise the management of the civil service with the government's perception of the requirements of the political system, the presidential system of government adopted in the 1979 constitution.

Ministers or political appointees of the President (or the Governor at the state level) were to serve as chief executives and accounting officers of their ministries. The latter responsibility had traditionally been vested with the most senior civil servants (permanent secretaries) in the ministries. This position was now abolished and a new position substituted in its place, the Director-General who was for all intents and purposes the deputy minister: a political appointment whose term was coterminous with that of the minister. In order to ensure the thorough-going politicisation of the topmost layers of the civil service and therefore ensure the responsiveness of the administration to the political leadership, the position of Head of Civil Service was abolished. Each ministry now had eight divisions, headed by Directors who provided the professional leadership within the ministry. Five of the divisions were to be assigned line activities while the other three will deal with administrative or staff matters: finance, personnel and research and planning.

There were also provisions to professionalize the civil service through new designations and the requirement that officers will spend their time in only one division/ministry. Training was expected to provide additional impetus for the reforms. The accountability of civil servants was to be ensured by new procedures for processing funds and the institutionalisation of an audit alarm system. This reform was ambitious in terms of its intentions but it was ill-advised. First, it ignored several of the recommendations of the study group for tackling the problem of inefficiency in the services- such as the under-funding of the service, the need to tackle motivation especially at the professional levels, to enhance the capacity of civil service managers

through the Office of the Head of Service which was now abolished. The reports had made a very strong case for the decentralisation of government activities from federal to states and from the states to the local governments but all of these were ignored in the reform. The reform did not produce the report officially nor did it provide a white paper on it.

The issue of politicisation also flew in the face of contemporary Nigerian (and other African countries') experiences in terms of the expertise, integrity and exposure of those who occupied the position of ministers. These provisions of the reform did not derive from the report of the study group but were presumably added to it to achieve some hidden objectives of the military administration then in power. It also flew in the face of the availability of requisite officials given the implications for high turnover of senior officials in a country without political stability. Finally, the implementation of the reform was defective. The provisions with respect to training and accountability have not been complied with and already the current government has announced the suspension of Decree 43 of 1988 which legalised the reform even though there has been no new legislation to take its place.

The greatest undoing of the reform was that it coincided with a change of government. The new government had urgent priorities- an economic programme to restructure the economy and drastically reduce the size of the public sector; and a political programme of returning the country to civilian rule. The study group had sought to increase the government's investment in the civil service- by filling several vacancies in the top grades of the service and investing in the systematic training and motivation of top officials. The relevant sections of the report of the study group on these matters were instructive:

The decline in Nigeria's education system over the years constitutes a constraint on civil service performance. The overall knowledge, ability, professional competence and even command of the English language which new recruits bring, continue to be weak. The result is that superior officers have become overworked as they typically now have to combine their own duties with performing all over again the assignments which their subordinates have failed to handle competently.

The rather poor and sporadic training schemes in the civil service have compounded this problem. Most officers receive little or no further training once recruited, and they carry with them into the upper echelons of the service, the initial weaknesses they brought when recruited. The physical environment and resources which are now available to the civil service are grossly inadequate for its effective and efficient role performance. As if this were not enough, civil servants during those years had begun to subsidise government as they were compelled to bring their stationery, equipment, etc to offices in order to perform their duties. This situation made the report to state that the committee believed that government had not invested enough on its civil service system and that unless it did so, it must not expect reasonable output where there has been no reasonable input. (Nigeria 1985).

Unfortunately, what the government did over the years was to reduce rather than invest more in human and social services or in the government machinery. Education expenditures fell from 18% in 1975/6 to only 6% in 1992. Similarly, real salaries of the topmost federal officials fell from 245 Naira per month in 1980 to Naira 33 in 1993. (WB1994). Also as the military authorities began to design transition programmes that will lead to self-perpetuation in office, the civil service was made more rather than less political- with the post of permanent secretary completely politicised. The study group had advocated greater professionalism and meritocracy. The political regime promoted a curious form of professionalisation which some observers have referred to as sedentarisation. In addition, there was no firm commitment to improved service conditions or training of officials.

Privatisation.

Privatization is an integral part of the economic restructuring programme in which the role of government is reduced and the role of the private sector is enlarged in management and ownership of available assets in the country. It is a procedural process supported by constant political will, in order to restructure production and services to achieve the highest possible levels of growth and redistributing development gain on an equitable basis between various classes of the society. It covers activation of the role of the market economy and competition in the national economy in addition to revision of financial and monetary policies and review of laws and legislation in order to achieve transparency, efficiency and equity. Because of the constantly growing role of this

important sector worldwide, the Nigerian governments should do their utmost to boost this role in the framework of full cooperation and joint effort. The government's main goals for privatisation are to raise enterprise efficiency and improve the competitiveness of the economy, increase private investment in infrastructure, develop the domestic capital market, consolidate public finance, and attract foreign investment, technology and know-how. The privatisation process in Nigeria needs development in its institutionalisation mechanism and identification of its policies in a way that ensures transparency of procedures and safeguard of public money.

Decentralisation.

Decentralisation of government services provides the means for active and direct participation of people in the governance process. Decentralisation can be an empowerment tool to people who have been previously excluded from the decision making process and can lead to the sustainable human resource development of nations. Exchange of information for formulating development programs can be enhanced through close contact between government officials and local communities (UNDP Policy Document, 1997, 19).

Rightsizing.

Overstaffing is a bureaucratic phenomenon that exists in most organisations around the globe, but it is very common in the third world. Smaller government increases its competitiveness to attract local and foreign investment. Rightsizing of civil service provides the opportunity to have more space and freedom for private enterprise. This in turn increases private investment and creates more jobs, consequently, stimulates sustainable social and economic growth.

Business Process Reengineering.

This is a fundamental rethinking and radical redesigning of business processes to accomplish dramatic development in critical, contemporary measures of performance, such as cost, quality, service, and speed

Human Resource Development in the Civil Service for Sustainable Human Development.

Human resource development in Nigeria is one of the processes and functions which encourages and motivates public employees to participate in the training path

programmes.

Service Delivery Surveys and Focus on Customer.

These kinds of projects aspire to assess the citizens' satisfaction over the services provided to them by some government agencies. Such survey findings provide government agencies with a clear vision of their weaknesses, and enable them to formulate action plans to overcome their problems after completion of the studies.

Performance Budgeting Project.

This system helps implementing government agencies focus on results and objectives and re-orient their functions and budgets to help reach these results and objectives.

This approach to designing the general budget's performance budgeting facilitates:

1. Translation of strategic objectives in each government outfit in sub-objectives and scheduled action plan.
2. Identification of performance indicators for the activities of the outfits.
3. Establishment of internal systems to assist in monitoring the progress of desired activities and performance indicators.
4. Modernisation of legislation to cope with the new system.

Institutional Performance Appraisal Project.

This kind of project is essentially for the purpose of developing a number of performance indicators for government agencies in order to help them assess and evaluate their performance, using objective criteria. Such project has aimed at:

1. Institutionalisation of the organisational performance evaluation on continuous basis.
2. The extensive communication of organisational goals to all employees and the translation of general goals into objectives, tasks and activities.
3. Determination of appropriate percentage of employees necessary to perform identical tasks and activities.
4. Reduction of administrative levels of government organisations.

Partnership with Private Sector.

In recent years, the tendency is to narrow the gap between the public and private sector relationship and provide a support for more cooperation and partnership through increased private sector participation in the decision making process and inclusion of

the membership of the private sector in most governmental committees, in addition to exchange of information and data with the private sector concerning economic situation through different means.

Managing Resistance to Civil Service Reform

Most experts and practitioners recognise that resistance usually accompanies any change effort from all managerial levels. Major obstacles come from workers, supervisors and managers. This resistance is understandable because managers worked hard to reach their positions and the power and status associated with them. They have adequate reason to resist proposed changes, unless they believe that these changes will increase or at least preserve these powers and status.

15.9 REVITALISING THE CIVIL SERVICE AND STEPS TOWARDS REALISATION TO ACQUIRE BETTER WORLD VIEW AND ESCHEW PAROCHIAL INTERESTS

Since the civil servants directly or indirectly control the direction of economic development, it is obvious that any corrective measures directed at the government are invariably directed at the civil service. There are a couple of huge lessons the Nigerian civil servants could learn from Nigeria's failures for effective guidance of the political leaders in towing the part of progress in economic development of the country.

- a. Firstly, in order for economic development to occur within a country, there obviously must be initial establishment of a stable and ethical government that consistently practices principles of sound governance. That is to say that, the political side of a political economy must consist of supporting political structures and organisations that are stable, that are perceived as legitimate, and that are capable of planning and executing clearly prioritised and highly accepted strategies and targets for economic growth. When economic reform measures are implemented, the civil service leadership must be highly committed toward successful execution of the reform strategies and attainment of desired results. It is also imperative that all government operations be performed under highly democratic and transparent conditions and subject to an effective means of accountability to the people.
- b. Secondly, windfalls of revenue could be better exploited by strategically directing them toward bolstering the diversity of an export-led industrial base

rather than channeling it into the obscure hands of the unproductive and narrow self-interests of the elite. Great care must be given to not spend or invest in excess of the revenue stream or on projects and things that are clearly unproductive or that will detract from long-term economic growth and well being.

- c. Budgets must obviously be made, accounted for, and adhered to. Furthermore, knowing that oil prices are highly variant and unpredictable, it would be prudent to reserve a portion of the windfall for times of downfall, and benefits from windfalls should be pervasively distributed (World Bank, 2005).

Review Questions

1. Comment on the evolution and structure of the Nigerian civil service
2. Identify the common features of the Nigerian civil service
3. Discuss the historical dynamics in the growth and contradictions of civil service
4. What are the major problems of the Nigerian public sector (1954-1956)
5. Advance reasons for revitalizing the civil service and steps needed for realizing a better world view and eschew parochial interest.

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Chapter 16

ADMINISTRATIVE ABUSE AND ITS REMEDIES



Administrative transactions with the public tend to grow exponentially as the role of the State increases to cover more functions, populations explode, economies grow and diversify and new technologies are introduced. Visible indicators of the growth of administrative transactions are reflected in the rapid expansion of public organizations, the size of the civil service, the number of laws, rules and regulations and higher levels of administrative discretion. Opportunities for administrative abuse also tend to increase with more and more transactions being carried out by an ever increasing number of administrative units. Most administrative actions involve investigation, enforcement, entitlement and regulation. Development programmes and projects, in particular, have more scope for administrative abuse because of their newness and the absence of established standards and methodologies.

- 16.1 Forms of administrative abuses
- 16.2 Administrative remedies
- 16.3 Ombudsman
- 16.4 Judicial review

16.1 FORMS OF ADMINISTRATIVE ABUSES

Administrative abuses of power are frequently discussed with regard to the police, human rights issues, customs and tax administration. Sometimes the focus is on

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There are a variety of reasons for why abuses of power occur. Some of these are discussed below.

1. *Failure to observe the law.* Administrative abuse in its simplest form may occur because public officials fail to observe pertinent laws, rules and regulations, policy guidelines and established practices. While some forms of abuse of power in this regard may be blamed on ignorance or inefficiencies, many represent wilful, perverse, arbitrary or biased actions. Frequently the motivation is illegal gain. Often there is collusion between an official and the interested party, making it difficult to discern all infractions of the law. Judging by the large number of special agencies and arrangements established by Governments to control corruption, it is clear that the potential for maladministration and violations of the law is indeed great.
2. *Selective enforcement of laws.* Abuse may also occur because of selective enforcement of the laws. Selective enforcement may be linked to the privileged position of individuals or groups or the vagueness of community standards. Both conditions are prevalent in many developing countries. The vagueness of community standards and ambivalent attitudes are particularly visible where attempts are made to replace ethnic customs and customary laws with statutory laws and practices based on universal legal norms. A more general phenomenon found in developing countries is the tendency to take decisions (or no decision) on specific cases. While this kind of decision-making occurs at all levels of administration, their impact is greatest at the lower levels where it directly impinges upon individual rights and obligations.
3. *Unclear laws and policies.* Unclear laws and policies are another source of administrative abuse. Irregularities occur when policies _ whether stated as laws, executive orders or supervisory instructions _ are vague or contradict earlier guidelines. In most cases, the laws and orders are more likely to deal with substantive issues than with procedural dimensions.
4. *Concentrated power.* The concentration of all powers in the same agency can lead to abuses of power. For example, a public organization for housing may combine policy and rule-making powers, implementation power, and enforcement and review powers. Moreover, the same official may have responsibility for legislative, executive and judicial functions. Separating the three processes can become difficult. Also at issue is whether a person can be trained to perform all functions equally effectively. The largest component of administrative actions in developing countries involves

combining some legislative and judicial actions with the execution of policy decisions.

5. *Combined powers across functions.* Some developing countries combine administrative and judicial powers in the same officials across programmes or functions. This is particularly true at the lower levels of administration. For example, a revenue officer may be given magisterial and judicial powers to try criminal or civil cases. Linking enforcement with implementation powers can lead to abuses of power.
6. *Public Enterprises.* The undertaking of commercial and industrial activities by Governments through regular departments, public corporations and special authorities adds more complexities to the administrative process. Often there are no clear guidelines on the extent to which public enterprises should operate along commercial lines. While there may be statutory compliance requirements covering reporting and auditing functions, these may be ignored for political reasons. Secrecy about the operations of such entities can breed abuse. The problem is especially visible in government-owned enterprises such as railways, post offices and utilities.
7. *Administrative discretion.* The wider dimensions of administrative abuse concern delegated legislation and administrative discretion. Because legislative bodies cannot see all possible contingencies, they cannot promulgate detailed rules or ask the executive to do so. In a few instances there may be some procedural safeguards, but even these are likely to be limited by the time administrative actions occur in individual cases. For example, the civil and criminal procedure codes prevalent in some countries are limited when it comes to individual cases. Moreover, procedural safeguards rarely figure in the case of major government departments where policy-making is essentially a function of public administration. This makes administrative discretion an important feature of public administration. Public administrators make the rules, enforce them, interpret them and take punitive action when necessary. Only in exceptional cases does an administrative decision get reviewed by legislative or judicial bodies.

Abuses of power in these circumstances can occur from ulterior motives or simply poor judgement. Sometimes abuses occur as a result of a larger bureaucratic pathology operating within an agency or department. The capacity of individual citizens to challenge administrative decisions that violate their economic or civil rights can also result in abuses of power. For example, a citizen's lack of knowledge

about his/her rights and obligations, fear of authority, weak mechanisms to obtain redress of grievances and poor access to power centres all work against the citizen and enable public organizations to act unilaterally. In many cases, the quality of administration in a developing country becomes the quality of justice. To its detriment, public administration has focused more on organization, processes and techniques. A better and more informed approach would be to place more emphasis on the nature of interactions between public administration and citizens. In the final analysis, citizens are the ultimate recipients of administrative actions and are most affected by the negative or unintended consequences of policies. Administrative discretion is a pervasive phenomenon in many developing countries. When it becomes too broad, however, the original objectives of programmes and policies may be diluted. The issue is not so much how to limit discretion in all cases, but rather how to make discretionary powers more responsive and responsible to the aims and purposes of proposed policies and programmes. The overriding goal of public administration should be to serve government in ways that benefit society and reduce or eliminate injustices. The perception of public administration as an instrument of government needs to be balanced by its role as protector of individual rights and equity through fair administrative procedures and practices.

8. *Human rights issues:* In 1948, the United Nations adopted the Universal Declaration of Human Rights. It was hoped that the Declaration would promote awareness of individual rights and serve to check governmental and administrative excesses. This remains an ideal. A number of countries have guarantees of fundamental rights incorporated in their constitutions, and these rights carry legal and moral force. In most cases they are justiciable rights. Adherence to individual rights can increase administrative responsiveness to society, allow for the redress of individual grievances and generally promote a government's legitimacy of authority. However, the experience of many developing countries has shown that the influence of individual or human rights on the conduct of public administration is often limited.

There are multiple causes for this state of affairs. Some have to do with political instability, especially where there have been rapid changes of governments or constitutions. In other cases Governments have suspended fundamental rights by declarations of emergency, either in the whole country, or in certain regions or territories. Martial law regimes have also been inclined to suspend or curtail human rights.

The initiative for the observance of human rights has to come from individuals resorting to the judicial processes. However, the enforcement of human rights in specific cases often varies because of the costs involved, poor access to relevant information and the energy and time required to pursue the case in a court of law. It has also been observed that courts administer the laws as they see fit, and this may not necessarily lead to the delivery of justice. For example, a genuine case may be lost due to legal technicalities. In public administration, there often are conflicts between individual rights and administrative discretion. Most cases of abuse of power occur where the offending official has discretion on his/herside.

The monitoring of human rights violations has now become an international activity. A number of Governments and some non-governmental organizations (NGOs _ both national and international) monitoring the human rights records of countries have used reports and public forums to exert moral pressure to bring about change. The cases most likely to receive prominence involve political dissenters or well-known persons. Rarely do these activities focus on the more routine cases involving administrative abuse of power.

Human rights are not always absolute and may have to be restricted in the interest of public welfare. For example, the right to freedom of movement and residence within national borders may be restricted to control the spread of communicable diseases, or to assure the maintenance of law and order when natural catastrophes occur. Sometimes an administrative determination can influence the enforcement of human rights. For example, some countries use preventive detention, administrative punishment and exile as routine administrative tools.

The Universal Declaration of Human Rights stipulates that no one will be subjected to arbitrary arrest, detention or exile. Similarly, the Declaration provides that no one shall be subject to torture or to cruel, inhuman or degrading treatment or punishment. Problems arise, however, when Governments give differing interpretations to the meaning of degrading or inhuman punishment. While the concept of human rights remains limited in its application, it carries a strong moral force and should be viewed as an attainable ideal. There is an urgent need to make human rights issues more widely known in many societies.

At present administrators are being urged to acquire more knowledge about emerging issues and develop a variety of skills. While many management development programmes have enlarged the number of subjects they offer and teach them in greater depth, few have emphasized the point that all administrative activity must follow the rule of law and adhere to basic human rights principles. Too often, basic tenets are neglected, such as encouraging civil servants to read and discuss the United Nations Declaration and relevant national legislation.

16.2 ADMINISTRATIVE REMEDIES

1. Administrative review: Broadly speaking, most countries use either common law or civil law systems. There are significant differences between the two in terms of philosophies, basic principles and their operating features. In particular, it is important for the following discussion on remedies to examine how the two systems view administrative law.

- a. *Due process.* Increasing the observance of due process in public administration is greatly needed. Basically this would mean the issuance of procedural rules for all the transactions of public administration business. While some general rules are necessary, it is also important that major departments and services of government develop and adopt their own explicit rules. For example, services in some countries have rules in tax administration. Rules would be particularly beneficial in areas such as the police, prosecution and punishment; .
- b. *Transparency.* Transparency of administrative processes is essential. Secret deals and bargaining can hurt not only the principle of equity, but also the image of public organizations. Transparency also means greater review of administrative practices by legislative bodies;
- c. *Redress of grievances.* In some countries, government departments or offices are especially established for the purpose of citizen redress. They help citizens collect relevant information, advice them on procedures and, in some cases, may even prosecute an administrative agency on the citizen's behalf;
- d. *Informal adjudication.* Wherever possible administrative agencies and the citizen should have arrangements for informal adjudication. For example, community organizations such as village councils could be empowered to dispose of specified infringements of administration;
- e. *Sovereign immunity.* The doctrine of sovereign immunity extended to public officials is prevalent in many countries and needs revision. Many citizens' grievances cannot be addressed because the official concerned is able to use the doctrine for acts performed in his official capacity;
- F. *Appeals provision.* An important measure is the establishment of an appellate level to review decisions by lower levels. Effective supervision combined with a strong appellate tier that is not excessively committed to organizational loyalty can eliminate many cases of administrative abuse;

- g. *Judicial review.* The elimination of needless and cumbersome barriers to judicial review can improve the process. For example, the requirement to exhaust all administrative remedies before a case may be taken to the courts should be modified. Similarly, the finality of administrative action provisions and the question of reviewable and non-reviewable acts should be considered and revised with regard to national circumstances.

16.3 OMBUDSMAN

In recent years there has been a great deal of interest in the institution of ombudsman to protect the rights of citizens from administrative abuse. Several developing countries have now appointed an ombudsman or similar officials (parliamentary commissioner, procurator, administrative inspection organ), or created an office of ombudsman. For purposes of general discussion the term used here is "ombudsman".

The ombudsman is considered a useful institution to reconcile the demands of administrative efficiency with the protection of individual rights. For countries without comparable arrangements to deal with issues of administrative abuse, the ombudsman can provide an alternative to litigation. A major motivation in the appointment of an ombudsman is to extend legislative control over public administration. Although not a member of the legislative body, the ombudsman receives instructions from and submits findings to the legislature. In other cases the ombudsman is authorized to receive complaints directly from a citizen. A procurator differs somewhat from the ombudsman in this regard. The procurator is an official appointed by the central authority to act as its agent in supervising general administration. In some cases, the procurator is also in charge of criminal administration and can be a judicial supervisor. Finally, procurators can receive complaints from both individuals and groups, and their findings may or may not be legally binding.

In establishing an ombudsman, countries have generally attempted to make the position or office distinct from and external to administration, provide it with functional autonomy and ensure that the ombudsman is non-partisan and easily accessible. Further, the ombudsman is typically given a term of office during which he/she cannot be removed. Though not explicitly stated in all cases, the ombudsman is expected to be well versed in the law. It is also expected that he/she will not act as a critic of administration, and will adhere to national policies and the requirements of administrative efficiency. Similarly, it is anticipated that the ombudsman will be sympathetic to citizens' complaints about acts of omission or commission by public organizations.

Ombudsmen also vary in their methods of work. While most receive complaints directly, some do so through parliament. Some countries confine the work of ombudsman to individual cases, while others allow the ombudsman to recommend a general course of action to recommend a general course of action to obviate future instances of maladministration. The success of the ombudsman largely depends on his/her ability to get all the information and documents relevant to the case under investigation. Thus, administrative attitudes become extremely important. In most cases, the right of the ombudsman to receive relevant documentation is well established and public organizations cooperate readily. The work of the ombudsman does not preclude judicial review. In fact, the ombudsman may not accept a case under judicial consideration or for which a judicial remedy is available.

The real impact of an ombudsman in redressing citizens' grievances and protecting individual rights can only be understood in the context of a nation's larger legal and political framework. Generally speaking, the institution has increased public administrations awareness of the need to be more responsible in deciding on cases and more careful in recording their reasons for particular cases. The publicity generated by reports of the ombudsman has also served as a salutary influence on administrative decisions regarding individual cases. One caveat is in order. While the ombudsman is generally perceived to be the protector of the public interest, sometimes there is more form than substance to the position. For example, questions have arisen about the motivation behind some appointments, the powers of the ombudsman and the scope of their activities, all of which can vary greatly among countries.

16.4 JUDICIAL REVIEW

Most Governments allow judicial review of administrative decisions, although with certain limitations. In civil law systems court functions comparable to judicial review may be performed by a *Conseil d'Etat*, which though distinct and pre-eminent, remains a part of public administration. The advantage of the *Conseil d'Etat* is that it has been able to acquire a degree of independence from administration and thus can serve as an effective judge. Public administration in such cases is not subject to review by ordinary courts of the land. However, it should be pointed out that the *Conseil d'Etat* has no civil or criminal jurisdiction. It exercises jurisdiction only over the executive functions of public officials who as citizens, remain subject to the regular courts.

In common law systems no privileged position is given to an executive official, and official actions are subject to review by regular courts. Some developing countries, however, have placed restrictions on the courts in trying certain types of public officials. The role of the judicial review process also differs among countries. In some cases it cannot begin until all

administrative remedies have been exhausted. Judicial review may also be limited to questions of law, excluding questions of fact. A number of countries have criminal or civil service laws which give jurisdiction to the courts to try public officials for acts of maladministration. For example, an official can be tried for corruption, criminal misconduct, the misappropriation of public property or abuse of official power. However, the procedure is extremely complicated. While the offences are within the jurisdiction of a court, action can be started only by the police who require clearances from different echelons of public administration depending upon the status of the official involved.

The judicial review of administrative acts in many developing countries generally depends on the level of national commitment to the rule of law and the independence of the judiciary. In countries where regimes can easily change laws (by the executive or through compliant legislative bodies), the situation becomes rather tenuous. The laws may negate the jurisdiction of courts or change substantive laws. In these instances there is a state of law, but no rule of law.

Other remedies

Some countries rely on legislative assistance, the press and appeals to political leaders as remedies for administrative abuses of power.

Legislative support. While legislative bodies may try to supervise public administration through the enforcement of accountability, they do not normally deal with individual cases. But in some instances it is possible to mobilize legislative support to redress individual wrongs.

One device which has developed in some countries is the parliamentary question. For example, the aggrieved party may ask the Member of Parliament for his/her constituency to raise the issue with the minister concerned. The member may raise the question with the minister privately, or give a notice to ask the question in the parliament. If the question goes to the parliament the minister is bound to answer it and any supplementary queries. Usually the minister is keen to avoid the question in parliament if it is likely to embarrass his/her department and thus may be encouraged to look into the matter and try to resolve the issue. The minister can then hold an inquiry in his/her department.

Under the concept of ministerial responsibility, the parliamentary question becomes a check on administrative actions, and most civil servants do not want to place their minister in an awkward position. The publicity surrounding parliamentary questions also serves as a check on administration. For the most part, the effectiveness of this device depends upon the importance given to the legislative body and the concept of ministerial responsibility.

A comparable practice is to contact the aggrieved parties' representative in the legislative body. The representative then pursues the issue with the department concerned on the assumption that the department is anxious to provide a satisfactory answer or to resolve the issue. If the issue raised by the aggrieved party is of general interest or has broad policy and legal implications, the asking of the question or contacting of the representative may compel the government to appoint a commission of inquiry or special counsel. The latter is a rare occurrence.

Resort to the press. Resort to the press, either through contact with a reporter or a letter to the editor, may help an aggrieved party to get relief. Because it assumes that the government is sensitive to the press and public opinion this remedy may not be available in many developing countries.

Appeal to political leaders. Mobilizing political support also assumes sensitivity to public opinion on the part of leaders. Indeed, political leaders may sometimes be amenable to taking action, especially if they believe that it will strengthen their position *vis-à-vis* the administration or particular public officials, or generally increases popular confidence in their leadership. In some countries, government heads have inspection teams to look into problems at their behalf and take necessary action if the administrative action is found to be the result of bad faith or delinquency on the part of an official.

It is important to remember that control and correction of administrative abuse are a function of the system as a whole. While corrective organizational and jurisdictional arrangements may assume many forms, their success is more likely to depend upon the commitment of the overall system to practise public administration in the public interest. Where the emphasis is on the creation of formalistic institutions and procedures little may be achieved by way of preventing administrative abuses of power.

Review Questions

1. Identify the various forms of administrative abuses
2. Mention the different types of administrative remedies you know
3. Write brief note on Ombudsman and Judicial review