

Shaik Naseem

3. BA - Political Science, Sociology, Public Administration (1)

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POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

I- B.A(POLITICAL SCIENCE) / I - Semester

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I- B.A. POLITICAL SCIENCE

PAPER - I: Political Science : Concepts, Theories and Institutions

1. Introduction: Definition, Scope and Importance of Political Science
2. Approaches to the Study of Political Science: Liberal and Marxist
3. State – Nation and Civil Society
4. Sovereignty: Monism and Pluralism
5. Theories of Origin of the State; Social Contract and Evolutionary (Historical)
6. Concepts:
 - 6.1 Law: Sources of Law and Concepts of Rule of Law
 - 6.2 Liberty and Equality - Their Relationship
 - 6.3 Theories and Kinds of Rights
 - 6.4 Power and Authority
7. Ideologies: Individualism, Anarchism, Fascism and Socialism
8. Forms of Government:
 - a. Democracy: Direct and Indirect
 - b. Unitary and Federal
 - c. Parliamentary and Presidential
9. Theory of Separation of Powers
10. Organs of Government
 - a) Legislature:
 - i. Unicameral and Bi-cameral
 - ii. Powers and Functions
 - b) Executive :
 - i. Powers and Functions.
 - c) Judiciary :
 - i. Powers and Functions
 - ii. Independence of Judiciary and Judicial Review.

Books Recommended:

1. Principals of Political Science : Prof.A.C. Kapoor.
2. Grammar of Politics : Laski H.J.
3. Substance of Politics : A. Appadorai
4. Political Theory: Ashirvadam
5. Political Idelogies: Their Origins and Impact, Baradar, Prentice Hall of Inida

POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

B.A - POLITICAL SCIENCE

(First Year:Paper-I)

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UNIT - I

Lesson - 1

Introduction: Definition, Scope and Importance of Political Science

3- 18

Lesson - 2

Approaches to the Study of Political Science: Liberal and Marxist

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Political Science Concepts, Theories & Institutions

NOTES

2 *Self-Instructional Material*

Lesson 1

INTRODUCTION

Structure

- 1.0 Aims and Objectives
- 1.1 Introduction
 - 1.1.1 Meaning of Politics
- 1.2 Meaning of Political Science
 - 1.2.1 Definition
- 1.3 Nature and Scope
 - 1.3.1 Meaning and Scope of Art
 - 1.3.2 Scope of Political Science
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 - 1.4.2 Political Science and Economics
 - 1.4.3 Political Science and Sociology
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 - 1.4.5 Political Science and Ethics
 - 1.4.6 Relevance of Political Science to the study of Law
- 1.5 Importance of Political Science
- 1.6 Summary
- 1.7 Keywords
- 1.8 Review Questions
- 1.9 Suggested Readings

1.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Define Political Science
- Describe Nature and Scope of Political Science
- Discuss relationship with other Social Sciences
- Explain importance of political science.

1.1 INTRODUCTION

Political science is the academic field of study on power and its distribution in the

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various types of political systems. The study ventures into the sources of power, its exercise, who exercises it and how it is exercised. It deals with the study of politics and governance in an empirical model. It studies the power relations in society and the practise of political behaviour in general. It investigates the acquisition, demonstration and sustainability of political power in society.

Politics concerns itself with power distribution in society and the distribution of resources. It is the science or art of directing a political unit, or simply the art and science of government. It determines who gets what, when and how within the society; the acquisition of power, its use and the power relations. Politics is a game of power and influence. It manifests itself in situations involving power, society, hierarchy and decision making. The power relation would hold that the person higher level within the hierarchy wields more power than the inferior. Politics, therefore, centres on three main areas

- The civil government, state and public affairs
- Human conflicts and conflict resolution
- The sources and exercise of power
- It is further divided into other fields, or branches.

1.1.1 Meaning of Politics

Politics and Political Science are sometimes interchangeably used. There is a slight difference between the two. "Politics is the study of why man finds it necessary or desirable to build government, of how he adapts government to his changing needs or demands, of how and why he decides on public policies. Politics is concerned with the conditions and consequences of fin human action"

- **David Easton**

Political Science is broader in its scope. It includes both the theory and practice of State and Government. Bluntschli, a German philosopher, defined Political Science as "the science of the state". According to him Political Science deals with the State- its nature, its various forms and its development. Prof. Garner opined that Political Science begins and ends with the State, while Stephen Leacock held that "Political Science deals with Government only". For Paul Janet, Political Science deals with "the foundations of the State and the principles of Government". Thus, there is a degree of difference of opinion on the subject matter of Political Science. However, in the modern period, political scientists like Harold J.Laski and R.H. Soltau preferred to use the term "Politics" for the subject of our study. By this one can understand the difficulty in designating the discipline in view of the conceptual confusion.

Aristotle is called "the Father of Political Science". It is Aristotle who first made use of the term "Politics" in his great classic on the "State". The term 'Politics' is derived from the Latin word Politicus". It is in turn derived from the Greek word "Polis". In Greek language, polls means 'a city-slate'. The Greeks used the term "Polis" or "Politika" to describe the totality of the state activity. In other words, the term "Politics" implied the affairs of the "Polis" for the ancient Greeks.

City-State

Perhaps the greatest contribution of the Greeks not only to the subject of Politics but also to the urban civilization, is the city-states. For the Greeks, "Polis" was a city-state.

Each city-state had its own government, laws, social and political institutions and well-developed civic life. Athens, Sparta, Corinth, Argos, Thebes etc. were some of the prominent city-states then. Athens was one of the greatest city-states with a democratic polity. It was said that a city state those days was a centre of hectic political activity. Citizenship was considered a matter of great personal esteem and a prestigious possession by the Greeks. It was in these city-states that great political experiments like Monarchy, Aristocracy and Democracy etc. were experimented. Socrates, Plato and Aristotle held them so high.

What is a state today for us was a city-state for the Greeks. In other words a city was virtually considered a state by the Greeks. It is from these humble origins of city-state that the present nation-state was evolved.

Today Political Science has assumed great importance in terms of its study, research and use of knowledge.

1.2 MEANING OF POLITICAL SCIENCE

Political Science is basically a social science dealing with the subject of the State and Government. It is “the science which is concerned with the state which endeavours to understand and comprehend the state in its fundamental condition, in its essential nature, its various forms of manifestation, its development,” (Bluntschli). It is very difficult to define Political Science in exact terms. While Political Science was originally concerned with the traditional or theoretical politics in the beginning, it has become altogether different from its original. Today it is differently defined. While Politics” has been in currency from the times of Aristotle, today it is called “Political Science”. While “Politics” refers to a particular political activity and dubs it as an art, “Political Science” refers to the study of the state in its forms and manifestations, and thereby gives it the character of Science.

A large number of writers such as David Easton, Harold Lasswell, H R.A Dahl, Kaplan, Catlin and Gabriel A. Almond, considered “Power” as the fundamental concept of political science. These political scientists tried to explain political reality in empirical terms. As a consequence the new approach—the Empirical Approach has overshadowed the speculative or normative aspects of Political Science. This trend has been described by some leading writers on Political Science as “decline” or “demise” or “retreat” of Political Theory in recent times.

Modern Thrust on the Subject

The term “Politics” has three dimensions, namely, (a) Political activity (b) Political process, and (c) Political power. Firstly, Political activity is continuous, timeless, ever-changing and universal. Its main manifestation is the making or taking a decision in which some political action is involved. Politics, for David Easton, means “the authoritative allocation of values”. A political action for Harold Lasswell and Robert A. Dahl. is “a special case in the exercise of power”. And for Jean Blondel, it is “decision-making”.

Secondly, Political process is an extension of political activity. According to Finer, “the set of procedures whereby the private associations existing in a state seek to influence the government, or participate in policy foundation by the government or become the government is the political process.”

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Thirdly, power implies “participation in the making of decisions”. It is an exercise in the attempt to change the conduct of others in one’s own direction. The subject of “Authority” is the handmaid of power. Thus Politics is not merely a study of State and Government but also a study of “the exercise of power”. Michael Curtis has rightly said, “Politics is an organised dispute about power and its use, involving choice among competing values, ideas, persons, interests and demands. The study of politics is concerned with the description and analysis of the manner in which power is obtained, exercised and controlled, the purpose for which it is used, the manner in which decisions are made, the factors which influence the making of those decisions and the context in which those decisions take place.”

1.2.1 Definitions

There are different definitions to the dimensions of Political Science. These definitions can be detailed in the following ways.

1. “Political Science begins and ends with the State” - **Dr. Garner**
2. “Political Science is a study in the past, present and future of political organizations and political theories” - **Gettel**
3. “Political Science is that part of Social Science which treats the foundation of the state and the principles of the Government” - **Paul Janet**.
4. “Political Science is the study of State and Government” - **Gilchrist**
5. “Political Science as an empirical discipline, (as) the study of the shaping and sharing of power” - **Harold Laswell**
6. “Political science is related with different activities highly influencing the system of power that directs the society, the method of implementing the power and the social values controlled and directed officially” - **David Easton**
7. “Political science studies the politico-territorial society united to lead a life under legislation”. - **Appadorai**

After going through the above definitions, one can understand that Political Science is primarily a science studying the State and the Government, Leanock and Bluntschli believed that Political Science is more concerned with the government. They also opined that all the goals of State can be achieved through the government. They specified that, the State can be controlled by having a control of government. Paul Janet opined that Political Science is the study of the principles related to the state and government. In the view of Gettel, the main aim of Political Science is to know about the aims of the political institutions in the past; to observe the aims of the contemporary political institutions and to think of the aims and ideals of the political institutions in future.

Up to the advent of the twentieth century, many of the people considered Political Science as a study of the State and Government and also the relations between the individual, State and the Government, but in the beginning of the twentieth century, political scientists like George Catlin, Charles Merium, Max Weber and Kaplan indicated many new factors that can be included in the study of Political Science. Political Science acquired many trends, newly related with the human behaviour, attitude and study of his activities. It is influenced by the behaviouralism. Basically, according to the modern political thinkers, Political Science discusses power, as the power is the nucleus in the state.

1.3 NATURE AND SCOPE

There are different views on the nature of politics. Aristotle, Bodin, Hobbes, Bluntschli, Montesquieu, Lewis, Sidgwick, Jellinek, Bryce etc., hold that politics is a science. But, writers like J.S. Mill, Maitland, Catlin, Barker, Buckle, Auguste Comte, etc. maintain that it is only an art.

1.3.1 Meaning of Science and Art

The word 'science' literally means 'knowledge'. Science generally means a systematic way of gathering and organizing knowledge. "Science is knowledge ascertained by observation and experiment, critically tested, systematized and brought under general principles." As per Garner, "Science is a knowledge relating to a particular subject acquired by systematic observation, experience, or study which have been co-ordinated, systematised and classified." The conclusions in science are based on experience and observation. The chief characteristics of science are universality, exactness, precision and predictability. It is studied by collecting and verifying data, formulating concise and standard principles, and making predictions. Science is a systematic body of knowledge based on reasons and evidence.

'Art' means 'skill' or 'a way of doing a particular thing in a particular way. It can be improved by practice, guided by principles.

Politics is a Science

Politics is considered as science on the following grounds

- 1) Politics can be studied in a systematic manner.
- 2) It is said that experimentation is possible in politics.
- 3) Political science, like other sciences, has absolute and universal laws
- 4) It is possible to make predictions in politics, but in a limited area.
- 5) There are certain principles and methods on which political thinkers unanimously agree.
- 6) Politics is a subject which has scientific nature.
- 7) At present, politics has attained modernity. Aristotle called politics as 'Supreme Science'.

Politics is not a Science

James Bryce maintains that "Politics can never become a science." Catlin thinks that there is "No such thing as a political science." Buckle holds that "Politics far from being a science is one of the most backward of all the arts." G. Mosca holds that "Political science in its present conditions has not yet genuinely entered upon its scientific state." Maitland writes, "When I see a good set of examination questions headed by the word 'Political Science' I regret not the questions but the title." Auguste Comte rejected to treat it as a science on the following three grounds:

- a) There is no consensus of opinion among the political thinkers as to its methods, principles and conclusions.
- b) It is impossible to foretell what is going to happen as Astronomy can tell us. In other words, it lacks the elements which constitute a basis of provision.

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c) It lacks continuity of development.

Politics is not considered as science on the following grounds:

- 1) Politics has no absolute and universal laws like physical sciences or exact sciences.
- 2) It does not observe the theory of cause and effect, which is the basis of all sciences.
- 3) The subject of politics has not developed in a steady, regular and continuous manner.
- 4) Scientific methods of observation and experimentation cannot be applied to politics because political conditions are ever changing and difficult to be experimented upon.
- 5) The subject-matter of politics is related to men in society and man's individuality, behavior and opinions always go on changing and universal laws and principles cannot be formulated as in other exact sciences.
- 6) The factors which influence political conditions cannot be controlled for experimentation.
- 7) In politics, there are no tools of measurement to ascertain results while observing political phenomena.
- 8) The political investigator's biased views or feelings distort the reality which is to be understood in politics. Politics is subjective by nature and objectivity is not possible in Politics.
- 9) Political theories lack exactness since human nature and behavior cannot be accurately studied just like some specimen or objects in a laboratory which are under the complete control of the researcher.
- 10) The methods used in the study of political issues are uncertain, crude and undeveloped and the results are not reliable.

Politics is a Social science

It must be admitted that political science is not an exact science, as it falls short of the degree of the perfection and exactness attained by physical sciences. Passions, emotions and prejudices which influence political process defy absolute prediction. But still it is possible to study political science in a systematic and scientific manner.

Politics deals with social phenomenon. It has judiciously chosen different methods for studying different phenomena. For that master no social science can demand absolute certainty on any social question. This is because the material it has to deal with are human beings, whose actions cannot be predicted with absolute certainty. In this regard the plight of political science is similar to other social sciences. Politics like economics, ethics, sociology is a social science having characteristics of positive science.

Politics is an Art

An art is a system of rules for the attainment of a given end. Art is the practical application of knowledge for achieving definite end. A science teaches us to know whereas an art teaches us to do. Art is an action with purpose. It lays down precepts or specific solutions for specific problems. Some writers consider politics as an art because it deals with various aspects of life and explains the ways political affairs are to be conducted. Gettell and Bluntschil that politics bears the characteristics of art. Buckle regards to be "One of the most backward of all the arts."

Prof. Cossa says, “Science requires art, art requires science, each being complementary to the other.” William Eslinger says, “Science and art need not be antithesis. Art can also be based on science.” Hence politics is considered as an art as well as social science. Politics gives practical guidelines to the rulers and administrator along with citizens. Politics has been developing as a systematic study of human relations in political State.

1.3.2 Scope of Political Science

Every discipline extends to a particular area touching upon varied facts under its fold. For example, Economics deals with the matters of wealth its consumption, production, distribution and exchange. Sociology deals with the nature and origin of social groups, race, kinship, religion, culture and so forth. Similarly political science has a scope to deal with several aspects of man in the process of governing himself. It includes several dimensions starting from a small city-state “Polis” as the Greeks emphasized to that of the modern enlarged view of internationalism and several other aspects concerning the expression, formulation and execution of public policies. Political scientists have expressed different views on the scope of political science. The varied views are discussed below.

1. Study of State and Government

Political scientists like Paul Janet, Bluntschli and Garner viewed Political Science as a study of the affairs of the state. On the other hand, Stephen Leacock, John Seely and others confined the scope of political science to government alone. On the whole, the scope of Political Science includes several aspects such as the nature of the State—its origin, growth and development, various theories of origin of state. It also includes a study of the various functions of the State from that of a limited sphere namely the police state or laissez affair state to that of socialist state and the modern welfare state. Political Science also discusses various matters concerning the classification of governments. Hence the scope of political Science revolves round both the State and the Government in its various dimensions.

2. Study of State Will

Prof. Frank K.J. Goodnow maintains that Political Science concerns with the will of the State. He elaborates that the state formulates the will or objective, and makes an expression of this basic objective and ultimately accomplishes this will into reality by the enactment of law. It implies that the state is concerned with outlining the program of action or a broad policy measure and then formulate this in the form of a law and implement it rigorously to achieve the said goals.

3. Study of Associations and Institutions

Man is a member of various associations and institutions while being a member of a particular state. As the State fulfils various political needs of man, the different associations and institutions such as moral, religious, cultural, scientific, technological, etc., also help the individual in the furtherance of his personality. There is a great linkage in between these voluntary institutions and the state at times working hand in glove with each other and sometimes in a conflicting direction posing serious problems. It is therefore, necessary that the scope of Political Science should include not only the formal pattern of State and Government but also the informal processes maintained and operated by these voluntary institutions in modern times.

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NOTES**4. Study of National and International Problems**

The traditional political science has confined its scope to a narrow vision of Polis or City-state in ancient Greek times. But this view cannot hold good in modern times. Presently, the discipline deals with enlarged national states as well as international politics. In this sphere it covers various issues of state in relation to other states and in the maintenance of territorial integrity and sovereignty. Therefore the scope of political science includes aspects like cold war, balance of power, disarmament, sphere of influence, detente, etc. Thus, Political Science deals not only the domestic policies of a nation or a country but also studies the problems of international dimension stretching from the regional organisation to that of world organisations, namely, the United Nations and global fields.

5. Study of Past, Present and Future of the State

Political Science studies the matters concerning the past, present and future of the State. Political Scientists firmly viewed that State is an indispensable institution for the all round growth of human beings. As Prof. Gettel says "In its historical aspect, political science deals with the origin of state and the development of political theories in the past, in dealing with the present it attempts to describe and classify the existing political institutions and ideas. Political Science also looks to the future to improve political organizations and activities in the light of the changing conditions and changing ethical standards".

6. Study of Power

The Behaviouralists affirmed that Political Science confines its scope to the sharing and shaping of power. It also explains how power is grabbed, manipulated and perpetuated for a control on the society. The modern political scientists while emphasizing the concept of power included in its fold the areas such as political socialization, political culture, political participation, political communication, interest articulation and aggregation etc. These aspects are viewed as non-formal political processes which have a great bearing on the theory of Political power. Eminent political scientists like William Robinsion, Hans Margentheau, Beatrand Russel and others viewed that Political power is not only confined to the domestic area but also to the international sphere.

7. Study of Public Policy

Political Scientists such as David Easton, Anderson, Thomas R. Dyes and Charles Lindblom have emphatically argued that Political Science is a "Policy science". Its area includes the formulation of policy, its execution and evaluation. With the advent of public policy the scope of political Science has been further widened to include the dimensions of basic policies such as education policy, industrial policy, agricultural policy, land reforms policy population policy, weaker sections welfare policy, etc.

The basic thrust of political science, therefore, is to examine the available resources in terms of men, material and monetary aspects and suggest measures by formulation of sound policies for strengthening the State.

1.4 RELATIONSHIP WITH OTHER SOCIAL SCIENCES

Political science is closely related to other social sciences like history, economics, sociology, ethics and psychology. Its study includes all aspects of social organization

with which other social sciences also deal. It is related to other social sciences for two reasons: (i) all systematized knowledge is unified, and (ii) all social sciences revolve around a common subject, *i.e.*, human beings, who by their motivations and actions affect all spheres of social sciences obviously then all social sciences are interrelated and indebted to each other.

1.4.1 Political Science and History

Politics and History are very closely related to each other. Freeman says, “History is past politics.” It may be added that even present politics becomes instant history. The knowledge of history enables to form conclusions of politics. History provides raw-material of politics and analyses the causes of events. Politics uses the historical facts and finds out general laws and principles useful for political life. History deals with what the State has been. This helps to modify the State and political life and create better political conditions. The origin and development of political institutions can be grasped with the help of history.

The mutual relationship is so great that they touch each other frequently. Seeley says, “History without Political Science has no fruit; Political Science without History has no root.” He further remarked, “Politics is vulgar when not liberated by History, and History fades into mere literature when it loses right of its relation to politics. Politics is an aggregate of formal institutions of the State and social progress. It means that subject-matter of politics is closely related to history.” Burges says,

In spite of their close relation, they differ from each other

- a) History is descriptive while political science is normative.
- b) History deals with events and phenomena as they are. In politics we study the events as to their utilization for the development of human culture and welfare.
- c) History records all the events that take place in society. But politics is concerned only with that social phenomena which are concerned with citizens.
- f) History presents the facts as they are. But, politics passes moral and value judgments.

In the words of Prof. Leacock, “Some history is part of political science, the circle of their contents overlapping an area enclosed by each.”

1.4.2 Political Science and Economics

Economics is the science of wealth. Originally economics was regarded as a branch of politics. It was called political economy. Adam Smith in his book ‘Wealth of Nations’ says, “Political Economy proposes to enrich the people and the sovereign.” Political Science is the study of State and Government and political activities. Both Politics and Economics have close relationship.

- 1) Economics and Politics are concerned with the welfare of the human society. Politics explains how to bring peace and make life happy. It realizes that without the satisfaction of basic economic requirements of man, political stability cannot be ensured. It tells the methods of controlling anarchy and regulating human activities. Political science and economics have always remained closely related.
- 2) State has to solve several economic problems. To start with, the State has to

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create an orderly atmosphere where smooth production and distribution of goods become possible. The State regulates industry, finance, trade and commerce through legislation. Political ideas and principles influence the economic issues.

- 3) Political and economic problems act and react on each other. Most of the problems of the nation are economic in nature, but they are decided by political agencies. Economic factors were responsible for the outbreak of the world wars.
- 4) To achieve development, the State not only performs the age-old functions relating to fiscal matters or entering into commerce but also details out the policies regarding taxation, marketing, exports and imports and nationalization. States are drawing plans for economic development.
- 5) Political power is at the root of economic power. Political power is captured in a democracy with economic resources. This indicates the affinity between Politics and Economics.
- 6) Political Science depends on Economics. The people do not enjoy the fruits of democracy without the necessary legislation of equal distribution of wealth.
- 7) Political ideas are influenced by economic conditions. To reduce economic inequalities in society, political theories like syndicalism, socialism, and communism are formulated. Industrial revolution strengthened the roots of democracy.

In spite of the intimate relationship there are differences between political science and economics.

- 1) While economics deals with wealth, political science concentrates on the origin of State.
- 2) Economics deals with prices while politics deals with social values.
- 3) Economics is a descriptive science whereas politics is a normative science.
- 4) Economics explains mainly the profit and loss aspects and it is not concerned with good and bad or values of life. On the other hand, Politics is concerned with the feelings, reactions and the ideal nature of individuals and the State.

1.4.3 Political Science and Sociology

Sociology is regarded as a parent science for all social sciences. Since originally it involved a study of society in all its manifestations it embraced society as a whole for long and took account of man in the associated process of all his social relations. Politics is the study of State and Government. Garner says, "Politics is embedded in the social and if political science remains distinct from sociology, it will be because the breadth of the field calls for the specialist and not because there are well defined boundaries marking it off from sociology." Prof. Gidding says that "to teach the theory of the. State to men who have not learned the first principle of sociology is like teaching astronomy or thermodynamics to men who have not learned the Newton laws of motion." Thus, Politics has close relationship with sociology. They are mutually contributory. Both subjects help each other in studying the activities of man living in society.

Politics gives to Sociology facts about the organisation and functions of State. This is necessary to understand social problems. It takes from Sociology a knowledge of the origin of political authority and law. This is particularly useful to politics because in the beginning the State was more a social than a political institution. "A sociologist ought to

be a political scientist and a political scientist must be a sociologist.” Political science helps sociology by furnishing the details about State and Government which are essential in understanding sociological problems.

But in spite of close relationship between the two subjects, they also differ from each other.

- 1) The scope of Sociology is broad. It studies social, political and economic aspects of society. It studies man in general. Politics studies only the political aspect of sociology. It studies man as a citizen. So its scope is narrow.
- 2) Political Science is normative while sociology is descriptive. Sociology gives descriptions of events and actions without stating their good or bad consequences. The aim of political science is the welfare of the society.
- 3) Sociology studies both the organised and the unorganised societies. Politics studies organised societies only.
- 4) Sociology studies the present and the past only. Politics studies the future also.

1.4.4 Political Science and Public Administration

Political Science is closely associated with Public Administration. Until recently, Public Administration was considered to be a part and parcel of Political Science. While Political Science is related to the study of State and Government, Public Administration deals mainly with the activities of the government. Public Administration and Political Science have close relationship and they are two sides of the same coin. They are the two species of the same genus.

- 1) Public Administration has been a part of Political Science. It has been an organ of the State activity.
- 2) Politics takes help from Public Administration in many respects. For example, in the process of making laws, the civil servants draft the bills to place before the legislature. Similarly, other policies are also framed with the help of administrators.
- 3) The politics approved by the government and laws made by the legislatures are enforced by the administrators. It is therefore said that Public Administration begins where politics ends.
- 4) In the words of John Gaus, “A theory of Public Administration means, in our times, a theory of politics too.”
- 5) Politics influences Public Administration. The political head ultimately prevails over the decisions of administration. The political chief enjoys the power of direction and supervision of the work of administration.

Though Political Science and Public Administration are closely related like the petals of a flower, they differ in many issues.

- 1) The scope of Political Science is wider than the scope of Public Administration.
- 2) Politics is mainly concerned with the nature and functions of the State. Public Administration deals with the implementation of governmental policies.
- 3) Politics is concerned with values and Public Administration with facts.
- 4) Politics is more normative than Public Administration.

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5) Politics is non-technical while Public Administration is technical.

1.4.5 Political Science and Ethics

Ethics is concerned mainly with questions regarding the principles of good life for individuals. Good life is justified on grounds of morality and prescribes what 'ends' ought to be sought and through what 'means'. Politics is concerned with the study of the realisation of common good of the society as a whole. The greatest good of the greatest number is an important aspect of politics. Among all the social sciences, Political Science maintains closest relationship with ethics. In fact, there was a time when politics was merely a branch of ethics.

- 1) For understanding political behaviour, a knowledge of ethical principles is needed.
- 2) The aim of both politics and ethics is the same. They want to do good to man and promote the common welfare.
- 3) Ethics is concerned with the elevation of human conduct. Political Science also deals with, the State which aims at making people good citizens.
- 4) Ethics and Politics depend on each other. The government passes several laws. There is close relationship between law and morality. The most popular moral principles have been changed into a set of laws.

Ivor Brown says, "*Politics is Ethics writ large.*" Mahatma Gandhi says, "*What is morally wrong cannot be politically right.*"

However, political science can be considered as subordinate to the ethical code as ethics is prior to politics. Machiavelli was of the opinion that the principles of morality have no place in Politics. According to him, the ruler was mainly concerned with the attainment of success irrespective of moral principles. Ethics is more normative than Politics. Political Science deals with law which is concerned with man's external conduct whereas Ethics is concerned with both external behavior and inner feelings of the individual. Ethics describes principles of right and wrong while politics deals with State, Government and political order. The scope of Ethics is wider than that of Politics.

1.4.6 Relevance of Political Science to the study of Law

The study of law and justice does not treat the affairs of jurisprudence only but is linked to the State as the State is regarded to be the maintainer of an effective and equitable system of law and order. Matters relating to the organization, jurisdiction and independence of judicial institutions, therefore, become an essential concern of a political thought.

Politics treats organised society, not as a social or political phenomenon but as a purely judicial regime, an ensemble of public law, rights and obligations, founded on a system of pure logic and reason.

Law covers the entire behaviour of man's social, economic and political actions. Previously, law was a branch of political science. As both law and political science deal with both State and man, political science has its relevance in the study of law due to the following reasons :

A study of State: Law is made and implemented by the State. State is a very essential institution without which man's civilized life becomes impossible. State is essential for the maintenance of peace and the development of people. Aristotle says that State

exists for the sake of life and continues to exist for the sake of orderly, life. It is necessary to know the State in all its aspects what it has been, what it is and what it ought to be. By studying politics we can know how the State has reached its present form, what are its functions, its purpose, *etc.* Politics helps us to understand the past, to explain the present and to direct the future course of human life.

A study of Man: The ultimate aim of law is to make a man as law-binding citizen. The State exists for the sake of man. The end of State is the development and progress of man. For free and full development of individual personality, rights are essential. So it is the duty of State to guarantee some rights to the people. Without rights one loses one's identity and simply becomes a unit, a slave. He who has rights and duties is called a citizen. Thus, politics studies man as citizen.

A study of Government: To govern law, Government, an agent of the State is required. It is through the government the State exercises its authority. Politics studies the various activities of government and its organisation, law-making process in various States, different forms of government and its merit and defects. The government consists of three organs, namely, legislature, law-making body, executive, the law implementing authority and the judiciary, law-giving organ. The main function of the government is related to law only.

A study of political ideas: Law is not a static one but a dynamic subject. It changes basing on political philosophies. Law is viewed differently by individualists or liberals, socialists, communists and democrats. Politics deals with the theories forwarded by political thinkers regarding individualism, socialism and democracy. Thus, part of politics may be called 'political philosophy'.

A study of political concepts: The sources of law are customs, religion, equality, legislature, codification and interpretations. All these issues are dependent on the political concepts like sovereignty, liberty, equality, power, authority, legitimacy, justice, rights and duties.

A study of Constitutions: The basis of legal system is Constitution. Different countries form their own Constitutions. However, there are similarities regarding the organs of executive, legislature and judiciary though the function of these organs may be in different ways. Constitutions give guarantee to fundamental rights, which are protected by law. Constitution provides the guidance regarding the formation and function of legislature, administration and judiciary.

A study of International Relations: No country can live in isolation. Every country is a member of world family. All countries are interwoven with World market, World trade and World Government, the U.N.O. A new branch of law relating to personal and public International law, International Economic law and International Trade law (relating to W.T.O.) has been developed. It has brought the World nearer and its people together. All these have added new dimensions to political science and made it the science of the World Community. Accordingly, politics nowadays studies human rights and duties, matters relating to international conventions as a member of the World Community. It discusses the powers, functions and importance of World Organisation, the U.N.O., the dangers of arms race, international relations, the need of international cooperation and understanding and the rights and obligations of individual in relation to humanity. It

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educates people how internationalism is important in the present world of political tensions.

Hence, a student of law has to acquire knowledge of political theory, Political parties, public administration, International relations and policies, International Organisations, Public opinion and Propaganda, Comparative Government, State, Local Government, Constitutions and International Law.

Political Science provides knowledge to a law student about basic technology of the subject about which a student learns at the very beginning of his study. It also gives information about a number of concepts and principles of law that are seen even in action in the political sphere of human activity. Study of Political Science produces enlightened legal personalities who introduce legal consciousness among the people.

1.5 IMPORTANCE OF POLITICAL SCIENCE

a) Political Knowledge: “The proper study of Political Science is significant both to society and individual”. (Dillan). Modern age is highly complex and technological. It is imperative that the modern man should develop proper attitude towards the society. This is possible only when he identifies himself with the society around him. Solutions to various political problems can be found only when we have a proper understanding about political institutions and their importance in the State. The social problems can be solved when we have proper social awareness. Political science provides ample knowledge in this regard.

b) Age of Democracy: It is an age of democracy. Democracy is not only a political ideal but also a pleasant way of life. It is a method of government apart from a source of knowledge. It has tremendous educational value. For the same reason a minimum education has been prescribed as a condition for the success of democracy, Political Science is the premier source of knowledge about democracy. The study of the subject helps molding the citizens who ultimate contribute to the success of democracy.

c) The Future Citizens : It is rightly said, “the child is the father of Man”, and “today’s student is tomorrow’s ruler”. Political science affords the knowledge basically required for the rulers. A student evolving himself as a citizen and finally a ruler indispensably requires instruction in the study of the State and the Government and the Constitution. Political Science equips the students with these skills.

d) Adult Franchise: With the reduction of the age for enfranchisement to eighteen years in most of the countries, there has been tremendous growth of the size of the electorates. For want of proper knowledge both theoretical and practical about the methods of representation and election the very practice of democracy proves a futile exercise. To deter such an unwanted situation, the study of political science becomes imminent and important for every adult.

e) Rights and Duties: Many evils in the social and political life today are sequel to either misinformation or misinterpretation or non-information about one’s own rights and responsibilities. Political science specially discusses these points and systematically stipulates the conditions governing both. The right understanding about one’s opportunities and obligations helps the proper enjoyment of rights and discharge of duties. The secret of social harmony lies in proper exercise of citizenship.

f) A Tension free stale: Tensions -social, economic and political-are largely due to the

parochial and provincial feelings harboured among the people. These narrow-minded feelings are logically removed from the Minds of the people by way of understanding and grasping the message that political Science provides and the solution it suggests. The key concepts of Liberty, Equality, Fraternity Justice etc., help remove the little and dangerous people.

g) World Family: It has been the long longing of the world leaders and prophets that we should accomplish the ideal of world family. In this and prophets that we should accomplish the ideal of world family. In this endeavor Political Science stimulates right thinking, forward looking and universal vision by way of cutting across the obstacles such as Imperialism, Colonialism, Racialism, etc. Internationalism, Universal Human Rights and the great religious preaching's of fatherhood of God and brotherhood of Man enormously help the people to accomplish the avowed objective of world family.

h) National Integration: National integration has become a crucial factor in several states the world over. Many states are divided internally on grounds of language, religion, culture, race, ideology etc. We have seen very much the collapse of mighty states which were divided on these grounds and rendering the states balconised, The erstwhile grand U.S.S.R is a particular example of this process of balkanisation in the recent past, Political Science projects the problems and the perils that would soon follow in the other states too when proper awareness is very much lacking about such dangers of disintegration. By instilling patriotism and the spirit of loyalty to the State, such awful tendencies among the people can be eradicated and unity and integrity among the people ensured.

In the end we conclude that either for a house-wife or for a politician, either for a pupil or for a leader, the study of Political Science is of extreme significance and use especially in an age of democracy. Aristotle is right when he said that the man who does not need a state is either a beast or God. Truly to qualify oneself for the privilege of citizenship one should have the basic knowledge of Political Science.

1.6 SUMMARY

Man is a social animal. As Aristotle has said, "he who is unable to live in society or who has no need because he is sufficient for himself, must be either a **beast or God**". Man in his daily life interacts with a number of groups and associations. It leads to diverse social relations and establishment of a society. Man's behaviour in the society is conditioned by two factors- physical and social. His insatiable curiosity compels him to comprehend these factors and the result of this continuous search is advent of social sciences like History, Economics, Political science, Sociology and Psychology. All these social sciences are closely related to one another because of the interdependence of human actions which are object of studies of these various social sciences. Political science deals with the political aspect of human behaviour. It studies political institutions and their various functions. Basically, political science studies the political institutions, parties, Government, Power, Authority and Liberty of Human beings.

1.7 KEYWORDS

- **Politics:** The word "**Politics**" is derived from a Greek word "**Polis**" meaning "**City-States**" since the Greeks lived in the city state, to them a subject which

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dealt with various aspects of city states was “Polis” or “Political Science” in the mode sense of the term.

- **Political Institutions:** Political Science basically studies the State and Government. The evolution of State, its development, its character and functions are included in Political Science. So also, Political Science examines how the organs of the State like legislature, executive and judiciary form and function.
- **Political Theories:** It is very much impossible to understand the facts and changes without theoretical understanding.
- **Political Behaviour:** Behaviouralism is a modern revolutionary aspect in Political Science. It is essential to understand the reaction of the people to the government policies.
- **Political Science and Government:** Study of government is another important aspect of this subject. As one knows that government is an agency through which the State expresses its will and no subject which is directly or indirectly concerned with the study of the State can leave the study of Government.

1.8 REVIEW QUESTIONS

Essay Type Questions

1. What is the meaning of Political Science? Explain its nature and scope in detail.
2. Discuss Political science is an Art? or Science?

Short Type Questions

1. Define the Political science.
2. Scope of Political science.
2. “Political science is related with different activities highly influencing the system of power that directs the society, the method of implementing the power and the social values controlled and directed officially”- David Easton,
3. “Political science studies the politico-territorial society united to lead a life under legislation”- Appadorai.

1.9 SUGGESTED READINGS

1. A.C.Kapoor - Principles of Political Science.
2. V.P.Joshi, - Political science.
3. E.Barker - The Politics of Aristotle.
4. G.H.Sabhine - Political Theory.
5. George.E.G. Catlin - Political Theory.
6. Houser and Stevenson - Political Science.
7. Pennock and Smith - Political Science – An Introduction.

Lesson 2

APPROACHES TO THE STUDY OF POLITICAL SCIENCE: TRADITIONAL AND MODERN

Structure

- 2.0 Aims and Objectives
- 2.1 Introduction
- 2.2 Meaning
- 2.3 Definition
- 2.4 Traditional Approaches
 - 2.4.1 Legal Approach
 - 2.4.2 Institutional Approach
- 2.5 Modern Approaches
- 2.6 Post Behavioral Approach
- 2.7 Methods of Study of Political Science
- 2.8 Stages of Growth
- 2.9 Behaviourism
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2.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Know the importance of approaches and methods of study Political Science.
- Know the traditional and modern approaches of Political Science.
- Explain the various types of approaches of to the study of Political Science.
- Study the various methods of Political Science such as Observational method, Comparative method, Historical method, Experimental method and Philosophical method.

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2.1 INTRODUCTION

The aim of any science is to know the truth. With this end in view every science develops and follows certain methods to investigate and formulate some basic laws or principles. Politics is a well developed social science. So, a systematic or scientific method is as important to politics “as the microscope is to biology or the telescope is to astronomy”. Different writers have suggested different methods to study and unfold the phenomena of the state and government. Among them mention may be made of Bluntschili, J.S. Mill, Deslanders etc. No single method, however, is final and foolproof. Each method has its own values and limitations. The following are the generally accepted methods of political investigations: (1) Observational method (2) Comparative method (3) Historical method (4) Experimental method and (5) Philosophical method.

2.2 MEANING

In political science, there are various methods and approaches to study political science. For this, use of deductive and inductive approaches is incomplete and fails to analysis diverse political phenomena. Therefore, a student of political science as to relay on a number of approaches for objective analysis of political phenomena. From the days of Plato political thinkers have used various methods and made different approaches in their enquiries.

2.3 DEFINITIONS

Some of the definitions are mentioned below

1. According to Sanvadori, “As for as methodology in political science is concerned, exports want to speak of a variety of methods; philosophical, dialectical, sociological, economic and normative methods
2. Auguste Comte defined as, “Suggested three methods study of political science – (1) observational (2) experimental (3) comparative. Through these methods, the political science may be understand easily.”

2.4 TRADITIONAL APPROACHES

An approach is a way of looking at and then explaining a particular phenomenon. An approach consists of criteria of selection criteria employed in selecting and data to bring to bear; it consists of standards governing the inclusion and exclusion of questions and data. The problem may be small or big. The explanation may be normative or empirical; qualitative or quantitative. The result is a generalized statement summarizing actions. Approach is a precursor of a theory and approach can be transformed into a theory if and when its function extends beyond the selection of problems and data about the subject under study. A method is a part of an approach. When an approach is systematised in a presentable form, it leads to the creation of a method V.Van Dyke says, “In brief, approaches consist of criteria for selecting problems and relevant data, whereas methods are procedures for granting and utilizing data.” Technique is still specific and used for a specific purpose.

Political Science has been studied from different standpoints. There are many

approaches formulated by scholars. There are traditional approaches and modern approaches. They are:

- 1) **Philosophical Approach:** Philosophical approach is also known as speculative or metaphysical approach. This method is deductive in its approach and starts with certain self-evident general propositions and then confirms or denies the facts. It starts with some abstract view of human nature and draws conclusions from that view concerning the nature, functions and aims of the State. Conclusions thus drawn are then sought to be harmonized with the actual facts of history and/or political life modifying its conclusions as necessary. Thus, the philosophical approach proceeds from general to particular. Plato, Rousseau, Kant, Bosanquet, Hegel are some of the important exponents of this approach. Plato's 'Republic' and Thomas More's 'Utopia' are examples. Here politics becomes a part of ethics.

The main danger of philosophical approach is that it may become purely imaginative and visionary. It may be lost in ideal and lose sight of actual conditions. Plato and Thomas More created an ideal of their own imagination and conceived of the ideal divorced from reality. The philosophical approach has value only if supplemented by sound observation and historical and comparative study. The ethical values of the method cannot be put into practice. Therefore, this method should be cautiously employed.

- 2) **Historical Approach:** The salient feature of historical approach is to throw focus on the past or over a selected period of time as well as on a sequence of selected events within a particular phase so as to find out an explanation of "what institutions are, and are tending to be, move/more in knowledge of what they have been and how they came to be, what they are than in the analysis of them as they stand."

Historical approach is expounded by Montesquieu, Seeley, Maine, Freeman, Laski and others. They explain the political institutions with reference to historical records. The historical approach is based on the assumption that the stock of political theory comes out of socio-economic crisis as well as the reactions they leave on the minds of the great thinkers. It implies that in understanding a political theory, it is equally necessary to understand clearly the time, place and circumstance, in which it was evolved.

The Historical approach is criticized on the following grounds

History generally does not repeat itself. So its value is limited. History does not deal with values. In History, most of the resemblances are superficial. One may draw misleading conclusions. Some examples of the past may not be useful now because of changing conditions. One may draw misleading conclusions because of superficial resemblances. The investigations may be made with emotional influences and personal prejudices investigator.

In spite of its weaknesses, historical approach has its own usefulness in understanding the meaning of great social and political theorists from Plato and Aristotle in the ancient to Leo Strauss and Laswell in the present times. Machiavelli followed this approach so as to justify his reflections on understanding political reality. In a way Burke also can be said to have followed this approach in explaining how societies have been both conserving and yet changing their age-old customs and traditions.

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NOTES**2.4.1 Legal Approach**

The legal approach is also called judicial approach. In legal approach, the study of politics is linked with the study of legal and judicial processes and institutions created by the State for maintaining a political organization. The themes of law and justice are treated not as the affairs of jurisprudence only but are linked to the State as the State is regarded to be the maintainer of an effective and equitable system of law and order. Matters relating to the organization, jurisdiction and independence of judicial institutions therefore, become an essential concern of a political theorist.

The writings of Jean Bodin, Thomas Hobbes, Hugo Grotius, Bentham, John Austin are some examples. In the words of Garner, the legal approach “treats organised society, not as a social or political phenomenon but as a purely judicial regime, an ensemble of public law rights and obligations, founded on a system of pure logic and reason.”

The legal approach firmly believes that law covers the entire behavior of a man’s political action. But in reality it is particularly true. Most of our actions cannot be explained on legal basis. An analytical jurist commits the mistake of reducing every aspect of a political system to a juridical entity.

2.4.2 Institutional Approach

The institutional approach is also called structural approach as it gives importance to organisations, interest groups and structures. The institutional approach lays emphasis on the formal structures of a political organization like legislature, executive and judiciary. Some analysts like Herman Finer may include the study of political parties, too, considering them also to be institutions. This approach covers both the formal and the informal institutions. The institutional approach includes the comparative approach too. G.A. Almond and David Apter focussed on the comparative study of the institutions of the advanced and of the developing countries. The comparison between the parliamentary or the judiciary institutions of different countries would benefit those who aim at strengthening their institutions. Writers like Walter Bagehot, Ogg, Munro, Bryce, Fiver, La ski, Strong and Maurice Duverger are considered to be the leading lights of their institutional approach.

It has its defects. It neglects the role of individuals who constitute and operate the formal as well as informal structures and sub-structures of a political system. It also ignores international politics. It is criticised as a routine description and pedestrian analysis of formal political structure and processes based on the more readily accessible official sources and records.

2.5 MODERN APPROACHES

1. Sociological Approach: Sociological approach regards the State mainly as a social organization. As a member of society, every individual learns many things. The totality of what he has learned from society is called political culture. Political culture is a way of political life, a method of thinking, glancing and feeling.

According to sociological approach, ample data was available in sociology to lay down certain empirical rules of political behavior. The elements of kinship, race, religion, language and such other will have more influence on political structure and activities that are present in any society.

Sociological approach is expounded by eminent thinkers like MacIver, David Easton, Almond, Lipset, Max Weber and others. According to sociological approach, the political behavior of the Individual can be understood in the social context. Political Socialization has a place in the society. It is the process through which a citizen acquires his own view of the political world and it takes place as the individual has social experiences that lead to relationship with the world of politics. E.G. Catlin presents the following advantages of sociological approach:

The sociological approach allows the study of relation and social structure as a whole and does not emphasize the segmental study. It links up the studies of political issues with a general theory of society. It provides the trivial and the common details regarding political events taking place from day to day when one deals with the State as his unit of analysis. It helps to study the institutions as a unit of analysis.

2.Psychological Approach: Psychological approach gives much importance to instincts, habits, emotions, etc. As it is individuals who act in different capacities in the political system, their psychology would reflect in their political roles too. The political behavior of the leaders, of the legislators and the executives, to name a few, can be understood well when the studies are based on the psychological approach. The interpersonal relationships are more motivated by psychological factors and the former are crucial for institutional effectiveness.

In the study of political behavior of man, the psychological factors of man were emphasized by Plato, Machiavelli, Hobbes, Locke, Rousseau, Bentham and others. Its exponents, in recent times, are Graham Wallace, Charles Marriam, Harold D. Lasswell, Robert A Dahl and others. Eminent psychologists such as Freud, Jung and McDougall had already laid down the psychological bases for political behavior.

Psychological approach revolutionized the study of political science. However, it has certain drawbacks. It has not covered much area and the progress made in this approach is disappointing. The approach proves ineffective in a fast moving and dynamic society. It brushes aside reason and gives excessive importance to anti-intellectual aspects of human nature.

3.Economic Approach: Much of politics is economic influenced. Economic factors are the motivating factors in politics. Economic approach in the study of politics can be traced back to the ancient thinkers like Plato and Aristotle. They gave importance to economic conditions and distribution of wealth in a State. The form of government depends much on them. There can be no peace and revolutions break out if economic inequality prevails. Modern writers like Harrington maintain that the form of government in a country is a reflection of economic conditions. John Adams is of the view that economic clashes result in political struggles.

Karl Marx's economic approach is very powerful one. It asserts that the economic productive forces and relationships would determine all other political, religious and other belief systems. The economic basis for the human existence is more evident for a layman too. Marx revolutionized political theory. The political strength of a nation and foreign relations depend upon the economic strength of a nation. Political stability and strength depends upon the strength of agricultural and the industrial sectors, banking system and so on.

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Though there is much truth in what is said in the economic approach, it has certain drawbacks. It ignores other factors in the study of Political Science giving excess importance to economic factors. Thus, it is narrow and restricted.

4. System Approach: The genesis of the system theory can be traced back to the writings of Ludwig Von Bertalanffy, a biologist in 1920. His emphasis was on the unification of all sciences, which is a sheet anchor or general system theory. The meaning of general system is that a group of objects or elements standing in some structural relationship to one another and interacting with certain characteristic processes.

The general system approach has been used in different forms by Easton, Almond, Deitch and Kaplan in the analysis of political system.

A system is a set of objects bounded by region in space and time. It involves interchange among its parts. Every system has its own structures and sub-structures. This approach helps to understand the national and international politics. This is a new approach to compare political systems.

5. Structure Functional Approach: The structural functional approach is a branch of system approach. It regards society as a unity, as a single unit. Each element or part of it performs a particular, a special function. There is interaction among its parts. It helps in the maintenance of the equilibrium.

This approach revolves round the two important concepts like structure and functions. Functions deal with the consequences involving objects. Structures are those arrangements within the System which perform functions. A single function may be performed by a complex combination of structures or vice versa. For example, political system performs many functions. Political party is a structure in it. It performs some specific functions.

6. Input-Output Approach: The input-output approach is a consequence to Structural functional analysis. It lays emphasis on the changes in Structural-functional analysis. It lays emphasis on the changes in political system. The political system (State) takes several decisions. In that process of decision-making, many institutions and individuals may help. Those forces that help in the decision-making process are called inputs. They are in the form of demands. In response to that the authority takes some decision. They are called output. David Easton calls it "flow model of a Particular system." Every political system converts inputs into output.

7. Behavioral Approach: Behavioral approach is a modern empirical approach which revolutionized political science. It has been developed from the 1940's and reached climax in the 1960's. Graham Wallas and Arthur Bentley are the first writers on this approach. In fact, political thinkers like Machiavelli, Locke, Mill and others studied the political behavior of man to some extent.

The central point of the behavioral approach is that the study of facts relating to human behavior in any capacity or context can give more valid and useful knowledge. In the case of political science too human behavior exhibits useful information and its measurable and useful propositions can be formulated to tackle the present problems. The studies based on behavioral approach analyzed some of the key concepts of political phenomenon, viz., power, influence and coercion or force, so as to throw light on the democratization of relations whether they are of national or international nature.

The motives, feelings, beliefs, actions, objectives and attitudes of the individual are studied in this approach.

Political scientists expressed different opinions on the meaning of behaviouralism. To some, it meant the psychology of individuals in political situations. To others it meant emphasis on the 'science' in 'political science' and to still others it meant merely the behavior of voters. But finally it is agreed that the behavioral approach deals with all political activity, and not with the activity of voters alone. According to Robert Dahl, it is an attempt to make the empirical component of political science more scientific by studying political behavior of individuals at all levels, within and without political institutions and groups, with their political likes and dislikes, reactions and responses.

Evron M, Kirkpatrick gives the following main characteristics of behavioral analysis in political science:

- i. It "rejects political institutions as the basic unit for research and identifies the behavior of individuals in political situations as the basic unit of analysis".
- ii. It identifies "social sciences" as "behavioral science" and emphasizes the unity of political science with the social sciences, so defined.
- iii. It advocates the utilization and development of more precise technique of observing, classifying, and measuring data and urges the use of statistical in quantitative formulation wherever possible. It defines the construction of systematic, empirical theory as the goal of political science.

David Easton has laid down the following intellectual foundation stones or assumptions of behaviouralism

- 1) **Regularities:** There are some uniformities in the political behavior of human beings that can be shaped into theories. On the basis of uniformities we can explain and predict the political phenomenon. For example, some voters vote for the same party in all the elections. If we link up this behavior with the social status, economic position and caste composition of the voters we find a uniformity in the behavior pattern.
- 2) **Verification:** Every aspect of study must be verified by concrete realities of the situation. The knowledge to be valid should consist of : (i) propositions that have been subject to empirical tests; (ii) that evidence must be based on observation; and (iii) conclude that they have carried out a large number of studies of attitudes underlying political behavior.
- 3) **Techniques:** Correct techniques of sampling, scaling, etc, must be adopted for acquiring and interpreting data.
- 4) **Quantified evidence:** Data of study should be quantified and measured. Then the conclusions can be verified on the basis of quantified evidence.
- 5) **Values:** Political science is a scientific study of politics in its functional aspect carried through empirical methods. It has nothing to do with moral or ethical questions. By using developed techniques and methods, research can always be kept value free.
- 6) **Systematization:** The study in every field of political science must be systematic, theory oriented and theory directed. The behaviouralist theory does not consist of

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speculation, but of Prediction, analytical explanation and scientific reasoning.

- 7) **Pure Science:** Behaviouralists insist on, what they call, “the pure science approach.” The theoretical understanding may lead application of this knowledge to problems of life.
- 8) **Integration:** Politics is one of the social sciences. The study of political phenomenon requires some understanding of how the economic, cultural and other phenomena in society are unfolding themselves. If an effort is made to detach the political man from the economic, social or cultural man, it would not be possible to understand his political behavior in its true character. So integration of all social sciences is necessary for the real understanding of political phenomenon.

The behavioral approach succeeded in gathering valuable Data on problems of leadership, voting pattern, role of political parties, pressure groups, etc. In addition to this, political science has been made a more dynamic discipline by this approach. Above all it has brought politics nearer to social sciences.

Coming to limitations, it has the following drawbacks

The meaning of political behavior is not clear.

It is not superior to other methods.

It overlooks moral values.

It makes political science a dependent on other social sciences.

It is very expensive.

It fails to distinct between physical and natural sciences.

It views human beings as an engineer would view material for building bridges. It fiddles while Rome burns. It is excused for two facts it does not know that it fiddles and it does know that Rome burns.

2.6 POST-BEHAVIORAL APPROACH

David Easton says that post-behavioral ism “is presenting us with a new image of our discipline and the obligations of our professions. It pleads for more relevant research. It pleads for an orientation to the work that will encourage political scientists, even in their professional capacity to prescribe and to act so to improve political life according to human criterion.”

Post-behaviouralism, as David Easton pointed out, was future orientation. “It was a genuine revolution, not a reaction, a becoming not a preservation, a reform, not a counter reformation.” It was both a movement and an intellectual tendency. Its main demands are relevance and action.

Post-modernism consists of the following

1. In the study of political science, substance must come before technique.
2. It should place its emphasis on social change and not on social preservation.
3. Political science had broken itself away from the brute realities of politics and is simply useless and it cannot serve the society in any useful manner.
4. If knowledge were to be used for right goals, values had to be restored to the

central position.

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5. Behaviouralists want the political scientists to realize that they gave “major tasks to problem” in society.
6. Knowledge must be put to work. They ask for action- science in place of contemplative science.
7. Study of political science should be related to urgent social problems. It should be purposive. It should be relevant. It should be able to understand the social and political problems and suggest solutions.

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2.7 METHODS OF STUDY OF POLITICAL SCIENCE

Politics is a well developed social science. Different writers have suggested different methods to study and uphold the phenomena of the State and Government. No single method, however, is final and foolproof. Each method has its own values and limitations. The following are the generally accepted methods of political investigation:

- i. **Observation Method:** Observation method consists in the actual observation of political phenomenon. The political investigator observes the working of political institutions and finds out his conclusions. Lord Bryce for example, visited various countries, observed the working of any institutions and laid down some general principles on democracy. Montesquieu visited England and propounded the Theory of Separation of Power, after observing the political conditions. The observation method is very useful, practical and has reality in it. The political conditions can be verified and conclusions are drawn on the basis of facts. But it is to be used with precaution. Observation must be profound and not superficial, and should be always free from personal prejudices. The observer must have penetrating insight. The observational method by itself is incomplete and inadequate unless it is supplemented by other methods.
- ii. **Comparative Method:** By comparative method, we collect much material, arrange and classify it, and come to certain conclusion by comparing the different historical facts and political events. It is the oldest method in politics. Aristotle, for example, had studied 158 constitutions and laid down some general principles. The aim is to enunciate general principle by comparing the various events in the world history. It may be a comparison of the present with the past or of the contemporary institutions in different countries.

In modern times, the comparative method is followed by Bryce and Montesquieu. Gilchrist gave the example of revolution. According to Gilchrist, revolutions have taken place at all times under different political conditions. Indian constitution also bears impact of the comparison of different constitutions. Prof. Garner maintains that either to “establish a general theory” or “to test specific hypothesis”, comparative method is the best one.

But, the comparative method is difficult and different method and it must be used with great care. In politics everything is relative. Comparisons are useful to a limited extent only. People differ in their temperaments, manners, customs, etc. Moreover, what is good and suitable to one country may not be suitable for another country. Thus, it has its own limits.

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iii. Experimental Method: Experimental method is also used for studying Political Science. Under certain limitations political experiments can be conducted and desired results may be secured. The new laws, policies and measures ushered in by the government are a kind of experiment. The government continues with the changes if they are accepted by the people and proved successful. There are certain other experiments like Panchayat Raj which proved successful to a great extent. The organization U.N.O. is a bold experiment at the international level.

Aristotle, Lewis and Catlin are the supporters of this method. R.N. Gilchrist says, "Every change in the form of government, every new law passed, is an experiment in Political Science." These are materials for Political Science, just as, say Carbon is material for Chemistry. But the conclusions of experiment method in political science are not as precise as in physical sciences. But they contain an element of probability. "Thus probability," says Butler, "is the guide of life." J.S. Mills, Lowell and Lord Bryce criticized the experimental method. According to them, political science is not an exact science. Hence no experiment can be conducted successfully. Perfect experiments are impossible because of unpredictable human behavior and unforeseen events. We cannot take a portion of the society into our hands and observe it in different conditions and aspects. For a scientist there is a fixed and limited laboratory. For the political scientist the whole world is a laboratory, which cannot be controlled. In physical sciences experiments can be conducted again and again. In politics it is not possible to do so because conditions change from time to time.

iv. Statistical or Quantitative Method: In modern times, statistical method occupies an important place in the study of political science for the compilation of voting figures, 'analysis of government finance and other purposes. Merriam and Gosnell did great work by adopting this method. Pre-poll surveys are conducted to forecast the winning possibilities of political parties contesting in elections. The statistical figures indicate the conditions prevailing in the different fields. Scaling techniques and sociometric techniques are being used to measure the non-quantitative and qualitative phenomenon. The importance of statistical method has been realized in present day political studies.

This method, like other methods, is also not free from drawbacks. The exact measurement of qualitative techniques is not possible and the results are not reliable. It may be regarded as an auxiliary method to other methods which supplies valuable facts and figures. So this method is to be used along with other methods to complete political study in a scientific manner. Other methods such as Historical method and Philosophical method have been discussed under approach and philosophical approach already.

2.8 STAGES OF GROWTH

Behaviouralism has passed through these stages. In the first phase, before outbreak of the Second World War, there was an increasing use of empirical and quantitative methods. Here lead was given by Stuart Rice and Harold Gosnell. It was only after the war that the real empirical and quantitative thrusts started. A number of writers Almond, David Easton, Laswell etc. have tried to build up, what they called "empirical theory". The sixties, however, witnessed the growth of mathematical techniques also. It also witnessed a split between theoretical and positive behaviourists.

2.9 BEHAVIOURISM

2.9.1 Achievements and Limitations

In 1960's there were two revolutions the theoretical and technical. In the technical field, remarkable achievements were made in the development and refinement of the tools and techniques of research. A number of approaches have been developed. Decision-making approach, input-output approach, structural functional analysis are some examples. Above all, it has brought politics nearer social science. Coming to the limitations, it views human beings as an engineer would view material for building bridges, It fiddles while Rome burns. It is excused for two facts. It does not know that it fiddles and it does not know that Rome burns. In spite of its defects, it has brought about great changes in understanding political behaviour.

2.9.2 Liberal Approach to Politics

Liberalism is a theory which seeks to establish a liberal relation between man and his various associations and the state in particular. This ideology is based on the postulation of Aristotle, the father of Political Science, the "Man is by nature social animal". Man cannot survive and develop without living in the Society. There are natural instincts in him which compel him to live among his fellow humans. No human being can live without Society. Man and society are related to each other like fish and water. Numerous needs of man is satisfied in the society. Even society thinks of creating certain definite atmosphere to enable the human beings to live happily. According to Aristotle "who is unable to live in society or who has no need because he is sufficient for himself must be either a beast or God".

Liberalism does not grant unlimited power to the state. The state has limited authority and its central aim is to develop the humanity. Man is the focus of the study of Politics according to liberal view. To protect the interests, to create and maintains morality, justice and liberty is the duty of the State. According to liberalism politics is the means to speediate the social progress. Prof. Duvegar defines politics as: "As effort to bring about the rule of order and justice in which power generates the general interest of the common good against the pressures of private interest". Features of Liberal Approach:

The features of the liberal view of politics can be summarised as under:

1. Man is a Social Being

Liberal view believes that man has his free will and personal reason. He lives in the society for the satisfaction of innumerable wants. Society is natural as well as necessary for man. The interests, feelings and aims of man are similar to those of society. His interests cannot be other than the aim of the society. Thus to establish a proper adjustment between the interests of the society as establish whole and the individual interests of man is the problem of the liberalism.

In the beginning the liberals thinkers considered that the individual liberty is unrestrained and unlimited. John Locke, Herbert Spencer, Adam Smith and others wanted that the society must have limited powers. But the modern liberal thinkers (neo liberals) wanted that there should be positive role of the society. They sought to establish an ideal adjustment between man and society.

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2. Individual is the Centre of Study

According to the liberalism, the politics to create better facilities for man. Individual is the key of all the activities of the society and state. Man is 'independent' and 'free' by nature. Man is above all the creatives and his conscience is the manifestation of truth. Man is his own master. The aim of political institutions is to perpetuate the freedom of man, his honour, his liberty and all his possessions.

Proper adjustment between the individual's interests society is essential foremost liberal thinkers wanted that society and state should be subjected to man. The state was considered as an inferior institution. All the activities of the state were doubted. Their effort to provide restrainless life of the individual created contradiction.

3.The basis of the Society is Competition

According to liberalism the society is based upon competition. Every man tries to satisfy more wants through competing with the other. There is competition in every walk of the society. Even person, according to liberalism is free to sell, or buy anything he wants, at any price, place and time he likes. Thus in this way, the society is the meeting place of all these individuals, where everyone comes to with his interest. Thus the society according to liberalism is a free society.

In the economic field the liberalism supports the free trade policy i.e., the policy of 'Laissez faire'. The competition according to liberalism, like in the economic field in the field, of politics also gives birth to the best system of government. The 'Republic' forms of government is the outcome of the competition among the individuals, in the political field. The 'struggle for power' helps in bringing out a good government after every few years. Pressure groups and interests groups also unearths the mistakes of the government, which helps in building a fair system of governance. In the arena of ideas also liberalism supports the theory of 'free ideas'. Man is sovereign over his possessions.

Liberalism believes that it is the inherent right of man to live freely without any kind of restraints. Prof. Laski feels about liberalism that "It is directly related to freedom for it came as a foe of privileges conferred on any class of community by virtue of birth and creed.

4.Politics is the effort to establish unity in the Society by abolishing Conflicts

Liberalism postulates that politics seeks to establish normal relation among the individuals living in the society. Its aim is to abolish the conflicts and disputes inhabiting the society. Individuals are bound to come into conflict with each other since in a free Society, every one is free to act according to its free will and 'conscience'. The individual's free will; will naturally lead to the trussle with other. The disputes may arise. Thus an agency or media is needed to abolish this conflict of the individuals. According to liberalism, through the help of politics the unity in the society can be secured.

5. Politics is the Media to bring order and Common Good in Society

Politics promotes harmony in the society. It is not only a I technique to remove conflicts but to create law and order. Politics is the medium for creating more and more 'common good' in the society.

Liberalism wants to establish the relationship of man to man on the basis of 'common good' and common interests. Politics takes? The place of media for bringing 'common

good' in the society. Here liberalism is in complete contradiction with the Marxist approach of politics.

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6. Politics is the Process of bringing Peaceful Social Change

The growth of the liberal philosophy was in revolt to the fanatic social conventions, superstitions of the medieval era. These narrow spiritual assumptions were practiced by those who supporter Monarchy. Monarchy was accepted as the holy system o government. Liberal theory, challenged the structure of society change in this type of social life, not through bloody battle but through peaceful process of politics. Liberal thinkers did not object! to the existing political and economic system but they wanted a! reform.

7. Liberalism Grants Limited Power to the State

Liberalism gives due respect to the 'individual's conscience'. The honour of the individual and his' free-will' are never to be hampered by any media. Liberalism strictly opposes the dictatorial type of government. The state has assumed the duties of a doctor, nurse, school master, trader, insurance agent and a hundred other functions. Liberalism entrust the state a responsibility to look after the interests of the individual and maintain a proper adjustment between man and various other institutions existing within it.

8. Liberalism supports Democracy

Liberalism is the outcome of a challenge to the dictatorship. It also supports a policy which is based oh maximum individual freedom on the basis of 'common good'. Until the 19th century liberalism supported extreme individual freedom and hence it was anti-democratic.

9.Liberal Politics is based on open discussions and willing co-operation

Liberalism believes on open discussions on all the issues involving people's interest. Criticisms may be attempted, suggestions may be held on contradictory thoughts. Thus liberal politics seeks to secure 'common assent' through mutual discussions and suggestions.

2.9.3 Marxist Approach to Politics

Karl Marx, the founder of communism, viewed the state as a product of the class struggle. According to him, the state is not a natural institution. Man created it at a particular time in history. It arose when society had been divided into two antagonistic classes the haves and have notes. Throughout history the state has performed only one function, namely, to protect the interests of the ruling propertied class. It also oppressed the poor people. According to the Marxist view the "State is nothing more than a machine for the oppression of one class by another".

According to Marxist approach, the socialist state comes into existence after the overthrow of the capitalist bourgeois state through a proletarian revolution. The political power passes into the hands of the proletariat. The exercise of power by the proletariat is termed by Marx as the dictatorship of the proletariat. This is transitional state. According to Marxist view the function of the socialist state is socialization of the means of production and distribution in the spheres of industry and agriculture.

Marxists treated labour as a commodity and agreed that its value is determined like arty other commodity. That is to say, its value in exchange is fixed by the labour

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needed to produce and maintain it, or in other words, it amounts to the commodities needed to support the labourers. But labour is unique among commodities because in being used up it creates more value. The two quantities of value are however not equal, because the amount produced is greater than the amount paid for labour. The labour produces greater value than what it gets for its being constituted. The difference between the value of the labour and the value of the commodity exchanged, Marks calls surplus value.

Thus the Karl Marx tries to show that it is the unjustified appropriation of surplus value by the capitalists that is responsible for bringing about a sharp division in the society. This exploitation must be removed and the only way to abolish it will be to destroy all opportunities for private enterprise and free competition. Collective capital should replace private capital and all persons should become co-operative producers.

2.9.4 Materialistic conception of History

Marx was a disciple of Hegel, the great German philosopher and tried much to popularise the dialectic idea of his master that History is not a piece of political statistics but of political dynamics in which equilibrium is reached through a process of conflict. He agreed with Hegel that history represents a continuous and logical evolution but differed from him in maintaining that the dialectical movement not due to any metaphysical principle but the product of material conditions of life.

According to Marx the economic forces influence human affairs much more directly than any outer force such as normal, religious or nationalist. All the phenomena of human society have their origin in the material conditions of life. The mode of production, determines the general character of the social, political and spiritual processes of life. The four stages through which society passes are the slave society, feudal society, capitalist society and communist society.

Religion, culture, morality and education instead of being factors which mould man's life, are really emanations of the economic system. Changes in the economic system are followed by corresponding changes in the social, political and religious institutions. The economic change caused by the Industrial Revolution have called into existence firstly a small class of capitalists owing the means of population and secondly a large propertyless proletariat class.

The materialistic doctrine of Karl Marx has been termed a gross exaggeration. It is not true to say that the economic factors determine the whole of man's life. Morality, law, religion, geography and thought all go to make the social life and effect the course of History. The large events in our political life are determined by the interaction of material conditions and human passions. Non-economic factors must be given their due share and should not be entirely neglected.

However, it should not be understood that Marx's conception of History is entirely wrong. His materialistic interpretation emphasizes the important fact that the economic conditions prevailing in a country to exercise a determining influence on its social, legal and political institutions. To what extent materialistic interpretation of History is in a general way a valid conception only it must not be pushed too far.

In the 20th century questions are being raised about the relevance of Marxist approach after the collapse of the Soviet Union and Eastern and Central European states like Czechoslovakia and Yugoslavia. On the other hand, it is argued that Marxism has not died, but only communism disappeared from those states. Marxism has presented one sided picture of the nature of the state and its functions.

Approaches to the study of Political Science

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2.10 SUMMARY

Liberalism is based on the assumption that there should be maximum adjustment between the individual and the society. Individuals free will should be honoured. For survival, due modifications are required. Liberalism must be reformed in the light of the circumstances which has changed.

2.11 KEYWORDS

- **Observational method:** Originally this method was followed by the natural scientists. In the olden days what the holyscriptures prescribed or what Aristotle said was regarded as final and true. Observational method affirms that, unless proved, nothing should be taken for granted. It gives importance to direct observation, careful study and first hand knowledge.
- **Historical method:** History is the pivot round which both the inductive and deductive processes of political science work. We know the causes for growth, success, failure and destruction of many institutions only by reading history.
- **Philosophical approach:** Plato, Rousseau, Kant Bosanquet and Hegel are some of the important exponents of this theory. It gives importance to deductive method. It assumes certain things and draws some conclusions from them.
- **Instrumental approach:** The aim of any science is to arrive at truth. It develops some laws, principles or methods. An approach is a way of looking at a particular phenomenon. It collects data and makes an analysis.

2.12 REVIEW QUESTIONS

Essay Type Questions

1. What are the various methods of study of political science?
2. Discuss the different types of approaches of political sciences?

Short Questions

3. Traditional approach .
4. Observation method .

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2.13 SUGGESTED READINGS

1. Garner – Introduction of Political Science
2. Barker – Political Thought of England
3. Caltin – Science and Methods of Politics
4. Peter Laslett – Philosophy, Politics and Society
5. Bertrand De, Jourvenal – The Pure Theory of Politics
6. Dr. S.P. Varma – Modern Political Theory
7. M.J. Levy – Structure, Functional Analysis

POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

B.A - POLITICAL SCIENCE

(First Year:Paper-I)

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Political Science Concepts, Theories & Institutions

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Lesson 3

STATE :NATION AND CIVIL SOCIETY

Structure

- 3.0 Aims and Objectives
- 3.1 Introduction
- 3.2 Meaning
- 3.3 Definition of State
- 3.4 Elements of State
 - 3.4.1 Population
 - 3.4.2 Territory
 - 3.4.3 Government
 - 3.4.4 Sovereignty
 - 3.4.5 International Recognition
- 3.5 Society
- 3.6 Distinction between State and Society
- 3.7 Community and Association
 - 3.7.1 Association
 - 3.7.1.1 Characteristics or Essential elements of an Association
 - 3.7.2 Association and Community
 - 3.7.2.1 Characteristics of Community
 - 3.7.2.2 Types of Communities
- 3.8 Difference between State & Associations
- 3.9 Nation and Nationality
- 3.10 Distinction between Nation & Nationality
 - 3.10.1 Factors responsible for the rise of Nationalism
 - 3.10.2 The Theory of “one Nation-one State” (Nation State)
- 3.11 Elements of Nationality
- 3.12 Summary
- 3.13 Keywords
- 3.14 Review Questions
- 3.15 Suggested Readings

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3.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Explain the elements of state
 - Describe the society its meaning and definitions
 - Differentiate Nation and Nationality
 - Discuss elements of Nationality
-

3.1 INTRODUCTION

State is the most significant and powerful among all social institutions. The word '**State**' is used differently in day-to-day life. For instance, in united state of America and in the Indian Union, state is not a synonym for kingdom. A province in a country is called as state. But in terms of political science '**state**' has certain special power. State is different from government, society and race.

The state is the central theme of political science. Opinions differ as to the connotation of the term 'state' and as to when the concept emerged. The ancient Greek city-states exhibited distinct political patterns. For the Greeks, political science was largely municipal science. The conceptual frame of a modern nation-state was unknown to the Greek political thinkers. Aristotle's 'Polis' was more a 'city community' than a 'state'. These city-states stood in the way of a perfect differentiation between the state and the community or other associations. The Greek commonwealth put accent on the enjoyment of rights rather than on supremacy and obedience; while the Roman citizens formed a 'political guild' based on the exploitation of the slaves. The term 'state' is comparatively modern. It was not articulated and fully developed during the Greco-Roman period, Machiavelli seems to be the first writer who introduced the concept of the state in political science.

Political scientists today seeks to analyse the concept state scientifically. It needs to be treated not as an a priori concept but as it exists and operates as a living political reality. Hegel, for example, idolised the state as the movement of God on earth. States, past or present, may vary in certain respects. But on a careful observation, they are found to exhibit some common features. The state can be studied and defined in terms of these features, which are common to all the states. Thus, population, a fixed territory, government and sovereignty, these are supposed to be the essential constituent elements of a state. A state is found in its elaborate system. It is found in those institutions which creates laws and which enforce them i.e., Legislature, Executive and judicial institutions. It is found in the bureaucratic institutions which are attached to every executive ministry of the government.

3.2 MEANING

The word state '**State**' is derived from Teutonic word '**status**'. It was first used by Machiavelli in his book 'The Prince'. Since the term state become a universal designation for a body politic.

3.3 DEFINITION OF STATE

State

The term 'State' has been defined by a number of political thinkers who tried their best to let us know what they meant by the term "State". Some of the definitions are given below

1. **Burgess:** The state is a "particular portion of mankind viewed as an organised unit".
2. **Bluntschli:** "The state is politically organised people of a definite territory."
3. **Woodrow Wilson:** "The state is people organised for law within a definite territory."
4. **Holland:** The "State is a numerous assemblage of human beings generally occupying a certain territory amongst whom the will of the majesty or class is made to prevail against any or their number who oppose it."
5. **Bodin:** State is "an association of families and their common possessions, governed by supreme power and by reason."
6. **Cicero:** The state is "a numerous society united by a common sense of right and mutual participation in advantages." Aristotle: The State is "a union of families and villages having for its end a perfect and self-sufficing life by which we mean a happy and honourable life."
7. **Phillimore:** A State for all purposes of international laws is "a people prominently occupying a fixed territory, bound together by common laws, habits and customs into one body political, exercising through the medium of an organised government, independent sovereignty and control over all persons and things within its boundaries, capable of making war and peace and of entering into all international relations with the communities of the globe." Laski: State is "a territorial society divided into government and subjects claiming within its allotted physical area, a supremacy over all other institutions."
8. **Hall:** "State primarily is a concept of international law. The marks of an independent state are that the community constituting it, is permanently established for a political end, that it possesses a defined territory and that it is independent of external control."
9. **Gilchrist:** "The State is a concept of political science and a moral reality which exists where a number of people living on a definite territory, are unified under a Government which in internal matters is the organ for expressing their sovereignty and in external matters is independent of other Governments."
10. **R.M. MacIver:** The State is "an association which acting through law as promulgated by a government endowed to this end with coercive power maintains within a community territorially demarcated the universal external conditions of social order."

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3.4 ELEMENTS OF THE STATE

The state is the central subject of our study. It is used as a synonym for nation, society, government etc. The term State is very commonly used to express the collective action

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of the community, through the agency of the government. There can be no community without the people to form one, and no common life without some definite piece of territory to live. The State is a natural, a necessary, and a universal institution. It is natural because it is rooted in the reality of human nature. Man needs the State to satisfy his diverse needs and to be what he desires to be. Without the State he cannot rise to the full stature of his personality.

It has existed whenever and wherever man has lived in an organised society. The structure of the State has been subject to a great evolution. In this sense, state can be taken to mean

- a) an organisation of individuals,
- b) an organisation confined to a defined territory,
- c) an organisation that claims monopoly of the use of violence against a group or population, and
- d) an organisation that carries out its functions through a set of institutions collectively known as the government.

The State must, possess the elements of

1. Population;
2. Territory;
3. Government;
4. Sovereignty.

3.4.1 Population

The State is a human institution and population and land are the starting point of any study of man in his organised groups. Population must be large enough to make the State and sustain it. The members of one single family do not make the state, there should be a series of families. Plato and Aristotle put definite limitations on the population of the State. Their ideal was the Greek City-State, like Athens and Sparta. Plato fixed the number at 5,040 citizens. Aristotle held that neither ten nor a hundred thousand could make a good State. Rousseau, the high priest of direct democracy, determined 10,000 to be an ideal number for the State. The modern tendency is in favour of States with huge population. In India, the problem is to check the ever growing population, because of the wide disequilibrium between the population and the available means of production. China has a system of incentives and disincentives to observe a one-child-family norm and bring the population growth to zero in near future. But the size of the population is not criterion of the States. Increase or loss in population makes no difference in its Statehood. Though no limit, either theoretical or practical, can be placed on the population of the state yet the population must be sufficient to maintain the State organisation.

3.4.2 Territory

Duguit says that there can be no State without a fixed territory. Just as every person belongs to a State, so does every square yard of earth. There is no State without its proper territory large or small, and no territory that is not part of some State, large or small. And as far as we are concerned, it is our connection with a particular territory

that normally creates our membership of a State. The conduct of international relations would be seriously impeded without the requirement of a defined territory. All authorities on International Law are now agreed that a fixed territory must be a condition of Statehood. The occupation of a fixed territory is also essential. Land, water and airspace within the defined territorial area comprise the territory of the State. It embraces the geographical limits of the State. In a small State, with a limited population and territory, the people can meet together, as often as required, to express their opinions about the composition of the government and the laws that should govern the community. The modern tendency is towards planning and self-sufficiency, and it can only be realised when the territory of the State is large enough to abound, in a variety of natural resources. The scale of production determines the mode of production. Large-scale production is always accompanied by rationalization of industry in order to advantageously compete in the international market, besides commanding an extensive and stable domestic market. After all the economic conditions of a State determine the political stature of its people. In this competing world a large number of small states endanger international peace. Big States, are more adapted than small ones to promote the development of intellectual culture. The resources which a big State possesses, the talent it can command and the greater genius, it can produce immensely help the cultural advancement of a nation and consequently its civilisation. But as long as power remains the primary factor in international politics, States must either be large or make no attempt to play an important political role. It must, however, be emphasised that there should be some proportion between the population and territory of the State. The States must be viable or capable of maintaining a separate independent existence. This can be possible only if it has adequate area.

3.4.3 Government

Government is an essential element of the State. People live together but cannot be recognized unless they are properly organised and accept certain rules of conduct. The agency created to enforce such rules of conduct and to ensure obedience is called government. Government is the focus of the common purpose of the people occupying a definite territory and it is through this medium that common policies are determined; common affairs are regulated and common interests promoted. Without government the people will be just a babel of tongues with no cohesion and means of collective action. They would divide themselves into groups, parties and even warring associations and thus create conditions of utter chaos and even civil war. It is imperative that there should be a common authority and a consequent order wherever people live. The State cannot and does not exist without a government, no matter what form a government may assume.

3.4.4 Sovereignty

Sovereignty of the State is its most essential and distinguishable feature. People inhabiting a definite portion of territory and having a government do not constitute a State. They must be internally supreme and free from external control. Sovereignty of the state has two aspects, internal sovereignty and external sovereignty. Internal sovereignty is the State's monopoly of authority inside its boundaries. This authority cannot be shared with any other State and none of its members within its territory can owe obedience to any other State. It has no authority outside its own territory. Each State is independent

State

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of other States. Its will is its own, unaffected by the will of any other external authority. Every State therefore must have its population, a definite territory, a duly established government, and sovereignty. Absence of any of these elements denies to it the status of Statehood. They possess the elements of population, territory and government and autonomy in their own spheres of jurisdiction. But autonomy is not sovereignty and lack of sovereignty does not entitle them to be ranked as States.

3.4.5 International Recognition

International recognition is also equally important to a state like the above mentioned features. States are now drawn close together in respect of distance due to development of Science and Technology (ST). The world is becoming very much small. One country cannot keep itself Aloof, without maintaining relationship with other countries. Mutual help and cooperation between the state is very much important. A state needs recognition by other states. States achieve overall development only through international cooperation in social, economic and cultural fields. Recognition of a state by other state is optional. The lack of international recognition may not damage its existence but a state will not be in a position to have all the benefits to international cooperation.

3.5 SOCIETY

In political science the terms of state, society and government are almost synonymously used. But the varying aims aspirations and power of these units form the basis to differentiate these from one another.

Aristotle and other Greek thinkers used society and state in synonymous terms and recognised no difference between them because polis, in those times was an integrated unit and included all aspects of human life. The citizens knew one another. They used to assemble at a particular place and elected the magistrates. The polis for them was state, church and school. But today failure to distinguish society from state entails more serious consequences than the failure to distinguish state from government. As MacIver says, "To identify the social, with the political is to be guilty of the grossest of all confusions, which completely bars any understanding of either state or society".

The term 'society' is used to denote complex relationships among men. MacIver says that society exists even in highly developed species which they form to satisfy their natural needs and instinct of procreation. Society is a comprehensive term that includes all types of social organisations that men have formed to satisfy their needs and to achieve a better life. It is a group of people having common interests and united together by what may be called "Consciousness of kind." Man is a social animal. He is dependent upon society for all his needs. He requires it from his birth till death. Society is a conglomerative whole which includes all types of relationship besides the political relations.

Society may be defined in various ways. According to MacIver, "Society is a system of usages and procedures of authority and mutual aid, of grouping and division, of controls of human behaviour and liberties", "Society consists of the complicated network of groups and institutions expressing human association" F.H. Giddings, G D.H. Cole and Talcott Parsons have also defined society as an arrangement encompassing the most inclusive and continuous relationships.

3.6 DISTINCTION BETWEEN SOCIETY AND STATE

State

It has to be made for a better understanding of the former. It is as follows

- i) **Society is prior to the State:** Society is the first form of the State. There were primitive societies and tribal societies but there was nothing like state as such. State emerged out of political awakening. In historical evolution social being rendered the political being.
- ii) **Organisation is essential for the state not for Society:** State is a well knit organisation but society may not be necessarily organised. In primitive age man was unorganised. Society did exist then. The state can not exist without some organisation. Government is the name of political organisation of the state.
- iii) **State is Sovereign:** State has the sovereign authority. It can imprison, impose fine, confiscate property and even put the individual to death. Society can do no such thing as it does not have the coercive power. State can lay down imperatives and use force to secure obedience but society can not demand obedience, it can only command cooperation by persuasion. According to Barker, "The area of society is voluntary co-operation, its energy that of good will, its method, that of elasticity; while the area of the state is rather that of mechanical action, its energy force, its method rigidity".
- iv) **Society is social system, state is a political system:** Men are related with one another by different sorts of ties in a society. Society is an institution inside a community where men are closely knit in diverse relationships. They voluntarily cooperate and share their weals and woes. The state represents only one aspect of social relationship i.e., political relationship. It is concerned only with those things which are regulated by the government. The government can not change social system. "There are social forms like the family or church or the club which owe neither the origin nor their inspiration to the state and social forces like custom or competition which the state may protect or modify but certainly does not create; and social motives like friendship or jealousy which establish relationship too intimate or personal to control by the great engine of the state."
- v) **Membership of the state is Compulsory** Man can exist without society but without a state no existence can be imagined.

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3.7 COMMUNITY AND ASSOCIATION

A community is any area of common life, village, town or district or country or even wider area. Community is a self contained group. It is a total organisation of society. The community, being a self contained group is least dependent on the outside world. The closest example of a community was an Indian village of nineteenth century. The village was a self sustaining unit. It produced all items required in day to day life. It had its own customs and traditions. Different castes in the village represented a particular profession. It was a sort of self governing and self contained unit.

Association

The pluralists define association as a group of people brought into existence for the

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achievement of limited objectives. Man creates and joins different associations for the achievement of some of the other objectives. The association thus, is a group formed to achieve limited objectives. The nature of an association is determined by the objectives it pursues. On this basis there may be economic, social, political, religious and cultural associations.

Pluralists contend that 'state is an association of associations'. It is formed to fulfil political objectives of all living in the state. However, it is overwhelming association. It is outer circle which covers all inner-circles or associations. In order to have a better understanding of associations, distinction between state and associations has to be made.

3.7.1 Association

Definition of Association

An association is a group of people organised for a particular purpose or a limited number of purposes. To constitute an association, there must be: (i) a group of people; (ii) there people must be organised one; and (iii) they must have a common purpose to pursue. Examples for associations are family, church, trade union, music club, a chamber of commerce. Associations can be organized on the basis of political, social, economic, religious grounds.

The following are some definitions of 'Association':

MacIver states, *"An organization deliberately formed for the collective pursuit of some interest or set of interests, which the members of it share, it terms as association."*

He further says, *"An association is a group of persons or members who are associated and organized into a unity of will for common good"*.

According to Ginsberg, *"An association is a group of social beings related to one another by the fact that they possess or have instituted in common an organization with a view to securing a specific end or specific ends,"*

G.D.H. Cole says, *"By an association mean any group of persons pursuing a common purpose by a course of corporative action extending beyond a single act and for this purpose agreeing together upon certain methods of procedure, and laying down in, however, rudimentary a form, rule for common action."*

As per Bogardus, *"Association is usually a working together of people to achieve some purpose."*

Gillin and Gillin state, *"Associations thus refer to a group of social beings related to another by the fact that the process or have instituted a common recognition with a view to securing a specific ends or specific ends."*

Associations may be formed on several basis.

For example

On the basis of Duration- Temporary Association, e.g. flood relief association

Permanent Association, e.g. State.

On the basis of Power: Sovereign association e.g. State

Semi-sovereign association e.g. University.

Non-sovereign association, e.g. clubs.

State

On the basis of Function: Biological function, e.g. family;

Vocational function, e.g. teachers' association

Recreation function, e.g. tennis club.

3.7.1.1 Characteristics or Essential elements of an Association

Human group: An association is created by human beings for the defined objects.

Common Interest or earn: Association is not a mere numeration of human beings but of individuals who have some aim or and in common.

Cooperative spirit: In an association people work together with cooperative spirit to achieve some common purposes.

Organization: Association is a group of persons who are organized in order to complete some specific work, for example, trade unions, political parties, etc.

Established: Associations are constituted of those of individuals who are organized in order to complete specific work.

Laws: The organization of an association rests upon a particular set of law and members of those associations have to follow the rules and regulations on which the associations are formed.

Association and Institution

Association differs from institution. An institution is a complex organization collective behavior established in the social heritage and meeting some persistent need or want. Institutions are definite and sanctioned forms or modes of relationship between social beings in respect to one another or to some external object a social institution is a functional configuration of cultural pattern which possesses certain permanence and which is intended to satisfy felt special need. An institution consists of a concept (ideas, notion, doctrine or interest) and a structure. Social institutions are sets of organised human relationships established or sanctioned by the common will.

The following are the differences between association and institution

3.7.2 Association and Community

Meaning of Community

Community means to serve together'. The community is an organization of human beings framed for the purpose of serving together. A community is a social group of people living in a given area and having a degree of 'we' feeling. The fact of social living and common specific area gives birth to community.

Community is an area of social living marked by some degree of social coherence. Community is any circle of people who live together and belong together and have not one-interest only, but a whole of interests. A community is one in which human relationships are intimate and durable. A community is a group of people living in a contiguous geographical area, having common centers of interest and activities and functioning together in the chief concerns of life. Community is a collectivity of actors sharing a limited territorial Area as the base for carrying out the greatest share of their daily activities.

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3.7.2.1 Characteristics of Community

The characteristics of community are

1. Community is related to a definite locality, since without the locality, the relationship between human beings cannot be established and the 'we feeling' cannot evolve.
2. Community is a group of human beings living a common life.
3. The members of a community use the same language, conform to the same mores, possess the same sentiments and have the same attitudes and have the community sentiments.
4. A community is a group of people who live within a narrow territorial area and share a common way of life and it commits similarity.
5. A community is a permanent one but not transitory and temporary.
6. Communities are not made or created by an act of will but are natural.
7. Every community has some particular name which is are natural.
8. A community is not a legal person. In the eyes of law, community has no rights and duties.
9. In communities the people associate not for the fulfillment of a particular end. The ends of a community are wider and natural and not artificial. Community serves general and common ends of the community.
10. A community may be big or small. The larger community provides peace and protection, the smaller provides friends and friendship.

3.7.2.2 Types of Communities

- 1) **Folk Community** The folk community is small in size, isolated from other communities, consists of non-literate and socially homogeneous people with a strong sense of group solidarity. The way of living of folk community are conventional, behavior is traditional, spontaneous and personal.
- 2) **Tribal Community:** The tribal community is a society based upon kinship, united in language dialect, recognizing social distance from tribes, following the tribal traditions, beliefs and customs and having territorial affinity and geographic isolation.
- 3) **Rural Community:** The rural community is a human settlement which is relatively small, less densely populated and more homogeneous with reference to social, economic, linguistic and cultural characteristics.
- 4) **Urban Community:** The urban community is a human settlement which is relatively large and socially heterogeneous and having its occupational and economic structure a predominantly non-agricultural use of machinery in production of goods is the common feature of the urban community.

Difference between Association and Community

State

Association	Community
1. An association is a group within community and is partial	The community is a whole
2. Association is voluntarily constituted	Community comes into existence by itself
3. Membership of an association is voluntary	Membership of a community is compulsory
4. An association has some definite objectives.	Community fulfils all the needs of its members
5. Associations are generally transitory and serve as means	A community is a permanent settlement and is a mean as well as end.
6. An association has a legal status. It can sue and be sued	A community has no legislatures and it cannot own any property
7. An association is a mandate organization	A community is the natural development of those social forces which inspire men to come together.
8. Association exists within a community whereby its members pursue their individual and social interests. Membership in an association has a limited significance	A community is a self contained group whose members live a common life, and whose membership has a wider significance
9. Association is comparatively more unstable.	Community is comparatively more stable.
10. Association is limited in its aims and scope. Hence, it cannot include all the aspects of human life.	Community is comparatively more stable.
11. Association has its own property	Community offers wider scope for the development of human personality.
12. Association has a legal status	Community has no legal status
13. An individual takes part in an association because of particular interest	Man is born in a community
14. Association has its own special rules which maintain in harmony	In community harmony is maintained by customs and traditions.
15. In associations there is no intimate community sentiment	Community is base on intimate community sentiment.

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3.8 DIFFERENCE BETWEEN STATE & ASSOCIATIONS

- i) **Membership:** The membership of a state has a compulsive character. A man has to be a member of one or the other state. Statelessness is a serious problem in international law. Membership of associations is voluntary. A man can become the member of more than one association at the same time. According to Garner, “.....membership in all associations is a voluntary matter and a member is free to withdraw whenever, he lets to do so, where as membership in the state is compulsory and citizen can throw off the membership only by expatriation”.
- ii) **Territory and Jurisdiction:** State is essentially territorial in nature. Its jurisdiction is limited to its boundaries. It can not extend beyond that. An association, on the other hand, can be international, its jurisdiction may extend to many states. Associations like Y.M.C.A. Rotary club and Roman catholic church are international in their jurisdiction and membership. Associations lack territory or physical boundaries.
- iii) **Permanence:** In comparison to associations state is more permanent as it represents interests of permanent nature. The associations are voluntary associations formed to fulfil a specific objective. As soon as the objective is achieved the association also dies down.
- iv) **Power:** State has the coercive authority. It is the repository of all power. It lays down commands of imperative nature. Violation of its laws entails punishment of any kind. Associations do not possess coercive authority. Violation of their rules can lead to expulsion. Garner says, ‘They cannot arrest, fine, imprison or confiscate the goods of a statute breaking member, where as the state can do all this and more in case its demands are disobeyed or its authority defied.’
- v) **Objectives:** State has unlimited and varied functions. Its functions extend from cradle to the grave in a welfare state the functions of state have expanded tremendously. Associations have limited functions. They pursue limited objectives.

3.9 NATION AND NATIONALITY

Nation and Nationality emerged from the Latin word ‘Natio’. Both these words are used in similar meaning till recent past. But now these words have different meanings. The word nation includes an independent political status. Independent political status is very much important for every nation. Nationality emerges when ever the unity and oneness prevail in the human groups. Unity might have prevailed due to same history, same language and same customs and traditions. A group of people are treated like a nation only in the wake of a desire for freedom.

There is no uniform opinion about the definitions of a nation among the political scientist. The word ‘**Nation**’ as different meanings in German and English languages. In English language, the terms ‘Nation’ and ‘Nationality’ have acquired different meanings as per the Lord Bryce, a Nationality is a population held together by certain ties, such as language and literature, ideas, customs and traditions in such a way so as to feel it self a coherent unity distinct from other population similarly held together by like ties of their own. A group of people residing in a single area having some traditions

and customs and having fraternity through same language and blood relation can also be called as nationality. He also defined the nation as “Nation is a Nationality which has organized”.

State

The presence of a political science differentiates Nation and Nationality. Unless the nationality can develop into a political system, the group cannot be called a Nation. In other words, the nationality is the first stage and the nation is the second stage. But both nation and state cannot be equated. There is a scope for many a nationality in one nation state.

Burgess and Leacock have defined the term ‘nation’ in a racial or ethnographical sense. Burgess defines a nation as a “population with ethnic unity, inhabiting a territory with geographic unity”. The French writer Pradier Fodre has defined nation on two bases. He says, “Affinity of race, commonality of language, of habits, or customs and religion are the elements which constitute the nation”.

Though race, language and religion unite a group of people living in a state but some other factors are also required for transforming this group into a nation. Garner seems to be right when he says that, “a nation is culturally homogeneous social group which is at once conscious and tenacious of its unity of psychic life and expression”. Race and language thus, are not the only factors for a nation but collective living in a state and transmitting the culture so evolved, to the coming generations is the essential attribute of a nation. Nation comes into being with the feeling of one-ness and interdependence in a group of people or population in general inhabiting a definite territory. According to Barker, “The nation is a body of persons inhabiting a definite territory and thus united together by the primary fact of contiguity”.

The basis of a nation is cultural and spiritual unity but in Political science it is used in a wider context. Nation is not only cultural or spiritual unity, it is an organization having its own government or trying to establish a government. In more specific words we can say that a nation is a “self governing nationality”.

3.10 DISTINCTION BETWEEN NATION & NATIONALITY

The terms nation and nationality have been derived from the Latin word ‘natus’ meaning birth. Nation and nationality are used as synonymous terms though the writers in Political science admit that they are different terms with entirely different meanings. In the opinion of some thinkers the difference between nation and nationality is that of political organization. According to Bryce, “A nationality is a population held together by certainties, for example: language and literature, ideas, customs and traditions in such a way as to feel itself “a coherent unity distinct from other populations similarly held by like ties of their own, a nation is a nationality which has organized itself into a political body either independent or desiring to be independent”.

According to Laveley a nation is a population under a sovereign authority. Nationality, on the other hand, is that part of a population which is sentimentally united on the bases of birth, race, language, customs, history and psychic life. Nationality, therefore is ‘a spiritual sentiment’. It is sense of belonging to a particular group. It is an emotional bond among the people usually of same race, same territory, same religion, similar history and traditions. Hayes makes it more clear when he defines it as, “A

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nationality is a group of people who speak either the same language or closely related dialects, who cherish common historical traditions and thus constitute or think they constitute, a distinct cultural society. A nationality by acquiring political unity and sovereign independence becomes a nation, or to avoid the use of the trouble some word 'nation' establishes a nation state".

Some authors distinguish nation from nationality on other grounds than the ground of political organization. Burgess bases his distinction on the basis of membership. A nationality, according to him is "a distinct socio-ethnic group within the state and ordinarily constituting minority of the total population". Obviously, the French in Canada, Scots in England and Caucasians in the Soviet Union reveal 'nationality'. In a multi-ethnic group, minorities are called nationalities and such states are termed as multinational societies. A state, having only one group is called mono-national state.

Distinction between Nation and State

State	Nation
1. A state is political	Nation is cultural
2. State is objective and non-spiritual	Nation signifies of the consciousness of unity prompted by psychological and spiritual feelings and nationality is subjective,
3. A State is inhabited by heterogeneous groups of people.	Nation must be homogenous in its composition.
4. A State must be sovereign in character.	A nation may consist of people who do not retain their sovereigns character.
5. There are may be more than one nationality inside a State.	In the same nation there may be several States.
6. The state has a definite territory population, a government and sovereignty.	Nation consists of a people with a common will to live together.
7. A state needs organization in the form of government and sovereignty.	A Nation does not necessarily need a government.

3.10.1 Factors responsible for the rise of Nationalism

Nationalism originated first in Europe and later it spread to other parts of the world. The following are the factors that led to the rise of nationalism.

1. **Rise of middle class:** Nationalism developed in the beginning as a result of the rise of a strong middle class in the European states and later throughout the world.
2. **Development of vernaculars:** The rise of vernacular languages such as English, French, German etc., in many European countries was another factor for the emergence of nationalism.
3. **Absolute monarchy:** In Britain and France the monarchs, after the feudal lords were overthrown, were responsible to create national consciousness.

4. **Protestant reformative:** The Protestant Reformation Paved the way for nationalism.
5. **Theory of popular sovereignty:** After the French Revolution in 1789, the theory of popular sovereignty became prominent in the world and the people were recognized as the ultimate sovereign. But in those days nationalism was found in the form of patriotism.
6. **Industrial revolution:** The transport and communication facilities, the result of industrial revolution helped to carry the message of nationalism to nook and corner of the world.
7. **Certain international events:** The partition of Poland in 18th century, the result of the Congress of Vienna (1815) after the fall of Napoleon resulted in revolts in several parts, of Europe to attain independence.
8. **Theory of national self-Determination:** the peace treaties made after the First World War helped very much to implement the theory of national self-determination which propagated that a nationality should have the right to form a separate. State and the creation of States should be made on the basis of nationality.

The idea of nationalism is not of ancient growth. As Hans Kohn says, "...far from being a universal phenomenon, it is a product of European thought in the last 150 years." It was toward the beginning of the 19th century that nationalism was accepted as a political principle.

3.10.2 The Theory of "one Nation-one State" (Nation State)

Nationalism nowadays is a world-wide phenomenon. Europe, the cradle of nationalism had witnessed in the 19th century the emergence of national consciousness. Great movements of national unification took place first in Germany and Italy. Nationalism became a passion everywhere and people were in favor of establishing national States. After Second World War, many countries in Asia, Africa and Latin America got themselves relieved from colonial rule.

J.S. Mill strongly maintained that a nation must have a State of its own. Every nationality has a right of self-determination which means the right of people to decide for themselves with whom they shall be politically associated.

However, it is said that a nationality can attain statehood provided there are favorable conditions. Prof. Hacking says that no nation gets the right of self-determination by birth. Ramsay Muir points out the nationality must fulfill the following conditions to attain statehood

- i. It should have the ability to defend itself from foreign aggression.
- ii. It should be able to provide a viable government to the people.
- iii. Such a State should do justice to the people through good laws made by the government.
- iv. It should have the capacity to develop and protect national wealth and aim at common good.
- v. It should be able to discharge its responsibilities towards the international community.

The principle of 'one nationality and one State' had great influence on many

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countries. Certain multinational States disintegrated like the U.S.S.R. and new States were formed. In the same way nationalities in different States integrated and new States were created on the basis of nationality.

Advantages

1. Nationalities claiming separate statehood can have their desire satisfied.
2. Nation State brings an end to disputes that arise within a multinational state.
3. Nation States can strongly protect themselves from the enemies.
4. The progress of the State also can be achieved rapidly because of the people's co-operation.
5. It promotes stable and undisturbed administration.

Demerits of Nation States

1. Nation States give rise to selfish politicians and despots. Nationalism may be converted into imperialism.
2. It curtails the freedom of the people because the nation is given more importance than the individual.
3. If States are created on the basis of nationalities, very small States will come into existence.
4. Every Nation State hates the other nations and thus causes danger to world peace.

Multi-National State

A State consisting of several nations is called a multi-national or poly-national State. Switzerland, U.S.A. etc., are multinational States. The following are the features of multinational State:

- i. People belonging to different racial groups live together under the same government.
- ii. A common religion does not exist in the multi-national State.
- iii. There exists several languages in a multi-national State.
- iv. People with different historical background and past events live together.
- v. There is unity in diversity. All live in friendly atmosphere and settle down peacefully.
- vi. People of different life-styles, food habits, dress habits and customs live in a multi-national State.

Merits

1. A multi-national State can have successful democracy.
2. People of different races live with a sense of tolerance on of necessity and co-exist with each other.
3. A multi-national State guarantees freedom to the minorities and all sections of people are treated equally.
4. New civilization and culture is created with a mixture of races in a multi-national State,
5. The backward races can develop their economic resources and preserve independence as inferior races are given impetus by living in political union with

racas intellectually superior.

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6. The small nationalities which have no capacity to run the government learn the art of administration.

Demerits

1. The people belonging to different races and languages suspect the other groups and misunderstand each other.
2. Mutual hatred, animosity and selfishness of some nationalities lead to clashes, violence and agitation and this disturbs the internal peace.
3. It is very difficult to unite different nationalities because of the fundamental differences between them.
4. The majority sections of people have to sacrifice some of their benefits to satisfy the minorities.

We can see the State of European union a multi-national State as a political wonder of twenty first century.

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3.11 ELEMENTS OF NATIONALITY

Identifying all the constituents of nationality is a very difficult proposition. Nationality is a spiritual sentiment and two nationalities can never be identical. However, some of the identified factors can be illustrated to have a comprehensive knowledge about nationality.

1. **Unity of Race:** Racial unity implies that the group of people inhabiting a defined territory must have a common origin. People of a race have common physical features also. Racial unity may be important but it is not essential. In the states of to-day, the existence of many races is a very common thing. Even in the oldest states like Britain there exist many races as Saxon, Danish, Roman and Celts. Swiss race is an amalgamation of French, German and Italian races. In the words of Hayes, “unity of race, if it exists at all, exists now a days only among uncivilized tribesmen”.
2. **Common Language:** Language and literature are important stimulants to nationalism or nationality although nations do develop without having a common language. Ramsay Muir has also emphasized the role of language in developing nationality. He says that language is more significant in developing a nation than race. “Through language people communicate with one another and pass ideas, values, objectives, memories and traditions from one generation to the next”. Language has a psychological impact. It binds people and generates the feeling of oneness. You can not enter the heart nor the mind of a nation unless you know its speech with it and by it you imbibe a deep and pervasive spiritual force.
3. **Common language not necessary:** Contribution of a common language in evolving a nationality is very significant but we can not be obscure of the fact that there exist multi-lingual states having a sense of strong nationality. The examples of Switzerland with four national languages, India with fifteen languages and the Soviet union with more than 100 dialects and languages prove that common language is not necessary for a nationality.

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4. **Community of Culture and Traditions:** Community of culture and traditions constitutes an essential and indispensable element of nationality. In culture we include customs, traditions, literature, art and music. These factors bring a diverse mass together and inspire them with the feelings of nationality.
5. **Geographical Unity:** Geographical unity contributes to the development of a nationality. The people do develop bonds of unity by living continuously in a definite territory. According to Ramsay Muir, "The most clearly marked nations have commonly enjoyed a geographical unity and have often owed their nation-hood in part to this fact". The compact geographical mass shapes uniform attitudes, likings, dislikings and psychological responses. It also develops feeling of association of the people with the land mass. Mazzini said, "Our country is our home, the house that God has given us, placing there in a numerous family that loves us and whom we love, a family with whom we sympathies more readily and whom we understand more quickly than we do other".
6. **Geographical unity is not necessary:** Geographical unity is not an absolute factor. There can exist many nationalities which may not have them. Jews are the unique example who were a nationality scattered all over the world prior to their gelling state hood in Israel in 1948. The Greeks were a nation yet they were scattered over a group of islands.
7. **Community of Religion:** Religion was and is the principal dynamic force in determining and evolving a nationality. Many nations survived and several of them rejuvenated because of the force of religion. Many examples can be quoted to explain that religion has been a very strong bond of unity among the members of a group. The strong religious faith of Greeks helped them to resist the cruelty of Turks. In the Soviet Union, the totalitarian rule of the communist party for seventy five years has failed to assimilate religious minorities of Central Asia into Russian system. Islam has sustained their separate identity.
8. **Community of religion not necessary:** Nationality may develop irrespective of religion, for in many countries nationality and religion are not closely identified. It can also develop into a chauvinistic force despite formal religious opposition as happened in Germany under the Nazi regime.

3.12 SUMMARY

The above mentioned factors do help in the development of nationality, but all of them are not indispensable constituents. Nationality is a spiritual sentiment and searching for external determinants is not at all necessary. Zimmern says, "Nationality like religion is subjective, state-hood is objective, nationality is psychological, statehood is political, nationality is a condition of mind ; statehood is a condition in law ; nationality is a spiritual possession, statehood is an enforceable obligation, nationality is a way of feeling, thinking and living, statehood is a condition inseparable from all civilized ways of living".

3.13 KEYWORDS

State

- **State:** State is the most significant and powerful among all social institutions. The word ‘State’ is used differently in day-to-day life. For instance, in united state of America and in the Indian Union, state is not a synonym for kingdom. A province in a country is called as state. But in terms of political science ‘state’ has certain special power. State is different from government, society and race.
- **Population:** The State is a human institution and population and land are the starting point of any study of man in his organised groups. Population must be large enough to make the State and sustain it. The members of one single family do not make the State; there should be a series of families.
- **Sovereignty:** Sovereignty of the State is its most essential and distinguishable feature. People inhabiting a definite portion of territory and having a government do not constitute a State. They must be internally supreme and free from external control. Sovereignty of the state has two aspects, internal sovereignty and external sovereignty. Internal sovereignty is the State’s monopoly of authority inside its boundaries. This authority cannot be shared with any other State and none of its members within its territory can owe obedience to any other State. It has no authority outside its own territory.
- **Society:** Aristotle and other Greek thinkers used society and state in synonymous terms and recognised no difference between them because polis, in those times was an integrated unit and included all aspects of human life. The citizens knew one another. They used to assemble at a particular place and elected the magistrates. The polis for them was state, church and school.
- **Nation and Nationality:** Nation and Nationality emerged from the Latin word ‘Natio’. Both these words are used in similar meaning till recent past. But now these words have different meanings. The word nation includes an independent political status. Independent political status is very much important for every nation. Nationality emerges when ever the unity and oneness prevail in the human groups.

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3.14 REVIEW QUESTIONS

Essay Type Questions

1. What are the elements of a State? Discuss
2. Discuss the differences between State and Government
3. Distinguish between the State and Society?
4. What do you mean by Nation? Distinguish between Nation and State.

Short Type Questions

5. Write a short note on “Right of self-determination.
6. Population
7. Government

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3.15 SUGGESTED READINGS

1. V.P. Joshi – Unified Course in Political Science
2. A.C. Kapoor – Principles of Political Science
3. MacIver - Modern State
4. Leacock - Elements of Political Science
5. A. Appadorai - The Substance of Politics
6. E.M. Barker - Principles of Social and Political Theory
7. E.M. Barker - Political Thought in England
8. A. Zimmern - What is a Nation

Lesson 4

SOVEREIGNTY: MONISM AND PLURALISM

Structure

- 4.0 Aims and Objectives
- 4.1 Introduction
- 4.2 Meaning
- 4.3 Definitions
- 4.4 Basic Features of Sovereignty
- 4.5 Kinds of Sovereignty
- 4.6 Monistic Theory of Sovereignty
- 4.7 Pluralistic Theory of Sovereignty
 - 4.7.1 Characteristics of Pluralistic theory of sovereignty
 - 4.7.2 Advantages of Pluralistic theory of sovereignty
 - 4.7.3 Criticism on Pluralistic theory of sovereignty
- 4.8 Summary
- 4.9 Keywords
- 4.10 Review Questions
- 4.11 Suggested Readings

4.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Understand the meaning and importance of sovereignty.
- Know the Types of sovereignty.
- Monistic Theory of Sovereignty.
- Describe Pluralistic Theory of Sovereignty.
- Explain Basic Features of Sovereignty.

4.1 INTRODUCTION

Sovereignty is the most important concept in Political Science. This is one of the most important features of a State. Sovereignty is the basic attitude of modern State system.

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It is also the most important element of the State. It is by possession of sovereignty that the State is distinguished from all other forms of human associations.

The concept of sovereignty is most controversial in Political science. Out of sheer frustration **H.J. Laski** had suggested to drop this concept all together from the realm of Political science to settle down the controversy once for all. Unmistakably, these controversies have emanated from the dominant social and political forces and cultural backgrounds of the time.

Sovereignty as a juristic concept is used in connection with the supreme, final and ultimate power of the State in internal and external spheres. Internal aspects of sovereignty means that men, group and associations inside the boundaries of the State are subject to the commands of the sovereign authority. The laws which are the commands of the sovereign have to be obeyed by all without distinction in the State. External aspects of sovereignty would mean that the State is free from the control of any external power. The State is free to formulate its foreign policy and conduct international relations.

4.2 MEANING

The word '**Sovereignty**' originated from Latin word '**Superanus**'. '**Superanus**' means **the supreme**. Because of this sovereignty a State can be independent, make its own laws and implement them. The highest unit of power in the State is sovereignty.

Bodin was the first political theorist to analyze sovereignty. According to Bodin, State evolved from a group of many families. For every independent race, there will be a system to make and implement laws, it can be an individual or a group of individuals, laws originate from official system. The highest unit of power in an official system is sovereignty. After, Bodin the concept of sovereignty was developed by Hugo Grotius, Thomas Hobbes, Locke, Rousseau and Bentham.

4.3 DEFINITIONS

There are so many given by the Political scientists which are discussed in detail below:

1. "Sovereignty is the supreme power over citizens and subjects unrestrained by law"
– **Jean Bodin.**
2. "Every positive law or every law simple or strictly so called, is set directly or circuitously by a sovereign person or body on a member or members of the independent political society where in that person or body is sovereign or supreme".
– **John Austin**
3. "A power that can completely control the activities of every person in a society is sovereignty".
– **Jenks.**
4. "Sovereignty is the sovereign political power vested with him whose acts are not subject to any other and whose will cannot be overridden".
– **Grotius.**
4. Sovereignty is "the supreme, irresistible, absolute, uncontrolled authority in which the 'Jurist summit imperi' reside".
– **Black Stone.**

6. “Sovereignty is the original absolute, unlimited power over the individual subjects and over all associations”.
- **Burgers.**

Sovereignty

4.4 BASIC FEATURES OF SOVEREIGNTY

The following are some of the important characteristics of sovereignty which are discussed in detail below

- 1 Absoluteness
- 2 Universality
- 3 Permanence
- 4 Inalienability
- 5 Indivisibility

1. **Absoluteness:** Sovereignty of the State is absolute and unlimited. No other power can control sovereignty within the geographical limits of the State. The supremacy overall the men and associations in the State is unquestionable. There is no space for any foreign power to intervene in any manner. Some scholars argue that internally the constitutional law may limit sovereignty. But some other scholars say that such limitation is applicable to the government but not to the sovereign. There are some scholars who opined that the customs and traditions of a society are quite far away from the jurisdiction of sovereignty. But, in the modern days no State can be completely independent and completely dependent on the other States. No State is in a position to reject the international law, and the global opinion.
2. **Universality:** The prevalence of sovereignty overall the people and associations in a State is called universality. No person in the State can think that he is away from the sovereignty or it can not be applicable to him. In a State, generally no personal power or the power of the association can supersede the sovereignty. There is a criticism on universality.

Some scholars opine that sovereignty is not applicable to the ambassadors of the foreign countries, the foreign armies and to such foreign rulers who pay a visit to a country.

3. **Permanence:** Sovereignty is permanent. State and Sovereignty can not be separated. Sovereignty continues as long as the State exists. The loss of power of a ruler will not result in the loss of sovereignty of the State. If one ruler loses his power another ruler accedes. If one State merges with another State to form a new State then sovereignty is transferred.
4. **Inalienability:** Sovereignty is like life to the State. It can not be given to other. It is non-transferable. If some portion of a State is transferred to another State; the sovereignty will not be transferred. A State loses sovereignty on such portion which is transferred to another State, but it does not mean a transfer of sovereignty.
5. **Indivisibility:** Sovereignty is wholesome. It cannot be divided. There will be only one sovereignty in each State. Dividing Sovereignty means destroying it. Lord Bryce, Bluntschili and others opined that sovereignty is divisible and there can be two centers of sovereign power in a State. In a federal government, even though

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the central and State governments function separately, sovereignty can not be divided. Gettel mentioned that, in a federal State the sovereign power will not be divided; it belongs to the entire State but only the functional powers will be divided between central and state governments as per the constitution.

4.5 KINDS OF SOVEREIGNTY

In modern times sovereignty can be found in different forms. The following are the most important of such kinds.

- 1 Titular sovereignty
- 2 Real Sovereignty
- 3 Legal Sovereignty
- 4 Political Sovereignty
- 4 Popular Sovereignty
- 6 Internal-external Sovereignty
- 7 De Jure- De Facto Sovereignty

1. **Titular Sovereignty or Nominal Sovereign**

The sovereignty will be vested with a single person for name sake but actually exercised by others. The king or queen of Britain and the President of India are Titular sovereigns. In practice, in both these cases countries the power will be exercised by the council of ministers under the leadership of the Prime Minister who will be responsible to the parliament.

2. **Real Sovereignty**

If a person or an institution exercises the total power in a State, that person or institution can be called as real sovereign. If only one person functions as the head of the State and head of the government, he can be virtually the real sovereign and real sovereignty lies with him.

3. **Legal Sovereignty**

Any sovereignty with constitutional recognition can be called legal sovereignty. The Head of the State enjoys the sovereign power to issue ultimate directives. Such directives and orders will be recognized by the judiciary. In Parliament democracy the president issues ultimate directives with legality on the advice of ministers.

4. **Political Sovereignty**

To whom the people in a political society express their ultimate obedience, such person or institution enjoys political sovereignty. It cannot be discerned. Even the judiciary can not recognize the political sovereignty. Political sovereignty is the highest in a democracy. The voters and political parties express this sovereignty through the media and different forums.

5. **Popular Sovereignty**

In all the modern democracies, ultimately the popular sovereignty will be vested

with the people. The people give judgment over the performance of the government through elections. It is very difficult to recognize popular sovereignty in practice.

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6. Internal and external Sovereignty

The unrestricted sovereignty on all the individuals, associations and institutions in a State is called internal sovereignty. A freedom which is beyond the control of the foreign countries in external policy can be called external sovereignty.

7. De Jure – De Facto Sovereignty

The term ‘De Jure’ means the authority based on law. The De Jure sovereign is one who is competent under the authority of law to issue the commands of the State. On the other hand, ‘De Facto’ sovereign may be a king or a director or a prophet who becomes the strongest force in the State.

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4.6 MONISTIC THEORY OF SOVEREIGNTY

John Austin, a Jurist of England, enunciated the theory of Sovereignty during the 19th century. His theory is called the monistic theory. A sovereign is one who gets the obedience of all in a society. The theory of Austin has the following features: the highest power in a State will be vested with one person. Sovereignty is absolute. All the associations, groups and individuals express obedience to the sovereign. All the people in the State follow the orders of the sovereign.

Sovereignty is indivisible. If it were to be shared among more than one, every one tries to command the other. All the orders issued by the sovereign directly or indirectly are laws. There are no laws without the sovereign.

All the above features are subjected to criticism. The sovereign of Austin model is not a historical fact. There is no coherence between the present democratic theory and the theory of Austin. Austin’s theory did not take action into account either the public opinion or the opinion of a voter. There are many social customs, traditions and habits in a society. The laws cannot easily transgress them. The State cannot have that much power to reject the customs and traditions. Sovereignty can seldom formulate the laws against the moral will. Despite these drawbacks, the theory of Austin is still valuable. Austin has such greatness of explaining sovereignty in terms of legislation and his theory has a commendable place in political theory.

Implications of the theory

Following are the implications of the Austin’s concept of sovereignty.

- a) **Sovereignty is an essential element of State:** There can be no State without sovereignty. It is as essential to the State as life to the human body. The forms of government are immaterial. Sovereignty is never conditioned or influenced by these forms.
- b) **Sovereign is determined:** The human superior is determinate. Sovereignty consists in one man or in a group of people. On both conditions it is determined. Austin rejects **general will** as the sovereign authority as it is not determinate.
- c) **Its commands are habitually obeyed:** The commands of the sovereign are eternal and perceptual. It implies that obedience to the laws of sovereign authority is habitual. It is not periodic or dependent on people’s whims.

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- d) **Sovereign is absolute:** Sovereign is unlimited and absolute. It is not subordinate to any man or association. Its commands are habitually obeyed, but it does not obey commands of any like superior.
- e) **Sovereign is invisible:** The sovereign power is invisible. To divide sovereignty is to destroy it. "A divide fragmented, diminished, limited, relative sovereignty" is a contradiction in terms.

Criticism of Austin's theory of Sovereignty

Austin's theory of sovereignty is a lawyer's view of sovereignty. He has failed to take into consideration the practical or applied aspect of it. That's why it has been subjected to scathing criticism. By Sir Henry Maine, A.R. Lord and James Stephen etc.

- a) **Sovereignty does not reside in a determinate human superior:** Austin had held that sovereignty resides in a determinate human superior. Such a human superior cannot be identified in a human society. Even the most despotic oriental rulers were not sovereign in Austinian terms. The concept of determinate sovereignty is anti-theoretical to popular sovereignty also because of popular sovereignty is not determinate.
- b) **In applicable in Modern States:** Austin has profounded the theory of legal sovereignty which is determinate, absolute, unlimited and invisible. Such a sovereignty is not applicable in modern States.
- c) **Sovereignty is divisible:** Most of the writers on sovereignty, particularly the pluralist believe that sovereignty is divided. It is divided in a federal system between the central government and its units. There also exist many associations in the State sharing co-equal powers with the State. Therefore there exists much sovereignties in the State.
- d) **Sovereignty is not unlimited:** Austin's contention of unlimited sovereignty has also challenged by a number of writers. According to Bluntschli, "the State has a whole is not almighty, for it is limited externally by the rights of the other states and internally by its own nature and by the rights of its individual members".
- e) **A hindrance to the growth of internationalism:** H.J. Laski feels that in the modern age of internationalism and universalism the concept of Austinian sovereignty is incompatible to the interests of mankind.

4.7 PLURALISTIC THEORY OF SOVEREIGNTY

Pluralists proposed the Pluralistic theory of sovereignty as against the Monistic theory of Austin. Laski, Barker, Mac Lever, Maitland and Kaul and others proposed the theory of pluralism.

Pluralism is a revolt against Austin's Monistic concept of sovereignty which is absolute, unlimited, indivisible and determinate. Pluralists do not regard sovereignty as absolute, unlimited, indivisible and determinate nor do they accept the State as the only source of authority. They attack this concept on different grounds and declare that it is against the interest of international community.

According to the theory of Austin, Sovereignty is the greatest and unimpeded. But

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the pluralists seriously opposed this contention. Pluralism thinks that a State cannot have complete authority over the people and there is every scope for the prevalence of certain systems and practices against the will of the rulers. According to pluralism, the individuals and associations in a society will have liberty and power. The associations and groups are equally useful to the people like the State. The pluralists opine that the State is one among many associations. It is improper to vest it with limitless power. The centralization power will make the political power absolute, which in turn can disturb the liberty of the individual. Hence, the pluralists think that the powers of the State must be limited.

Thus, pluralism is the reaction against the Austinian Monistic concept of sovereignty. It recognizes indispensability of the State but wishes to dispense with the concept of sovereignty. Hasio says that, "Pluralistic State is simply a State in which there exists no single source of authority, it is indivisible into parts and should be divided."

Interestingly, Pluralists have denounced the Monistic concept of Sovereignty. According to Lindsay, "If we look at the facts it is clear enough that the theory of sovereign State has been broken down". Thus, the pluralists have made effort do denounce the theory of sovereignty and expunge it from the political theory.

4.7.1 Characteristics of Pluralistic Theory of sovereignty

The followings are the important characteristics of Pluralistic theory of sovereignty which are discussed in detail below.

1. **The State is an association of associations:** Man creates different types of associations for the achievement of different goals. He has created State to achieve political goals. The State, therefore, is not absolute and unlimited in its authority. It is just like other associations. Other associations are as useful as the State. They are not less than the State. Due to State's over bearing attitude, autonomy of these associations has been jeopardized. Therefore, it is necessary to cut to size the State authority and do away with Monistic concept of sovereignty.
2. **Distinction between State and Society:** Pluralists hold that the society is a wider organization. All associations including the State, exist in the society. It means that society is a whole and the State is only a part. The Pluralists reject the Hegelian and Fascist ideologies which hold State and society as one. Mac Iver says that, "the State is a structure neither coeval nor coexistence with society but built within as a determinate order for the attainment of specific ends".
3. **Sovereignty is limited:** Pluralism is mainly against the absolute and unlimited sovereignty. It holds that sovereignty is limited by many internal and external factors. The internal factors are customs, traditions, religion and morality. These factors are deeply rooted in the society and the behaviour of sovereign authority is always conditioned by them.
4. **Pluralism is not against the State:** It does not aim at 'the withering away of State' as the anarchists and communists do. It is only against the absolute sovereignty and regards the associations necessary for the development of human personality.
4. **Pluralism supports democracy:** It is a revolution aimed at making democracy more democratic. Pluralism emphasizes occupational or functional representation and secret ballot system. It opposes any type of despotism. It holds that

decentralization and internationalism would certainly strengthen democracy.

4.7.2 Advantages of Pluralistic Theory of sovereignty

Pluralism is a timely protest against State absolutism and rigid dogmatic legalism. It is an endeavor to restore group autonomy to make them an effective instrument for the development of human personality.

1. Pluralism attacks State supremacy and absoluteness.
2. Pluralism recognizes the value of associations and groups.
3. It is the beginning of disappearance of the crowd.
4. It pleads for revivification of local life by decentralizing the authority.
4. Pluralism admits that the interest of the State is not always identical with the interest of its parts.

4.7.3 Criticism on Pluralistic theory of sovereignty

Austin's theory of sovereignty was proposed by John Austin. Austin was greatly influenced by Hobbes and Bentham, the great utilitarian thinkers. Austin himself was a utilitarian. According to Austin, sovereignty is a determinate human superior not in the habit of obedience to a like superior receives obedience from the bulk of given society, that determinate superior is sovereign in that society and the society is a society political and independent. Austin always supported to Monistic theory of sovereignty.

There are certain criticisms against pluralism. Sovereignty to more than one association weakens the State. Treating all associations and State alike leads to anarchy. A State can function only when it is the supreme authority. Pluralism leads to disunity in the State.

Pluralism is a liberal theory and pluralists are not dogmatic. They accept what appears to be just. This liberal and adaptive approach hindered Pluralism from becoming a sound philosophy. It has been forcefully criticized on various counts. Some of them are discussed below.

1. **Pluralism is full of Contradictions:** In Pluralistic theory of sovereignty, Pluralists desire to reduce the State power and make it equal to the associations but in practice they plead to make the State more powerful. Herald J. Laski, had admitted that legally no one can reject that there exists an authority in a State and that the government is most important among all organizations. According to Dr. Figgis, says that 'State is society of societies'.
2. **It will establish Anarchy:** Pluralists put associations and groups at par with the State. They divide sovereignty and destroy it. A divided sovereignty is no sovereignty and results in lawlessness and anarchy.
3. **Mistaken view of sovereignty:** The critics also have pointed out that the pluralists have failed to grasp the essence of sovereignty. What they criticize? Is an imaginary concept, neither profounded by Austin nor by his fore runners like Bodin, Hobbes and Rousseau. Austin and others had laid down specific limitations on sovereignty. It was never unchallengeable.
4. **Misconception of Law:** Pluralism is true that law is not merely a command of the

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sovereign. It is also true that without State recognition there can be no law irrespective of its social acceptability.

Sovereignty

4. **No place for individual liberty:** The Pluralist contention that absence of restraints from associations would broaden the scope of individual liberty is wrong. The association curtails individual liberty more than the State does. The State promotes and protects individual liberty. According to Zimmern, “those who talk of State absolutism are ignoring the simple truth that there is no tyranny like the tyranny of near neighbors.”

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4.8 SUMMARY

Pluralistic Theory of sovereignty always supports for democratic concept. This theory supports to the power of the State. It is against for the Austin's theory of sovereignty. State is an association of associations. Like other associations it also represents one interests of the society. It cannot be considered superior to other associations. All associations therefore, are sovereign and there are as many sovereignties in a State as many as other associations.

4.9 KEYWORDS

- **Sovereignty:** Sovereignty as a juristic concept is used in connection with the supreme, final and ultimate power of the State in internal and external spheres. Internal aspects of sovereignty means that men, group and associations inside the boundaries of the State are subject to the commands of the sovereign authority.
- **Meaning of Sovereignty:** The word ‘**Sovereignty**’ originated from Latin word ‘**Superanus**’. ‘**Superanus**’ means **the supreme**. Because of this sovereignty a State can be independent, make its own laws and implement them.
- **Definition of Sovereignty**
 - a) “A power that can completely control the activities of every person in a society is sovereignty”.
– **Jenks**
 - b) “Sovereignty is the sovereign political power vested with him whose acts are not subject to any other and whose will cannot be overridden”. - **Grotius**
 - c) Sovereignty is “the supreme, irresistible, absolute, uncontrolled authority in which the ‘Jurist summit imperi’ reside”.
–**Black Stone**
- **Absoluteness:** Sovereignty of the State is absolute and un-limited. No other power can control sovereignty within the geographical limits of the State. The supremacy over all the men and associations in the State is unquestionable.
- **Permanence:** Sovereignty is permanent. State and Sovereignty can not be separated. Sovereignty continues as long as the State exists. The loss of power of a ruler will not result in the loss of sovereignty of the State.
- **Political Sovereignty:** To whom the people in a political society express their ultimate obedience, such person or institution enjoys political sovereignty. It cannot be discerned. Even the judiciary can not recognize the political sovereignty.
- **Austin's Sovereignty:** Sovereignty is indivisible. If it were to be shared among

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more than one, every one tries to command the other. All the orders issued by the sovereign directly or indirectly are laws. There are no laws without the sovereign.

- **Pluralistic Sovereignty:** Pluralism is a revolt against Austin's Monistic concept of sovereignty which is absolute, unlimited, indivisible and determinate. Pluralists do not regard sovereignty as absolute, unlimited, indivisible and determinate nor do they accept the State as the only source of authority.

4.10 REVIEW QUESTIONS

Essay Type Questions

1. What is meant by sovereignty? Discuss the various types of sovereignties.
2. Explain the pluralistic sovereignty.
3. Explain the Austin's theory of sovereignty.
4. What are the characteristics of sovereignty?
4. Briefly discuss the kinds of sovereignties.

Short Type Questions

6. Sovereignty
7. What are the basic features of sovereignty
8. Any two definitions of sovereignty
9. Austin's theory of sovereignty.
10. Absoluteness.
11. Permanence
12. Pluralistic theory of sovereignty.
13. Advantage of pluralistic theory of sovereignty.

4.11 SUGGESTED READINGS

1. Asirvatham.J, Political theory.
2. John Austin, Lectures on Jurisprudence.
3. Bryce. J. Studies in History and Jurisprudence
4. Cohen. H.E, The Recent Theory of Sovereignty.

POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

B.A - POLITICAL SCIENCE

(First Year:Paper-I)

UNIT -III

Lesson - 5

Theories of Origin of the State: Social Contact and
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Lesson 5

THE THEORIES OF ORIGIN OF THE STATE

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 - 5.3.2.4 Salient Features of the Contract Theory
 - 5.3.2.5 Evaluation of Locke's Theory
 - 5.3.3 Jean Jacques Rousseau (1712-1778)
 - 5.3.3.1 Rousseau Views on Human Nature
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 - 5.3.3.3 Rousseau's Social Contract
 - 5.3.3.4 Criticism
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- 5.4.2 Importance of the Concept of the General Will
- 5.4.3 Criticism of the Social Contract Theory
- 5.5 Evolutionary or Historical Theory
 - 5.5.1 Natural and Social Instinct
 - 5.5.2 Kinship
 - 5.5.3 Religion
 - 5.5.4 Economic Activities
 - 5.5.5 Force
 - 5.5.6 Political Consciousness
- 5.6 Summary
- 5.7 Keywords
- 5.8 Review Questions
- 5.9 Suggested Readings

5.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Explain the origin of a state theories
- Discuss the social contract and historical theory of origin of a state
- Know the criticism on political theories.

5.1 INTRODUCTION

In 18th century ‘The Social contract Theory’ occupied the most important place among the theories of origin of the state. It rejected the prevalent theories and gave a revolutionary turn to the Political philosophy. The “Social Contract Theory” was the result of a strong reaction against the theory of Divine Origin. The social contract theorists declared that the state was not a divine creation. It is created by men. It is a contrivance an artifice created by men to realise their own objectives. State is the result of contract which the men in the state of nature devised with their own will.

The social contract theorists have divided the history of mankind into two parts- the state of nature which is pre-political and the history after the creation of state which is a political society.

In the history of political thought references of social contract theory are found in the ideas of Sophists and Epicureans. These thinkers maintain that the state is an artificial institution. People created the state to promote their own interests. Self interest, therefore is the principal dynamic force. It determines the man-state relationship. Even the obedience to the laws of the state is totally related with self interests. Man obeys the law because it provides him security.

That the state is the result of a contract has been the theme of many Hindu scriptures. In the Santi Parva of the Mahabharata there is a reference of a contract. It says that the people requested Brahma, the Creator to appoint a king for them for the regulation of

order and discipline in the society. Consequently, Manu was appointed as the king. The people entered into a contract with Manu the King that he protect them and their property and they in their turn would offer unto him the sixth part of their income.

In the Middle Ages, the theory of Social contract remained in vogue in Europe. An eleventh century thinker Manigold said that ‘the king who breaks the contract deserves to be dethroned. The British thinker Rich and Hooker had supported this opinion. In his book “Laws of Ecclesiastical Polity” he wrote that the state of nature as state of anarchy.....men created a state by entering into a contract.

5.2 THEORY OF THE ORIGIN OF STATE

5.2.1 Divine Theory of the Origin of State

This theory was one of the earliest theories of the origin of the State. By this theory the State is the creation of God just as God has created human beings on earth, so he has also created the State. People of the Divine Authority. This theory was used to serve divergent ends. It was used to support the people with the argument that the king has a divine mission therefore, he must do justice and is bound to follow the law given in the scriptures. It was used by despots to support their absolute authority and tyranny. They argued that the king has the authority to do anything he likes and people cannot interfere with it because the power to the king was given by God.

This theory was very popular in ancient times. Manu says, “Brahman created the King to protect the people of all Varnas and Ashramas devoted to their duties.” Hindu thinkers regarded State as a divine institution. The Divine Theory of State was widely held in Europe under the influence of Christian dogma specially in the middle Ages when the King was regarded as the representative of God ruling by divine right. In the Bible, it is stated : “Let every soul be subject unto higher powers. For there is no power but of God; the powers that be are ordained of God.”

The Greeks attributed a divine origin to the State. It was, to the Greeks, an association of sages who gave the law. The Roman legend of the foundation of Rome while not omitting religion propounded that the people and King created the State. The blessings of the Gods followed. Under the Muslim Law also Sultan or king was regarded as a shadow of God. The Divine Origin Theory more and more took the form of the theory of the Divine Right of Kings. This was particularly true of 16th and 17th century England.

According to Gray, “The ruling spirits of society in forming a government have often claimed to act under divine guidance and this claim has been believed in, not only by the mass of the community but often by the rulers themselves and further it is this belief that has given their power, but in such cases, it has been the will of the rulers that has really organized the State. The organization of the State was the same whether the rulers who created it had or had not revelation from above.” Gettell rightly says, “During a large part of human history, the State was viewed as a direct divine creation and its government was theocratic in nature.” J.N. Figgis gives the principles of the Divine theory as under

1. The King was given political power by God.
2. Kingship is hereditary.

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3. The King is a great source of wisdom and is responsible to God only
4. It is a sin to disobey the King.
5. The people must submit and surrender unconditionally to the authority of the King.
6. A bad King will be judged by God but not by his subjects or by any human agency.

Criticism of the Theory

This theory is used to justify the despotic rule and against democracy.

It is far from reality.

It is not suitable to the modern democratic States where people elect the rulers.

It is not progressive as it does not give right to the people to change the ruler.

There is no historical evidence to prove that the State is created by the divine power.

It is religious theory and it has not been based on reason. However, this theory was used to make people obedient to the political authority to enable the State to be stable and check anarchy. It was useful to impose law and order and establish stable rule. This theory lies in its emphasis on moral force. It also gave a religious basis when religion played a very dominating part. It created a feeling of oneness among the people.

5.2.2 The Natural Theory of the Origin of State

The natural theory says that State is the result of a natural instinct in man. Aristotle said that man is a social animal and the instinct of sociability in man gives birth to State. The interest of the individual and the State are the same, therefore, man could not live outside the State. Though this theory is not sufficient to explain the origin of the State, it gives the root cause for the formation of State. In modern, this theory has been transferred into a utilitarian theory.

The Force Theory of the Origin of State

The force theory believes that the State has come into being through physical coercion or compulsion or war begot the State. This theory was propounded by Jenks, Bernhardt, Oppenheim and Trietsche.

Leacock says, "Historically it (force theory) means that government is the outcome of human aggression, that the beginning of the State is to be sought in the capture and enslavement of man by man in the conquest and subjugation of feeble domination acquired by superior physical force. The progressive growth from tribe to kingdom and from kingdom to empire is but a continuation of the same process."

According to Jenks, "Historically speaking, there is not the slightest difficulty in providing that all political communities of the modern type owe their existence to successful warfare." Waltair says that "the first King Was a fortunate warrior." Bluntschli is of the opinion that "force is an essential element of the organization of the State."

Oppenheim gives the following six stages of the emergence of State

- i. The first stage was one of continuous fights. The conquerors captured the properties of the defeated person.
- ii. In the second stage, the peasants were enslaved and exploitation of man by man began.

- iii. The third stage was mutual realization of benefits of co-operation between the conquerors and the conquered.
- iv. People united to fight against common enemies.
- v. Government was formed to settle disputes.
- vi. The military leaders became Kings. Law and order were established and State was organised. It is also believed that the State developed on the basis of force. For example, Alexander The Great expanded his kingdom only with the use of force. Changez Khan, Nadirshah Akbar, Hitler and Napoleon also followed the same.

In the latter part of the 19th century, a group of German theorists used this theory to justify the power and force of the State. They argued that the State was power and that force was the most important attribute of the State. The individualists made use of this theory to protect individual freedom by limiting the action of the State that is considered a necessary evil. The anarchists regarded the State as a power based institution and advocated its earliest abolition for the good of society.

Criticism

The force theory, no doubt, contains an element of truth force. But, is not the only factor that has contributed to the development of the State. Other factors such as kinship, religion, property and political consciousness have played their part in the evolution of the State. Mere force cannot maintain the State for a long time. "Might without right can at best be only temporary, might with, right is a permanent basis for the State. Force does not create rights; rights, like the State are founded in the common consciousness of common ends." As per Green, "It is not coercive power as such but coercive power exercised according to law written or unwritten, for maintenance of the existing rights from external and internal invasion that makes a State." Gilchrist says. Might without right lasts only so long as they might lasts; might with right is as lasting as the human mind on which it depends, MacIver holds that nothing can be achieved by sheer force because force always disrupts, unless it is made subservient of common will. Force is short-lived. Abraham Lincoln remarks, "Force is all conquering, but its victories are short-lived."

Exponents of the force theory look upon force as the object and justification of the State. The government must be so strong to protect its people from the aggressions and to maintain internal peace and order. Force alone does not stand for or justify the authority of the government.

5.2.3 The Genetic Theory is one of the theories that explains the origin of the State

The Genetic Theory is one of the theorists that explains the origin of the State. According to this theory, the State is a product of a natural expansion of family. It is said that one family gave rise to several families, a group of families united to form a village, the village expanded into settlements and they united to form the State. MacIver says that family is the government in miniature. It is a very important link in the development of State. It is thought that the State is the developed form of the family.

According to Henry Maine, the father is the head of the family an such family

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expanded into the clan, i.e., gens or house and the clan into the tribe and finally the aggregation of tribes constitutes the common wealth, i.e., the State. It is clear that blood relationship played an important role in the origin of the State

Originally, the idea of the Patriarchal theory is given by Aristotle who said that the State began with the most natural group namely, the family with the father as the head. Henry Maine is the strongest supporter of this theory.

In Roman Law, there is the institution of the 'patria potestas', i.e., the paternal power of the 'pater familias', i.e., the head of the family. The father was regarded as the King and priest. The members of the family were under the control of the father.

According to Altekar, as far as the Indo-European communities are concerned, the institution of the patriarchal joint family seems to have been the germ out of which State was gradually evolved. The study of Indo-Aryan communities also support this theory.

The French jurist Duguit has lent his support to the Patriarchal theory. He says, "He (the male parent) is the natural chief, the governor of the little State of which the members of the family are the governed. The ancient city was merely a union of families in which political power belonged to the father."

The Patriarchal theory of the State is based on three basic assumptions

- i. That the system of permanent marriage prevailed in primitive times and that paternity was an established fact;
- ii. That descent was traced only through males. None of the descendants of the female was included in the family;
- iii. That the ultimate authority was in the hands of the male head of the family who enjoyed absolute powers over all the other family members.

In support of his theory, Sir Henry Maine, in his book "Ancient Law and Early History of Institutions", addressed evidence from the family history of the Hebrews, of the Greeks and Romans and the Aryans in India. Among the Hebrews the eldest male member exercised almost despotic powers over his dependents. In Rome, the 'patria potestas' gave unlimited powers to the head of the household. In India too, the members of a joint family lived under the control of the eldest male. The patriarchal theory explained that family was the earliest unit and it transformed the father into the chief or the king and the family into a civil community.

Criticism

The patriarchal theory is criticised by Morgan, Jenks, MacIver and others. This theory explains the origin of the family rather than that of the State. It is simply a speculation regarding the beginning of early society, particularly of the family. Herbert Spencer has criticised Maine's Patriarchal Theory by observing that it cannot be accepted as a final solution of the origin of government as societies were originally organised on a matriarchal and not on a patriarchal model. But there is no proof that at any period the maternal system held any exclusive position of the human race. Nor is it correct to say that primitive society was everywhere of the patriarchal type or that one type was derived from the other. The form of social organization everywhere is to some extent moulded by social and economic environment. Jenks asserts that the process by which families expand into clans and clans into tribes, according to Maine's conception, is in

fact the reverse. According to Jenks, the tribe is the earliest and primary group, then comes the family.

5.2.4 The Horde Theory or the Matriarchal Theory of the Origin of State

MacLennan in his book "Primitive Society", Morgan in his book 'Studies in Ancient Society', and Edward Jenks in his work, 'A Short History of Politics' propounded the Matriarchal Theory. According to Matriarchal theory, the State originated not in the family, but in the Horde. The Horde was an unorganized tribe in which sexual relations without any matrimonial intentions were common. In course of time the Horde left this practice and followed group marriages and gradually they practiced polyandry. This institution of polyandry led to the establishment of matriarchal family. In the matriarchal family, relationship was traced through the female line. Among some tribes, relationship is recognized through female and not through the males, and even succession to property is through female line. Owing to the prevalence of the custom of exogamy, the father belonged to a clan tribe. Jenks illustrated the system from the conditions of the Australian aborigines who live in 'packs' or totem-groups' and may not marry within totem.

The following are the important points of the matriarchal theory of Jenks

- i. Tribe is the earliest form of society. It is the oldest and primary social group.
- ii. Kinship is traced through females.
- iii. Marriage relationships are transient. The earliest form of marriage was polyandry.
- iv. Females only succeed to power and property.
- v. Matriarchal authority is an established fact.
- vi. Tribes in course of time break into clans, clans in turn give place to households and households at last emerged into modern families.

The Matriarchal theory like the Patriarchal theory looks at historical proof of its having been universal. To say that only one type of family system prevailed in early societies is a travesty of facts. Moreover, woman is an agent transmission. Nature has not given her the power to be an active wielder or participant to power. Again, it is not possible to believe that the State developed through the enlargement and expansion of the Matriarchal family. Maine has criticized the Matriarchal theory, as unmaintainable because it is extremely improbable. As regards polyandry, Maine argues that it is an abnormal institution of a temporary character, because of the low number of female.

5.2.5 The Evolutionary or Historical Theory of the Origin of State

The most acceptable theory of the origin of the State is the Evolutionary or Historical theory. According to this theory, the State is a historical growth i.e., the product of a gradual process of social development. It has evolved from more simple and elementary social structures over a long period of time. It was not deliberately created by man at any particular time. The State is a growth and evolution and not an artificial product.

According to Aristotle, State came into existence for the bare needs of the life of man and continued to exist for the sake of his good life. State is the result of a slow and steady evolution through continuous development of human society.

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Leacock has pointed out that the "... State is a growth, an evolution, the result of a gradual process running throughout all the known history of man and receding into remote and unknown past." Verges has also pointed out that to trace the origin of State is one factor is wrong but "it is gradual realization of universal principle of human nature." The main supporters of the Historical theory are J.W. Burgess, MacIver, Garner and Gettell

According to Professor Burgess, "The proposition that the State is a product of history means that it is gradual and continuous development of the human society out of a grossly imperfect beginning through crude but improving forms of manifestation towards a perfect and universal organization of mankind."

According to Gettell, "Like other social institutions, the State arose from many sources and under various conditions and emerged almost imperceptibly." The following factors contributed to the origin and development of the State :

Kinship: By kinship is meant blood relationship. Kinship played a considerable part in early civic development. Blood relationship brought the members of the family together. As MacIver puts it, "Kinship creates society and society at length creates the State." The family served as the prototype of the State.

Religion: According to Gettell, "Kinship and religion were two aspects of the same theory." Religion helped unification of political communities. Religion reinforced the sense of unity and respect for authority. It colored every act of human life. Religion subordinated barbaric anarchy and taught reverence and obedience to the primitive people. Even today religion continues to play an important part in determining the nature of the State. The influence of priestly class in government and politics has been powerful throughout the history.

War or Force: War or force has played an important part in the origin and development of the State. War begot the king. Military was used for defense and conquest. A sense of loyalty to the ruler, was also established. A coercive force exercised by a powerful person developed into political sovereignty. Struggle and warfare are historically, most important elements in State formation.

Property or Economic Factors: Economic system is the key to the social behavior. The three successive economic stages were the huntsman, the herdsman and the husbandman (agricultural stage). Military came into existence to protect the property from plundering raids. Protection of property played an important role in state building.

Political consciousness: By political consciousness is meant the awareness of the need for a common authority to promote certain common ends. Political consciousness implies the awareness of certain ends to be attained through political organization. When once the people settled on a territory, they realized need for the protection of life, liberty and property. The military leader commanded the confidence of his people and established some sort of political organization, i.e., Government. Consequently, the State came into existence with all its four elements.

Thus, we can conclude that no single factor is responsible for the formation of the State. "The State is neither the handiwork of God, nor the result of superior physical force, nor the creation of resolution or convention, nor a mere expansion of the family." It is the result an evolutionary process in which kinship, religion, property force and consciousness

of people have been the most important factors. Thus, the State is a natural growth over a long period of history.

5.2.6 Social Contract Theory of the Origin of State

The Social Contract theory is a very old theory on the origin of State. It emerged as a reaction against the Divine Origin theory. Originally this contract theory was propounded by the Sophists in Greece. Even the Roman lawyers like Cicero argued that popular consent was the basis of the State. In the middle ages Marigold and the Old Testament supported this theory of Social Contract. In modern times the Social Contract theory received wide support as it sought to question the Divine Right theory of State. Richard Hooker was considered to be the first modern writer for giving a logical analysis to the theory of social contract. However, the Social Contract theory received prominence in the writings of Thomas Hobbes (1588-1679), John Locke (1632-1704) and Rousseau (17212-1778) who gave it a systematic and technical treatment. It was supported by Grotious, Milton etc.

The Social Contract theory states that State is not a growth, but a make it is not made by God, but deliberately and voluntarily created by man. It has come into existence not by force, but by consent or agreement.

The term 'social' implies something connected with society, while 'contract' means an agreement between two or more people. As a term of political theory, 'social contract' implies a contract that makes society possible. The Social Contract theory holds that men of the pre-political society got together and agreed upon a contract establishing the State. It implies that the State is man's deliberate creation to serve his needs.

The Social Contract theory envisages a state of nature which was the natural condition of mankind wherein the political control and popular obedience were agents. It was a state of nature where there were no organised government and rulers. There were no man made laws and no human authority to govern people. The state of nature was pre-political. Whatever may be the reason, the people decided to abandon the state of nature and enter into a civil society in pursuit of some political order. The law of nature was replaced by manmade laws. A civil society was established where everyone lost his natural liberty that he enjoyed in the state of nature; in the place of civil liberty some form of civil rights was conferred on the individual. The idea of social contract divides human history into two phases, i.e., one is the state of nature which was the life of people before the State came into existence and second is the creation of the State as a result of the contract entered by the people who earlier lived in the state of nature.

There are three elements in the social contract theory. They are state of nature, contract or covenant and civil society. The three important exponents of this theory, Hobbes, Locke and Rousseau agree on fundamentals, but differ on details.

State of Nature

According to Hobbes, man lived in darkness. He led a life of an animal. The guiding principle of the state of nature was 'might is right'. It was a state of wild savagery and man led a lonely and poor life. It was a state of war and rivalry. 'Kill whom you can, take what you can' was the order of the day.

Locke says that man led a peaceful and natural life in the state of nature. The right

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to life, the right to property and the right to liberty were enjoyed by man according to natural law. But there was no government to regulate the rights. So there was no security for these rights. According to Locke, state of nature is a state of insecurity.

According to Rousseau, man was a 'noble savage'. He led a peaceful life and enjoyed the bliss. It was a golden age. Man was moral, simple and happy. Soon these conditions changed with the establishment of private property. Man became selfish and wicked, corrupt, cruel and cunning. The life became precarious in the State of nature.

Social Contract

Hobbes, Locke and Rousseau differ on the nature of contract though they agree that men made a contract and established a State and led a richer, fuller and happier life.

According to Hobbes, there was only one contract. It was made by the people themselves. By this contract they established both the State and the Government. The people surrendered their rights to the ruler.

As per Locke, there were two contracts. The first contract called social contract, was made by people themselves. By this they establishes a civil society, i.e., State. The second contract was called governmental contract or political contract. It was made between the people and the ruler. By this they established a government. To Rousseau, there was one contract made by the people. By this established a civil society, i.e., State.

Criticism

1. From the historical point of view, the Social Contract theory is not acceptable. History does not give single evidence which could indicate that there was a stable society.
2. This theory is illogical and baseless. How could men who had no knowledge of political organization suddenly think of a State and form it?
3. The progress of the society has been from status to contract. Contract is not the beginning but the end of society.
4. The Social Contract theory is dangerous because it leads to anarchy.
5. There cannot be one sided contract as expounded by Hobbes. Contract by one party cannot necessarily bind the descendants of those who originally entered into the contract.
6. The relation between individual and State is not by contract but by birth,
7. The theory assumes that all men were equal. But there was inequality in the state of nature.
8. Historically it has been proved that the State is not the result of any artificial and superfluous attempts but that it is a growth.
9. Rights are always followed by duties but, the theory contains rights without duties and obligations.
10. Contract among individuals does not create public right as the contract primarily gives personal benefit.

5.3 SOCIAL CONTRACT THEORY

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Importance of the Social Contract Theory

No philosopher ever evoked so much sound and fury in the political philosophy of those times as did Hobbes. He was a system builder, and revolutionised the political theory like Machiavelli. His importance can be discussed as follows:

- i) **Scientific Method:** Hobbes is the first political thinker who rejected superstitions and hypothetical conceptions and applied reason and logic to the analysis of political concepts.
- ii) **Propounder of Absolute Sovereignty:** Hobbes is again the first to lift all restrictions from sovereignty. He made it absolute, unlimited, permanent, indivisible and unchangeable.
- iii) **First Psychological Thinker:** Hobbes felt that all political study should start from the study human nature. Freud, Bagehot, McDougel and Graham Wallas might be regarded as the successors of Hobbesian tradition.
- iv) **Precursor of Modernism:** Hobbes is the precursor of modernism. He applied scientific method in the study of Political science and indirectly supported democracy.

5.3.1 Thomas Hobbes (1588-1679)

Thomas Hobbes (1588-1679) was an English political thinker. After completing his education at Oxford, Hobbes became a tutor in aristocratic households. For some time, he was private tutor to Charles II. He lived in the stirring times of the Great Rebellion and the Commonwealth. He identified himself with the monarchist cause and concluded that the salvation of the country lay in an absolute system of government. His important works are : (i) De Corpore Politico (1640); (ii) De Give (1642) and (iii) Leviathan (1651). In 'Leviathan', Hobbes explained his theory of social contract. He proposed the social contract theory not to explain the origin of State, but to justify absolute monarchy.

5.3.1.1 Hobbes' view of State of Nature

State of nature was a stage prior to the formation of the State. According to Hobbes, the state of nature was of universal strife. It was one of warfare. It was a state of "continual fear and danger of violent death, and the life of man solitary, poor, nasty, brutish and short." Every man was enemy to every man. Might was right and jungle law had prevailed. "Kill whom you can, take what you can" was the order of the day. There was no distinction between right or wrong, justice or injustice, since the rule of life was: "only that to be every man's that he can get and for so longer as he can keep it." It was a war of every man against every man. Man was not social and there was no peace. Hobbes says that man was a self centred individual. Man had his own pleasure and desires. He belonged to no order. There was no place for industry. Man was made to invade for gain, for safety and for reputation. Therefore, the state of nature was unbearable. But man is possessed of reason and foresight. In these conditions there was no commerce, no industry, no education and no art. The state of nature was a state of savagery and there was no society.

Hobbes' contract

The condition of life in the state of nature reached an intolerable stage. People entered

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into a contract in order to protect their life and maintain peace. As a result of this contract, people gave up their rights except the right to self-preservation to one man or a body of men and authorized him or the body to rule over them. He was called the sovereign. Everyone said to the other: "I authorize and give up my right of governing myself to this man, or to him and authorize all his actions in like manner." This contract was made by each with all and all with each. The ruler was not a party to the contract and need not act according to the conditions of the contract.

Sovereign

The authority of the sovereign is absolute. He determines what is just and unjust. The will of the sovereign is proper law or command that must be obeyed by the subjects. Liberty is the gift of the sovereign. People can enjoy liberty within the permitted sphere and the area which is not forbidden by the sovereign. Hobbes sovereign was all powerful. He might be unjust, tyrannical or inefficient, but people had no right to rebel against him. He was responsible not to people but to God only. Sovereignty is supreme absolute, permanent, inalienable and indivisible. Hobbes considers monarchy the best form of government on purely practical grounds.

Basic principles of Hobbes' Social Contract Theory

- i. There was no social and political life in the state of nature.
- ii. Life in the state of nature was solitary, nasty, miserable, brutish and short.
- iii. State was the result of a contract.
- iv. It was a social contract but not a governmental contract
- v. Sovereign was not a party to the contract.
- vi. The contract became a perpetual bond.
- vii. The people must abide by the contract.
- viii. The people were obedient to the ruler.
- ix. The subjects could enjoy those rights which were permitted by the sovereign.
- x. The people surrendered all their rights and: administrative powers to the sovereign,
- xi. The right to revolt against the sovereign was deemed to the people.
- xii. Law was a command of the sovereign.
- xiii. The sovereign had the power to impose justice and deal with disputes.
- xiv. Sovereignty was absolute, indivisible and inalienable.
- xv. Liberty was the gift of the sovereign.
- xvi. The basis for the origin of State was the sentiment of fear.
- xvii. There was no distinction between the State and Government.

Importance

1. Hobbes was the first political thinker in the entire Europe who tried to prove that the State was not a divine institute but a human institution.
2. He was the first English political philosopher to recognise the value of social order and discipline.

3. He was the first political thinker to present the concept of legal sovereign.
4. He laid foundation for the system of Analytical Jurisprudence.
5. He tried to prove the fact that lawlessness and anarchy could be put down only by despotic monarch.
6. His 'Leviathan' is the greatest masterpiece of political philosophy written in English language.

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5.3.1.2 The Laws of Nature

Hobbes believes in the existence of certain laws in the state of nature which govern the conduct of human beings. These laws are:

- (i) Everybody should strive to secure peace.
- (ii) They should observe the provisions of the contract.
- (iii) Men should reciprocate beneficence, and
- (iv) Men should willingly give up their natural rights.

5.3.1.3 The Social Contract

As man possessed the power of expression, they decided to enter into a contract among themselves and form a Commonwealth and end the horrible state of nature. The contract so entered into created a civil society and its objective was providing security of life and property. The contract was of 'each with all and all with each'. Man pledged in this contract, "I authorise and give up my right of governing myself to this man or to this assembly of men, on this condition that thou give up all thy right to him and authorise all his actions in like manner."

The contract so completed created the state. Men surrendered all their natural rights to some particular man or assembly of men. It became the sovereign and all other men became its subjects. Hobbes has termed the sovereign as 'Leviathan'. He is not a party in the contract. He is the product of it. People surrender all their rights to him and covenant confers all powers to him. He is absolute and has unlimited authority over his subjects. People have no right to revolt against him. Following are the characteristics of this contract:

- (i) The contract created a sovereign authority. It is social and political contract.
- (ii) Leviathan or sovereign is the result of the contract. He is not bound by the contract and has agreed to no obligation.
- (iii) Laws are commands of the sovereign and people have no right to disobey them.
- (iv) The contract is permanent. It can not be broken.
- (v) Sovereignty is the supreme law making power, it has the sole power to grant rights to the individuals. According to Hobbes "Sovereign has the sole and the whole powers of prescribing the rules where by every man may know, what goods he may enjoy and what actions he may do without being molested by any of his fellow subjects."

5.3.1.4 Criticism

Hobbes became a butt of scathing criticism for his revolutionary ideas in his life time.

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The critics were the royalists as well as parliamentarians. They were secular as well as theologians. Clerandon said about Hobbes' philosophy in Leviathan as, "I never saw any book which contains so much sedition, treason and impiety." The criticism is as follows:

- 1) **Wrong conception of Human Nature:** Hobbes' analysis of human nature is one sided. He declares man as selfish, acquisitive and aggressive, egoistic and anti-social. It is not correct analysis. Man possesses other characteristics also. He is gregarious. He is kind, sympathetic, loving, self-sacrificing and peace loving.
- 2) **State of Nature is Imaginary:** The explanation of the state of nature by Hobbes is not acceptable. It is not historically substantiated. It was never a state of 'survival of the fittest'. Sociological and anthropological researches have established that the man was never a unit of the society.
- 3) **Contract is Illogical:** It is difficult to believe that a selfish, brute and solitary creature of the state of nature all of a sudden decided to enter into a contract. Contract is a relationship which presumes sufficient political consciousness.
- 4) **Contract is Irrational:** The contract as explained by Hobbes appears to be very irrational as Leviathan was not a party in the contract. People surrender all their rights unconditionally to Leviathan and receive nothing in return. The contract is irrevocable. Such a contract can never appeal to human reason.
- 5) **Leviathan Wields Absolute Authority:** Leviathan is absolute. He enjoys unlimited and unquestionable authority. He can interfere in all aspects of human life. He is unaccountable. Hobbes fails to explain the factors which motivated men to enter into a contract with such an authority. According, to Locke "Men are so foolish that they take care to avoid what mischief may be done to them by polecats and foxes, but are content, may think it safety to be devoured by lions."

5.3.2 JOHN LOCKE (1632-1704)

John Locke was also born in England. He studied at Oxford and became a teacher. In the civil war his family supported the parliamentarians. Locke had a weak constitution. He was always endowed with love and affection by his friends and his family. His life was serene, peaceful and beautiful though physically he suffered from chronic phenomena. Lady Masham writes about him that, "His death was, like his life, truly pious, yet natural, easy and uneffected. I think can time ever produce a more eminent example of reason and religion than he was living and dying."

5.3.2.1 Locke Views on Human Nature

Second Treatise on Civil Government contains some passages regarding Locke's conception of human nature. He believes like Hobbes that all human beings are pleasure-seeking and desire is the principal motivating force of all human activities. According to Locke man is gregarious, cooperative, compassionate and loving. He is peace-loving and never likes a conflict unless absolutely necessary. Man is rational and social. He lives with other men in accordance with the natural laws.

5.3.2.2 Locke on State of Nature

As man is rational and social, the state of nature is also peaceful and orderly. It is not a state of war as men observe the law of nature. According to Locke. Men living together according to reason without a common superior on earth, with authority to judge between

them is properly the state of nature. According to Dunning the state of nature which Locke describes does not represent pre social condition. It represents prepolitical society. Men enjoyed liberties and were endowed with natural rights. Man had the rights of liberty, life and property. He equally respected other's rights. But the state of nature had certain short comings. These were

- i) There was no established and settled known law.
- ii) There was no definite and impartial judge, and
- iii) There was no known executive to enforce the law.

5.3.2.3 The Social Contract Theory

The people entered into a contract to over come short comings of state of nature. According to Vauhan Locke's contract is a double contract. The first stage of the contract was concluded when men decided to enter into a contract. It was social contract which put an end to the state of nature. The second contract was entered into when men in their corporate capacity decided to cede to the community as a whole. In this contract man resolved to give up his personal right to interpret and administer the law of nature in return to the guarantee that his rights will be preserved. According to Gettell. "The contract was thus specific and limited, not general as Hobbes had said."

The Government thus formed is a means of promoting the interests of the individuals. If the Government fails in its basic objective of protecting the interests of the individuals they have a right to revolt against it. Locke justified the glorious revolution of 1688 on this very basis and supported the idea of limited monarchy.

5.3.2.4 Salient Features of the Contract Theory

Following are the salient features of the social contract as conceived by Locke.

- i) The Contract was double. By one the individuals constituted a civil society and by the other they formed the government.
- ii) Men do not surrender all of their natural rights. They surrender only the right of enforcing the law of nature.
- iii) The state formed after the contract is a state based on common consent.
- iv) Locke's contract is more logical.
- v) It gives the rulers the fiduciary (trust) powers to be exercised solely for the common good,
- vi) It was a majority rule.
- vii) Locke distinguishes between the state and the government.
- viii) In his social contract Locke has propounded the theory of Political Sovereignty which means that sovereignty is vested in the community as a whole,
- ix) The Contract is irrevocable as its reversal would mean return to the state of nature.
- x) Locke allows the individuals to revolt against an autocratic government. Locke says, "The community perpetually retains a supreme power of saving them-selves from the attempts and designs of any body-whenever they shall be so foolish or so wicked as to lay and carry on desJgns against the liberties and properties of the subject."

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5.3.2.5 Evaluation of Locke's Theory

Locke is regarded as the father of liberal philosophy. He has contributed the theory of consent, separation of powers and the theory of revolt to political theory. In spite of all these contributions there remain some short-comings in his conception of the social contract. They are

- i) **The Contract is unreal:** Locke's depiction of the social contract is more unreal than of Hobbes. It is neither historical nor philosophical. It is not convincing that men entered into a contract by abandoning the ideal state of nature.
- ii) **State is not based on utility:** Locke held that the state was created with an earnest desire to protect the individual property. It is not maintainable. The basis of the state is always morality and its main objective is promotion of individual morality.
- iii) **Mere consent is not Sufficient for a State:** State requires coercive authority and force to protect and secure individuals. It also requires it for territorial expansion. The primitive states were based more on force.
- iv) **Fear of continuous revolutions:** Locke has empowered the individuals to revolt against a despotic government but has given no powers to the government to safeguard itself against the tyranny of the individuals.
- v) **Sovereignty is not divisible:** According to Gilchrist, "Hobbes gives a theory of sovereignty without recognising the existence and power of political sovereignty. Locke recognises the force of political sovereignty but does not give adequate recognition to legal sovereignty. Locke also fails to see that revolution, however desirable is never legal."
- vi) **Locke's importance:** It is true that there is little original in Locke's philosophy and his ideas are incoherent and incompatible but it is more true that the latter political thought was greatly influenced by him. The reverberations of his ideas were manifest in the French and American revolutions and he was the inspiration to the framers of the American Constitution. His importance lies in the following contributions.

5.3.3 JEAN JACQUES ROUSSEAU (1712-1778)

Rousseau was born on June 28, 1712 at Geneva, an important city in Switzerland. He became an orphan at an early age and could not achieve formal education. He became a domestic servant, a private tutor, a musician and a painter. He was impulsive and unstable and led a life of vagabond until he finally settled in Paris. Here he shot into fame through his books, 'Discourses on the Moral Effects of Art and Science' and 'Discourses on the Origin of Inequality'. His book 'The Social Contract' earned him a world wide reputation. In 1778 he committed suicide.

5.3.3.1 Rousseau Views on Human Nature

Rousseau's portrayal of human nature is entirely different. He neither regards selfishness, greed and avarice as an important part of human nature nor does he regard cooperation and sympathy as the cardinal virtues. Rousseau thought that there are two original instincts that make up man's nature. There is self love or the instinct of self preservation and the other instinct is gregariousness or sympathy. Both of these instincts are beneficial to the society therefore man by nature is good and sympathetic. Man in the state of nature was

noble savage. He possessed conscience to guide him. He acquire knowledge with sense organs.

5.3.3.2 The State of Nature

Rousseau has no definite idea about the state of nature. He has used almost all the meaning about the state of nature. However, he makes it clear that the state of nature was certainly better than social and civil society. Man in the state of nature was in the state of paradise. Man was noble savage but was free from fear. It was an ideal state. He had no knowledge of good or bad moral or immoral. He enjoyed unrestricted liberty and equality and led a life of innocence. He was powerful but never was he immoral. He cared to achieve only that which he regarded essential for him. He never thought of accumulating property.

However, this state of nature could not continue for long. He lost his liberty and equality as some peculiar circumstances, beyond his control, were created. When population increased new problems arose. Selfishness came up and man lost his peace. Selfishness gave birth to reason. The reason created pride. War and conflict became his main instruments. Poor became poorer and the rich became richer. His life became wretched. As Rousseau tells, "Man in the state of nature was in the state of Paradise before the serpent came, It came in the form of private property and family."

5.3.3.3 Rousseau's Social Contract

When the state of nature came to an end and man became almost an animal, the individuals had to think of entering into a contract, to put an end to the anarchic situation. In the contract each man surrenders his rights to free-dom and use of force to the community and becomes by virtue of this surrender an integral part of the community. Men have not concluded this contract with the future rulers. According to Rousseau, "in surrendering all his powers, the individual was not a loser of anything. Each individual by giving himself to all, gives himself to no one and since there is no member over whom you do not acquire the same rights that you give him over yourself, you gain equivalent of all you lose, and greater force to preserve what you have."

Thus the man who surrenders all his rights to the society is never a loser as he is now an integral part of the community. He gets all those rights whenever he requires them. According to Rousseau state is an assemblage of people and no one has right over the other. People want liberty and equality and the state provides them both. The state is not an absolute power. It is a state where the people enjoy their rights and liberties in the best form. This state functions according to General Will. The General Will is not an abstraction, it is organic. It is organic because the eternal consciousness of people keeps it alive. This consciousness makes the state committed to the achievement of common good.

Main Features of Rousseau's Social Contract

- i) **Contract is For The Good of All:** Man surrenders all his right to the community not to an individual. Therefore all are benefited by this contract. According to Rousseau, "Each of us puts his person and all his power to common use under the supreme direction of the General Will and as a body we receive each member as an indivisible part of the whole". Rousseau again says because each individual

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giving himself wholly, the circumstances are equal for all...because the circumstances being equal for all no one has interest in rendering them burden some for others.

- ii) **General Will:** Unity reached by the contract is complete because man becomes inseparable part of the community by the act of surrender. According to Rousseau 'Each one is giving himself up to all, gives himself upto none'.
- iii) **Contract creates the State:** The unity of community created by the contract is termed as state.
- iv) **Contract creates a Just Society:** A sudden change comes in man as soon the General will emerges in the society. Man becomes subject to justice instead of brute force. His actions become moral. He ceases to be a slave of actual will and is governed in all his actions by the real will. Rousseau says, "What man loses by the social contract is his natural liberty and an unlimited right to what ever he can get and hold on to. What he gains is civil liberty and the ownership of all that he possesses".
- v) **Contract is Social not Political:** The contract creates a sovereign community not a sovereign government. The government is only an instrument of this community. If the government fails to carry out the dictates and objectives of the community it can be unseated. The General will is unlimited, indivisible, source of law and permanent. Thus Rousseau propounds the theory of democratic society in which sovereign power is vested in the society not in the government.

5.3.3.4 Criticism

- 1) **State of Nature is imaginary:** Rousseau has portrayed the state of nature as a state of paradise. Such a state is only a figment of imagination and can not be substantiated by logical, biological or anthropological analyses. It is the product of poet's fantasy not a scientific deduction.
- 2) **Illogical:** Rousseau lacked formal education. His analysis suffers from contradictions. It has made his social contract theory illogical. To him the community or society is the result of a contract but he also says that the contract was between man and the society.
- 3) **Contract is Uniparty:** Rousseau's theory of contract is uniparty in which man surrenders all his rights to the community without reserving anything for himself. He becomes a slave of General Will. In theory he receives all his rights back but in practice he comes under more despotic power than Hobbes Leviathan.
- 4) **Incompatibility between Theory and Practice:** Man, according to Rousseau is a citizen and a subject at the same time. He is a citizen when he is a part of this sovereignty, he is a subject when he obeys the law. It would mean he goes to prison as a subject and sends himself to prison as a part of the Sovereignty.
- 5) **Unity created by Contract is Meaningless:** Rousseau reduces the individual to a stage of insignificance. He is under the total control of the society where his rights to freedom become meaningless.
- 6) **Contract Creates Absolute Authority:** Rousseau's endeavour is to transform General Will into common consciousness of common good by presenting it in

democratic form but his efforts result in making it an absolute sovereign. It is more dangerous than Hobbe's Leviathan.

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5.3.3.5 Importance of the Theory

According to C.L. Wayper, "Few men have more affected the mind of the modern world than Rousseau. He was most powerful of the influences which the human mind has experienced since Descartes. He left the stamp of his strong and original genius on politics, education, religion, literature he is found at the entrance to all the paths leading to the present": He is the father of idealism particularly the source of the idealist philosophy of the Germans Like Kant, Hegel and Fichte. Marxism, Green's liberalism and democracy were inspired by Rousseau. He propounded the theory of popular sovereignty. In the words of Dunning, "Rousseau's spirit and dogmas, however, disguised and transformed are seen every where both in the speculative system and in the government organisations of the stirring era that followed his death".

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5.3.4 Marxist Theory of the Origin of State

Marx and Engels believed that the State was not a natural institute. The Marxists explain that society and State are essentially two different institutions. The society is a natural institution while the State an agency for exploitation of the poor by the rich. Engels in his treatise 'The Origin of Family, Private Property State' (1884) writes that "the State then has not existed from all eternity. There have been societies that did without it that had no idea of the State and State power. At a certain stage of economic development which was necessarily bound up with the split of society into classes, the State became a necessity." At first the people lived in harmony in the society as there were no classes and clashes of interests. Later the society was divided into various classes and struggle started. The State came existence as class instrument to serve the interest of the dominant class. According to Marxists, the State is a product and manifestation of the irreconcilability of class antagonisms. Once the classes came into being, it was natural that their diverge interests would lead to disputes and clashes among them. There arose the necessity of some organization which could arbitrate and solve disputes. This task could be fulfilled by the agency of the State.

Marxists believe that there was a stage when people lived in Small families and groups. They obtained their food supply from Nature in the form of fruits and hunting wild animals. Whatever was available from nature was used by all people. People had to work hard for getting the necessities of life. At that time there were no means by which a person could exploit others. All people were equal and there was no ruler, no disputes to be solved. They call this stage as the state of "primitive communism." It was a stage when the principle "for each according to his needs" was followed. In course of time people acquired property interests. With the emergence of property and property rights, the nature of society underwent a great change. The State arose when the society underwent a great change. The State arose when the society State is nothing but a tool of the dominant class in the society and is merely an instrument of exploitation of the poor by the rich. The rich in order to maintain their economic and political supremacy want the State to continue. The State is not an organization for the protection of the working class but an instrument of the possessing class to exploit the non-possessing class. The State is not a natural institute but it is a class institution and it is an institution

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of violence. The States are coercive agencies and authority came handy for them. Marxists believe that the State is a temporary institution and that a time will come when there will be no State in the world.

According to Marxists, the State was a class institution and basically it is a bad institution and would never act for the good of the society. State is an institute of violence. The military, the police, courts, laws, bureaucracy etc., are all employed to use violence and force for the good of dominant class. It then becomes a burden on the entire society both classes are equally cheated and it acts as an independent parasite on society. Marx was thus against the State and sought its complete abolition. But he did not seek its abolition immediately after a successful proletarian revolution. The State will stay for a temporary period to facilitate smooth transition from capitalism to communism. This would be a temporary period of dictatorship of the proletariat. The State will wither away and a classless and stateless society will be formed.

Criticism

1. To call the State as an institution of violence or class coercion is never justifiable.
2. The State is the first condition of civilized life.
3. The State has not withered away anywhere.
4. The establishment of stateless and classless society is not practicable.
5. The proletariat in capitalist system has got protection and is not ready to revolt.

5.4 GENERAL WILL

The concept of the 'General Will' is the crux of Rousseau's political philosophy. However it is not at all well defined and remains very confusing. The General will is the product of the contract. It emerges when people have surrendered all their rights to the community and the community contains hence forth, the General will. Rousseau explains the General will by elaborating two type of wills. He calls one as Actual will and the other as Real will.

1. **Actual will:** By actual will Rousseau means an animal desire inherent in man when he is selfish and desires to promote his own interests ignoring the common good. It is selfish, narrow and self contradictory. Man surrenders the actual will in the contract and what he gets back from the community is the real will.
2. **Real will:** It is higher and moral will of man which aims at the common good. It is rational, pure and perfect. It resides permanently in man.
3. **General Will:** The sum total of the Real Wills of all men in the community is known as General will. It is ethical and aims at the welfare of the whole society. The welfare is not physical betterment, on the contrary, it is the moral development of the community. Bosanquet defines it as, "the will of the whole society as much or the will of all individuals in so far as they aim at the common good". According to Green "It is common consciousness of the common good". It is represented by the government in a state.

Rousseau also distinguishes between the General will and will of all. He says, "The General will is always just and always aims at the public good, but it does not follow that

the deliberations of the people are always right. Man always aims at his good, but he does not always know what it is.....There is often a considerable difference between the General will and the will of all the former aims at the common interest and the latter aims at the private interest, and is only a sum of particular wills. But if we take away from these Wills the various particular interests which conflict with each other, what remains as the sum of the differences is the general will". General will is not formed by the quantity, it is determined by quality that is social good. In the words of Rousseau, "What makes the will general is less the number of voters than the common interest uniting them".

General will is distinct from the will of the majority. If the majority's will is for pursuance of some specific narrow interest, it is certainly not the General will. A man's will can be the General will if its objective is common good. The General will has the following attributes.

- i) The will of each individual is merged into the General will.
- ii) It is the common good of the community.
- iii) It is the willing surrender of individuals to the community and their opinion about the common good.
- iv) It is always right,
- v) It differs from the will of all, and
- vi) It is the ultimate source of all human laws.

5.4.1 Characteristics of General Will

1. **Indivisible:** The General will is rational and product of wisdom. It is free from all internal contradictions. It is a unity in diversity. According to Rousseau, "It makes and preserves the unity of the nation a character and it issues in those common qualities, which we ought to expect to find in the citizens of the state". It can not be delegated Rousseau believed in the form of Direct Democracy. Since the General will manifests itself in the expression of common people regarding common good, the representatives of the people can not be delegated this power.
2. **Inseparable:** The General will and the Sovereignty are very intimately related. Sovereignty, in fact is the nature of General will. Both can not be separated from each other.
3. **Permanent:** The General will is the consequence of reason and product of common good. It is neither irrational nor premeditated. It consists in human nature. It is more permanent than individual desire and force.
4. **Absolute and unlimited:** The General will is absolute. It has the unlimited power of legislation. It is beyond the control of any natural, divine or human law. The members of a society, without any distinction, are expected to render willing obedience to the laws of the state (General will).
5. **A Will Based on Reason:** The General will excludes the narrow, sectarian and selfish interests. It relates to the higher self of the individual where he is self sacrificing and devoted to common good. It is based on reason. It is ethical. It is the sum total of real will of all. According to Rousseau. "The General will is also just and rational

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because the vox populi vox dei.”

5.4.2 Importance of the Concept of the General Will

- i) Rousseau’s contribution in the form of the General will is very important. It has brought revolutionary changes in the realm of political thought. It lays down the dictum that will, not force is the basis of state.
- ii) It also establishes that the state is not a loose union of individuals, on the contrary, it is an organic and compact association. It has its own will and personality.
- iii) The theory of General will explains that the state is a natural institution. It is a natural expansion of our personalities.
- iv) The theory of General will is theory of democracy.
- v) It sets before the people a political ideal.

5.4.3 Criticism of the Social Contract Theory

The social contract theory stirred the era by its tremendous influence on the political development. It explained the origin, nature and functions of the state. It also explained different types of Sovereignty.

However, social contract theory was most severely criticised and condemned throughout the nineteenth century. Sir Henry Maine characterised it as the most worthless theory ever produced and put forth about the origin of the state.

5.5 EVOLUTIONARY OR HISTORICAL THEORY

The origin of social institutions is shrouded in obscurity. Theories concerning their origin are, at best, approximations to what might have taken place in the past. This is certainly true of theories concerning the origin and evolution of the state. In spite of a number of important theories of state origin, no single discussion seems to be adequate. In fact, modern sociologists have made it clear that social phenomena cannot be explained by reference to any single factor. As one of the multifarious agencies of social control, the state, in history, has passed through different stages of development. It is the product of steady evolutionary process, in which more than one factor participated. The generally accepted theory of state origin known as the evolutionary theory, is thus based on a ‘pluralistic’ explanation of political phenomena.

The state is a very complex institution. No single factor can be attributed as solely responsible for its origin. Like the complexity of structure, its origin was also complex. According to Garner, “the state is neither the handiwork of God, nor the result of the superior physical force, nor the creation of resolution or convention, nor a mere expansion of the family”. We will have to agree that all the factors mentioned by Garner did contribute to the origin of the state. Burgess says, “The state is a continuous development of human society out of grossly imperfect beginning through crude but improving forms of manifestation towards a perfect and universal organisation of mankind”. To determine a specific date of state’s origin in history is impossible. It is all shrouded in mystery. We can only say that the state evolved through many stages. It was helped by a number of factors in its evolution.

Today, however, writers like Laski do not subscribe to the theory of linear evolution

of the state. According to them, all societies possess some system of government for regulating the relations of individuals and safeguarding the interests of the group. Slowly and imperceptibly, the state developed from a simple to a complex type. In recent days, however, archaeology, philology and anthropology have contributed much to our knowledge regarding the origin of the state.

The most important forces contributing to the origin of the state are:

(i) Natural and Social Instinct; (ii) Kinship; (iii) Religion; (iv) Economic activities; and (vi) Political consciousness.

5.5.1 Natural and Social Instinct

Man is a 'social animal' by nature. Nature impels and necessity compels him to live in the society. According to Aristotle, "State originated in the bare needs of life and continues in existence for the sake of good life." In order to regulate the social life, some rules and regulations were framed for the individuals. At some later stage these rules and regulations took the form of laws. Slowly and gradually society became politically organised and it led to the evolution of the state. In this way the social nature of man helped in the evolution of the state.

5.5.2 Kinship

As MacIver says: "Kinship creates society and society at length creates the state. The role of kinship as an important factor in the evolution of the state. The primary social unit is the family. The primitive family took various forms, ranging from a condition approaching promiscuity to restricted groups within which intermarriage was forbidden." The members of a family are tied together by blood-relationship, and kin is a product of "the recognition of consanguinity." As the sexual impulse leads the young adolescent outside the known family circle, it culminates in the formation of a new family. The extension of the thread of blood relationship extends and subdivides the kin further and further. The feeling of unity and solidarity which is essential to political life is strengthened by such ties of kinship.

5.5.3 Religion

As a force in state-formation, religion played a vital role in history. Primitive men were at the mercy of the unexplainable natural phenomena like flood, lightning, thunder etc. In course of time, they came to worship these forces, imagining the hands of unseen agents behind them. "This primitive form of religion, called animism, was accompanied by fetishism, a superstitious belief in the effectiveness of material objects, and later took the form of nature worship, often developing into a beautiful mythology." Also, the culture of worship of the deceased ancestors was general feature of the primitive communities. Such religious forms ranging from animism to ancestor-worship served to promote tribal solidarity. Primitive religion, in fact, provided the sanction for law and government and ensured the unity and obligation of the group. Throughout history, the priestly class has exerted powerful influence in government and politics on the strength of the supernatural sanctions of religion.

In the primitive ages there was hardly any distinction between religion and politics. Common religious beliefs held men together and taught them reverence and obedience. The wide prevalence of the theory of divine right of kings, which has recently been

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abandoned amply proves the vital role of religion in the formation and continuance of the state.

5.5.4 Economic Activities

The economic activities of primitive peoples contributed greatly to the origin of the state. The activities by which men secured food and shelter and subsequently came to possess property and wealth facilitated the emergence of the state. Co-operation is the essence of every form of economic life. It demands conformity to certain recognised rules. The emergence of the idea of private property and the social distinctions based on wealth necessitated the adoption of new rules to cope with the changing situation. According to MacIver, the interaction of the forces of sex and property is highly significant in the building of the social structure. "The problem of the family, its permanence against the waning and variability of the initial sex-impulse, is solved by its association with the unswerving desire for the control of property." Again, exchange of commodities gave rise to occupation diversification. Wealth came to be unequally distributed and class-distinctions arose. For the regulation and protection of property rights and the settlement of property disputes new laws were created. Thus the economic activities of early peoples led to the rise of government.

5.5.5 Force

The role of force in state building has been stressed by a number of eminent writers. For instance, Marx viewed the state, as a creation of the 'dominant economic class' that uses it as a means of exploiting the masses. The origin and evolution of the state were similarly made possible by the interaction of antagonistic forces. In spite of exaggerated references to the role of force by some sociologists, historically speaking, struggle and warfare proved an important element in state formation. Early political organisations were rather simple, as those had to interfere little with the activities of the individuals. But, with the expansion of the group and the consequent weakening of the tie of kinship, the application of force was necessary for the maintenance of peace and order.

5.5.6 Political Consciousness

The evolution of the state has greatly been helped by political consciousness. Consciousness of common ends has always been present in human beings. It might at first have started in vague awareness of the efficacy of political organisation, to maintain peace and order. Thus customary laws began to take roots almost imperceptibly. When Aristotle characterised man as a political animal, he merely pointed out this spontaneous acquiescence of men in the imperative codes of social coordination. Later, however, in the process of development instinctive desire was more and more replaced by conscious purpose.

5.6 SUMMARY

The evolutionary theory, it is said, highlights the evolution and not the origin of the state. The purpose of this theory is to systematise the diverse forces and factors that contributed to the origin and evolution of the states in general. The operation of all the factors might

not have been uniform or necessary in particular cases of state building. Still some or all of these forces worked together slowly and imperceptibly facilitating the evolution of the state throughout human history.

As the state is a moving phenomenon that knows no finality, the political scientist can at best hazard a guesswork. The evolutionary theory does something more than that. It clearly shows that the state is neither the gift of God nor the deliberate work of man. The beginnings of the state “are lost in the shadowy past, in which social institutions were; unconsciously arising, and its development has followed the general laws of evolutionary growth.”

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5.7 KEYWORDS

- **General Will:** The General will is the product of the contract. It emerges when people have surrendered all their rights to the community and the community contains hence forth, the General will. Rousseau explains the General will by elaborating two type of wills. He calls one as Actual will and the other as Real will.
- **Social Contract Theory:** “Social Contract Theory” was the result of a strong reaction against the theory of Divine Origin. The social contract theorists declared that the state was not a divine creation. It is created by men. It is a contrivance an artifice created by men to realise their own objectives.
- **Thomas Hobbes:** Thomas Hobbes was born in England in 1588, the year of Spanish armada. “In the year of Spanish Armada my mother gave birth to a twin-myself and the Fear.” Writes Hobbes, ‘Fear’ had been a consistently influencing factor in Hobbes. In the state of nature sense of insecurity and state of fear were the governing instincts.
- **John Locke:** John Locke was also born in England. He studied at Oxford and became a teacher. In the civil war his family supported the parliamentarians. Locke had a weak constitution. He was always endowed with love and affection by his friends and his family. His life was serene, peaceful and beautiful though physically he suffered from chronic phenomena.

5.8 REVIEW QUESTIONS

Essay Type Questions

1. State the criticise the social contact theory of Hobbes.
2. Discuss the evolution theory of a state?

Short Type Questions

3. Hobbes – Social contact theory
4. Historical or evolution theory
5. General will .

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5.9 SUGGESTED READINGS

1. Filchrist – Principles of Political Science
2. Gilchrist – Principles of Political Science
3. Gooch, G.P. – Political thought in England
4. John Locke – Second Treatise on Civil Government

Lesson 6

LAW, LIBERTY AND EQUALITY

Structure

- 6.0 Aims and Objectives
- 6.1 Introduction
 - 6.1.1 Meaning of Law
 - 6.1.2 Definition of Law
 - 6.1.3 Characteristics of Law
 - 6.1.4 Evolution or Development of Law
 - 6.1.5 Different Schools of Law
 - 6.1.6 Sources of Law
 - 6.1.7 Classification of Laws
 - 6.1.8 Law and Morality
 - 6.1.8.1 Difference between Law and Morality
 - 6.1.8.2 Relation between Law and Morality
 - 6.1.9 Rule of Law
 - 6.1.9.1 Decline of the Rule of Law
- 6.2 Liberty
 - 6.2.1 Definitions
 - 6.2.2 Types of Liberty
 - 6.2.3 Conditions for the Realisation of Liberty
 - 6.2.4 Relationship between Liberty and Law
 - 6.2.5 Safeguards of Liberty
 - 6.2.6 The concept of Equality
 - 6.2.6.1 Kinds of Equality
 - 6.2.7 Relation between Liberty and Equality
- 6.3 Theories of rights and kinds of rights
 - 6.3.1 Definitions
 - 6.3.2 Nature of Rights [Features of Rights]
 - 6.3.3 Classification of Rights
 - 6.3.4 Fundamental Rights
 - 6.3.5 Theories of rights
 - 6.3.5.1 National Theory of Rights [Theory of Natural Rights]
 - 6.3.5.2 The Legal Theory of Rights

	6.3.5.3 The Idealist Theory of Rights [Personality Theory of Rights]
	6.3.5.4 Green's Theory
	6.3.5.5 Historical Theory of Rights
	6.3.5.6 Liberal Theory of Rights
	6.3.5.7 Social Welfare Theory of Rights [Laski's Theory of Rights]
	6.3.5.8 Marxian Theory of Rights
6.4	Power and Authority
6.4.1	Kinds of Power
6.4.2	Concept of Authority
6.4.2.1	Classification of Authority
6.4.3	Difference between Power and Authority
6.4.4	Concept of Legitimacy
6.4.4.1	Characterstics of Legitimacy
6.5	Summary
6.6	Keywords
6.7	Review Questions
6.8	Suggested Readings

6.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand:

- Explain the characteristics and sources of Law
- Know the importance of Liberty and Equality
- Understand the safeguards of Liberty
- Discuss the conditions for the Realisation of Liberty
- Explain the Classification of Rights
- Understand the importance of Rights and Duties
- Delineate the Fundamental Rights and Duties.

6.1 INTRODUCTION

The term 'Law' is used in a variety of meanings. In physical world it is used to explain the sequence of cause and effect like the law of gravitation and chemical reactions. These laws denote the change from one stage to another stage. The uniform correlations of natural phenomena or events, whether they are causal or non-causal in nature are all laws of nature e.g. fire burns, heat expands, matter gravitates etc. Such laws are beyond the scope of Political science. In the world of human beings the laws are the guiding principles of human behaviour.

In this context they can be both moral and political. Moral laws are related with human tendencies and man's personal behaviour or conduct. They may be described as commands of our higher or spiritual nature. Laws of the state relate with external behaviour

of man. They are made and enforced by the state only. In Political science the law means those regulations which are made and enforced by the state to regulate external behaviour of men.

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6.1.1 Meaning of Law

Men live in society. They differ in their ideas, aims and ideals. Hence, there must be some 'uniform rules' to control their activities. These uniform rules which regulate human behavior are called laws.

The concept of law occupies a significant place of political theory. Law is closely associated with State that State without law is anarchic and law without State is meaningless. To MacIver, "the State is both the child and parent of law." Law not only prescribes the rules of behavior for citizens in the State but also provides a social order without which any civilization and economic development is possible.

The word law is derived from an old Teutonic root 'lag' which means something which lies fixed or evenly. The word law' is also associated with the Latin word 'jus' which again is associated with another word 'jungere' giving the meaning 'a bond' or 'tie'. The general meaning of law is 'a body of rules to guide human action.' It is the product of human interaction and endeavor.

The different meanings of the word 'law' may be classified as

1. Law means justice, morality, reason, order, righteousness, etc., from the point of view of society;
2. Law means statutes, Acts, rules, regulations, orders, ordinances, etc. from the point of view of legislature;
3. Law means rules of court, decrees, judgments, orders of courts, injunction, etc. from the point of view of judiciary;
4. Law means rights and remedies from the point of view of the decree-holders;
5. Law means duties, liabilities, obligations, etc. from the point of view of the judgment-debtor; and
6. Law means titles, written laws, judicial precedents, custom as evidence of law.

Generally, the term law is used to mean three things: First, it is used to mean 'legal order'. It represents the regime of adjusting relations, and ordering conduct by the systematic application of the force of organised political society.

Secondly, law means the whole body of legal precepts which exists in a politically organised society.

Thirdly, law is used to mean all official control in a politically organised society

6.1.2 Definition of Law

1) In its widest sense

Law is, in its widest abstract sense, any uniformity of events, or any rule of action.

Montesquieu says, "Laws, in the most extended signification, are the necessary relations which flow from the nature of things, and in this sense all beings have their laws; divinity has her laws; the material world has her laws; intelligence superior to human beings have their laws; beasts have their laws; human beings of their laws."

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According to Blackstone, “Law, in its most general and comprehensive sense, signifies a rule of action whether animate or inanimate, rational or irrational.”

As per Salmond, the term ‘law’ in its widest sense, “includes any rule of action, that is to say, any standard or pattern to which actions whether the acts of national agents or operation of nature are or ought to be confirmed.”

2) In Concrete Sense

i) Idealistic Definition: According to Salmond, “the law may be defined as the body of the principles recognized and applied by the State in the administration of justice.”

Gray says, “The law of the State or of any organised body of men is composed of the rules which the courts, that is, the judicial organ of the body lays down for the determination of legal rights and duties.”

ii) Positivistic definition: According to Austin, “A law is a command which obliges a person or persons to a course of conduct.” He further says, “law is the aggregate of rules set by men as politically superior, or sovereign to men as politically subject.” As per Austin, a law, in the strict sense, is a general command of the sovereign individual or the sovereign body, issued to those in subjectivity and enforced by the physical power of the State.

According to John Erskine, “Law is the command of a Sovereign, containing a common rule of life for his subjects and obliging them to obedience.”

iii) Historical definition: Savigny says, “Law is the rule whereby the invisible borderline is fixed within which the being and activity of each individual obtains a secure and free space.” He further says, ‘Law (Recht) is begotten in the people (volk) by popular spirit (volksgeist).’

iv) Sociological definition: Ihering defines law as the form of the guarantee of the conditions of life of society, assured by State’s power of constrain.

Pound defines law as “the body of principles recognized or enforced by public and regular tribunals in the administration of justice.”

v) Realist definition: Holmes J. says that “the prophesies of what the Courts will do, in fact, and nothing more pretentious, are what I mean by law.”

Salmond says, “Law is the body of principles recognized and applied by the State in the administration of justice.”

6.1.3 Characteristics of Law

1. **A civil society is necessary for Law:** A civil society is necessary for law because it is the civil society which is well organised and requires a body of rules for its conduct.
2. **Sovereignty is necessary for Law:** Law is the command of the sovereign. Without sovereign there can be no law.
3. **Law regulates External behaviour of human beings:** Law is related with external activities not with thought or tendencies. The thought and tendencies are governed by moral laws.

4. **Obedience to the laws is obligatory:** Obedience to law is not optional. The violation of laws involves punishment which may extend even to death sentence.
5. **Public welfare is the main objective of Law:** General well-being is the aim of law. It is never intended to benefit only a segment of the society. It is this nature of law which makes it venerable.

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6.1.4 Evolution or Development of Law

Based on “the twelve conceptions of what law is” of Roscoe Pound, we can see the evolution or development of law follows :

1. At first, law is considered as the idea of divinely ordained rule or set of rules for human action, as for example, the Mosaic law or Hammurapi’s Code, handed him ready made by the Sun God, or Manu, dictated to the sages by Manu’s son Bhrigu in Manu’s presence and by his direction.
2. There is an idea of law as a tradition of the old customs which have proved acceptable to the gods and hence point the way in which man may walk with safety. Law is the traditional or recorded body of precepts in which the custom is preserved and expressed, Whenever we find a body of primitive law possessed as a class tradition by a political oligarchy it is likely to be thought of in this way, just as a body of like tradition in the custody of a priesthood is certain to be thought of as divinely revealed.
3. Law is considered as the recorded wisdom of the wise men of old who had learned the safe course or the divinely approved course for human conduct. The Demosthenes reduced the law of Athens in writing in a primitive code based on traditional custom.
4. Roman jurists conceived law as a philosophically discovered system of principles which express the nature of things, to which therefore, man ought to conform his conduct.
5. Law is looked upon as a body of ascertainments and declarations of an eternal and immutable moral code by some other philosophers.
6. There is an idea of law as a body of agreements of men in politically organised societies as to their relations with each other. In Athenian city states, such a theory of philosophical idea would support the political idea and the inherent moral obligation of a promise would be invoked to show why men should keep the agreements made in their popular assemblies.
7. Law has been thought of as a reflection of the divine reason governing the universe, a reflection of that part which determines the ‘ought’ addressed by that reason to human beings as moral entities, in distinction from the ‘must’ which is addressed to the rest of creation. Such was the conception of Thomas Aquinas during the Medieval period.
8. Law has been conceived as a body of commands of the sovereign authority in a politically organised society as to how men should conduct themselves therein, resting ultimately on whatever basis was held to be behind the authority of the sovereign. So thought the Roman jurists of the emperor had the sovereignty of the Roman people developed upon him, the institutes of Justinian could lay down that

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the will of the emperor had the force of law.

9. The historical school held that a system of precepts discovered by human experience whereby the individual human will may realize the most complete freedom possible consistently with the like freedom of will of others. They deviated from the theory of as command of the sovereign.
10. In the nineteenth century, men have thought of law as a system of principles, discovered philosophically and developed in detail by juristic writing and judicial decision, where by the external life of man is measured by reason, or in another phase, where by the will of the individual in action is harmonized with those of his fellow men. The opinion is held after abandoning the then prevailing natural law.
11. The economic interpretation of law considers that law has been thought of as a body or system of rules imposed on men in society by the dominant class for the time being furtherance, conscious or unconscious of its own interest.
12. Finally, there is an idea of law as made up of the dictates of economic or social laws with respect to the conduct of men in society, discovered by observation, expressed in precepts worked out through human experience of what would work and what not in the administration of justice. This type of theory likewise belongs to the end of the nineteenth century, when men had begun to look for physical or biological bases, discoverable by observation in place of metaphysical bases, discoverable philosophical reflection.

Thus, Pound presented the long history of law or the legal institution of the time and place in universal terms through his twelve concepts of what law is in his book 'An Introduction of the Philosophy of Law'.

6.1.5 Different Schools of Law

Different schools of law have attempted to explain the nature of law with their own point of views. Main among them are as follows:

1. The Analytical School: In explaining the nature of law, the analytical school analyses the contemporary and existing laws. Jean Bodin, Hobbes, Jermy Bentham, Holland and Willoughby are prominent thinkers of analytical school. These thinkers enumerate three basis attributes of law: (a) law is the command of the sovereign, (b) force is the basis of law, and (c) Law is related with external activities of man.

The writers belonging to analytical school of jurisprudence recognise only those rules as laws which are enacted by a sovereign authority. It is purely a legalistic approach which regards the legislatures as the only source of law. The role of customs and traditions in the realm of law is summarily rejected by these writers.

These views of law expressed by the analytical jurists have been criticised from several angles. Some of them are as follows:

i) The analytical approach to law is very rigid and legalistic. In the words of MacIver, "Law is the very antithesis of command, as that term is usually understood, for command separates the giver and the receiver, separates their status always and sometimes their interest as well. But law unites for it applies no less to the legislator than to those whom

he has authority to legislate”.

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H. J. Laski also admits that, “To think the law as simply a command is even for a jurist, to strain definition to the verge of decency. For there is a character of uniformity in law in which the element of command, practically speaking, is pushed out of sight”

ii) The analytical jurists do not recognise the importance of customs and traditions in law, in spite of the fact that law making is always influenced by customs and traditions.

iii) The analytical school of thought is more conservative and is averse to progressive approach. The law has to have the element of flexibility and adaptability in order to be relevant.

2. Historical School: Writers like Savigny, Sir Henry Maine, F.W. Maitland and Sir Frederick Pollock belong to Historical School. In their opinion law is the product of historical forces. It emerges from customs and traditions through historical evolution. Its existence is independent and the state is not the maker of law. The function of the state is not to make laws but to recognise them. In the words of Savigny, “Law is the organ of folk right. It moves and grows like every other expression of the life of the people it is formed by custom and popular feeling through the operation of silent forces, and not by the arbitrary will of the legislator”.

The historical school lays more emphasis on the historical aspect of law than its philosophical aspect. The writers of historical school give much importance to the customs and traditions. To them they are the only source of law. No authority whatsoever it may be, can ignore customs and traditions. Therefore, law is not law because it is the command of the sovereign it is the law because it is based on the will of the people.

The historical school has made a significant contribution in the sphere of jurisprudence. It explains to the legal theorists that the law has to be reformed to suit the changing socio-economic environment. However, the historical theory suffers from certain defects for which it is criticised.

The historical theory has given undue importance to the historical forces. It is conservative theory and fails to recognise the importance of philosophical aspect of law

3. Philosophical School: Rousseau, Hegel, Kant and Kohler are the thinkers associated with the philosophical school of jurisprudence. It views law in abstraction and justifies the law on the basis of reason and logic. It emphasises the ethical aspect of law. Hegel defined the law as ‘the expression of passionless reason’. Inner development is the primary objective of the law. In the words of Kohler, “The juristic philosopher is as much concerned with the ideal as with the actual content of the law. Law is both the product of culture and means for furthering it”. The juristic philosophers regard the law as an ideal. They ignore the realistic approach towards law.

4. Comparative School: Herbert Spencer and Morgan represent the comparative school of jurisprudence. This school believes in deriving the best elements of various legal systems. It is comparatively a new theory. The thinkers associated with this theory suggest that there should be a scientific comparison between the legal systems of the past and present. Whatever proves to be the best must be retained and the worst should be abandoned.

The comparative school of jurisprudence is a part of historical school. It also

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emphasises the analysis of past and present legal systems.

5. Sociological School: Sociological school of jurisprudence is the most recent theory of law the prominent thinkers associated with this school are Gumplovviz. Krabbe, Roscoe, Pound and Justice Holmes. These thinkers state that law is the result of social necessity. It should be studied in social perspective. Due Weightage should be given to the social factors and response of the social segments for the objective study of law. Law is the result of social conditions. It is made to regulate social life and to meet the demands of the society. The dynamic and organic elements in the law owe largely to the social forces. According to Gettell, "In contrast to analytical jurist, who found the sanction of law in the command of the state, to the philosophical jurists who found its sanction in inherent justice and to the historical jurists who found its sanction in established habit and custom, the sociological jurists find the sanction of the law in the social needs and interests it serves." Duguit holds that the sanction of the law is psychological. Man's activity in the society is always conditioned by social sanctions.

6.1.6 Sources of Law:Formally, the state is the only source of law. Legislature is the only organ in the modern states which is constitutionally empowered to legislate, but there are some other sources of law which are as important as the legislature.

By the sources of law we mean those elements which have contributed in the making of law. Holland has described six main sources of law. They are

1. Customs	2. Religion
3. Judicial Decisions	4. Commentaries
5. Equity	6. Legislation.

i. Customs: Customs are the oldest and the most important sources of law. In ancient times, it were the customs which regulated human relations in the society. They were observed because they helped men in maintaining peaceful existence. The state had no hand in their making. They evolved gradually and were regarded sufficient in the primitive life. But complex form of human life which was the natural corollary of development of civilization, necessitated some other laws.

By legal point of view, the customs cannot become law unless they are recognised by the state though the state hardly dares to defy them. According to MacIver, "The state merely writes new sentences here and there and scratches out an old one. Much of the book was never written by the state at all, and by all of it the state itself is bound, save as it modifies the code from generation to generation. The state can no more reconstitute at any time the law as a whole than a man can remake his body." the 'Common Law' of England is based on customs and is necessary part of the legal system there.

ii. Religion: In the ancient times customary laws and religious laws were intermixed. The customs had the sanctions of the law. The ancient Roman laws were merely the religious laws. Even to day the Hindu and Mustim laws are based on religion. According to MacIver the development of Greek law explains that the ancient laws were the assets of a particular race bequeathed to it by a divine power

iii. Judicial Decisions: The diversity of customary laws in a multi-racial community was confounding. It gave rise to many disputes. The disputes mainly arose because

there was incompatibility among the customary laws. Moreover, the customary laws were found inadequate in meeting with the requirements of the complex human problems. Under such a situation, a judge, having the knowledge of customary laws and capable of upholding justice was asked to adjudicate on such disputes. His decision was to be respected by the contending parties and the decision was to be recorded for future precedences.

Judicial decisions were and remain to be an important source of law. Though in modern democratic systems, the legislatures are the constitutional organs empowered to legislate and the judiciary, only interprets or adjudicates the laws yet the judiciary is some times, confronted with certain ambiguities in the laws. To over come it, the judiciary decides and becomes an informal channel of legislation. The American Justice Holmes had said, “The judges make laws and they have the authority too. In the US A. the scope of judicial decisions, forming the part of law is tremendous. They have made the constitution an organic, dynamic and flexible document and have, to a greater extent, solved the problems arising from the rigid nature of the constitution.

iv. Equity: Sometimes, the courts are confronted with the disputes about which the law is silent. Under such a situation, the courts decide the dispute taking recourse to equity.

Here, it is necessary to differentiate between Equity and Judicial Decisions. In judicial decisions the courts interpret only the written law, but in Equity, the judges decide on the basis of their discretion and equity. The former (Judicial decision) only interprets the existing laws but the latter (Equity) creates a new law. In British legal system equity has greater importance.

v. Commentaries: Commentaries on jurisprudence by eminent jurists are some times, in a few cases, recognised by the courts as a part of law and referred to by them while delivering the decision on any issue. According to Gilchrist, “They are not authority which find, but used as arguments to convince.” It should be clear that the scientific commentaries are not law. They are only law points. The jurists give some suggestion for future on the basis of their study of past and present legal systems. They point out the short comings in the existing law. Their suggestions become law when the courts accept them. Therefore, it is necessary that the commentaries should appear very appropriate and fit to all the legal experts to be recognised as the source of law. The commentaries of Coke, Black stone, Bentham, Hall, and Kant are appreciated by the courts in Britain.

vi. Legislation: Legislation is the most important and direct source of law. In modern times, the legislative function is performed by the legislatures. The scope of legislature in the making of laws has tremendously increased. Customary and religious laws are being replaced by the laws enacted by the legislatures. In the words of Woodrow Wilson, “Custom is the earliest fountain of law but religion is a contemporary, an equally prolific, and in the same stages of national development an almost identical source. Adjudication comes as authority itself, and from a very antique times goes hand in hand with equity. Only legislation, the conscious and deliberate organisation of law, and scientific discussion, the development of its principles await an advanced stage of its growth in the body politic to assert their

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influence in law making.” In spite of the decrease in the influence of other sources of law, they do not become unimportant. They exercise restraining influence on legislation.

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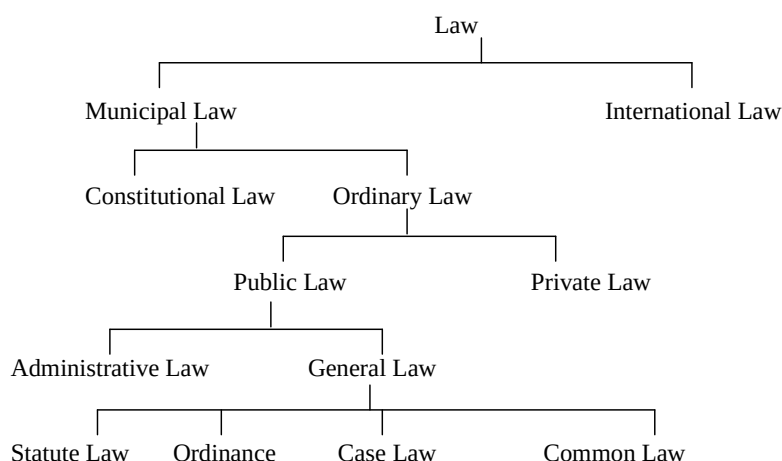
6.1.7 Classification of Laws

The jurists and eminent thinkers have classified the law differently. According to Holland law is of two types

(i) Municipal Law and (ii) International Law. The Municipal Law can further be classified in (A) Public Law and (B) Private law.

Gilchrist has enumerated six types of Laws—(i) Constitutional law, (ii) Statute Law, (iii) Ordinances (iv) Common Law, (v) International Law and (vi) Administrative Law.

MacIver has classified the Law as follows



The following are the different kinds of Law

1. **International Law:** Public International Law is the law that regulates the relationship among sovereign states in their mutual intercourse. Oppenheim defines it as, “Law of Nations or International Law is the name for the body of customary and treaty rules which are considered legally binding by States in their intercourse with each other.” International Law is a weak law as it is not enforced by any coercive authority. It is a law by courtesy. Holland regards it as ‘vanishing point of jurisprudence.’
2. **Municipal Law:** It is the law that applies within the territorial limits of a particular state. It is enforced by the sovereign and applies on all the people living in the territorial limits of the state. Municipal law regulates the mutual relations among the individuals and on the other hand the relations between the individuals and the state.
3. **Constitutional Law:** Constitutional Law is the fundamental political law of the state. It deals with questions involving organisation of state, distribution of powers and functions among various organs of state and relations between the rulers and the ruled and such other basic political questions. The constitution of a state is called the constitutional law. The constitutional law can be both written and unwritten. It can be both enacted and evolved.
4. **Ordinary Law:** All the municipal laws excluding the constitutional laws are called the ordinary laws. The ordinary laws are enacted by the legislature. Ordinary law is subordinate to the constitutional law of the state. In a state where distinction

between constitutional law and ordinary law is maintained, ordinary law has to be in consonance with the constitutional law. The procedures of amendment of the both also differ.

5. **Public Law:** Ordinary law has two kinds- Public law and Private law. Public law regulates the relations of individuals with the state. Different forms of crime are covered by the public law.
6. **Private Law:** These are the law which regulate the relations of individuals with one another. Civil laws, laws pertaining to property, sale and purchase of the property and laws regarding the business transactions etc. are called private laws.
7. **Administrative Law:** Public Law is of two types—Administrative law and General law. Administrative law regulates the behaviour of the officials in relation to state authority. They regulate the organisation and functions of the governmental officials, their powers and their relationship with the public in general.
8. **General Law:** Other laws excluding the administrative law are called the general laws. They deal with the relationship of private individual with another private individual. The state is not a party to it. It covers laws relating to marriage, divorce, contract, inheritance etc. The General law is divided into:
 - A) **Statute Law:** Statute Law is the law enacted by the legislature of a state for day to day administration.
 - B) **Ordinances:** The laws enacted by the executive under extraordinary circumstances are known as ordinances. They are temporary and adhoc. They can become permanent laws if parliament or legislature passes them.
 - C) **Case Law:** These are the laws created by the courts while adjudicating. The judges interpret the ambiguous clauses of the law with their discretion. These decisions become precedence for future.
 - D) **Common Law:** Common Laws are the customary laws. They are the results of old customs and traditions which were popular with the people. The court accepted them as parts of legal system. They are equal to statute laws in importance.

6.1.8 Law and Morality

Law and Morality are closely connected terms. Historically they are synonymous. Law was social morality enforced by the sovereign authority. References from ancient law books and scriptures reveal their inter-relationship. For example, in ancient India Dharma meant both law and morality. The ancient Greek political thinkers also used these terms to mean the something. Plato's contention that 'the best state is that which is nearest in virtue to the individual' reveals that law is not only based on morality but is itself the highest morality. Like Plato Aristotle also maintained that the sole objective of a state was promotion of morality through the system of laws. Wilson puts it as "Law is the reflection of the moral development of the state".

However, law and morality became distinct with the development of civilization. It was felt that the subjective issues like good or bad, higher or lower moral or immoral were beyond the jurisdiction of the state. They were the issue or concepts interpreted by the individuals and communities separately. The state on the other hand, became a separate political entity concerned with objective issues and expected to regulate only the external behaviour of man.

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6.1.8.1 Difference between Law and Morality

Morality encompasses the whole gamut of social relationships, individual's internal and external conduct. Law on the other hand is narrow in scope. It is not concerned with the totality of social relationships. It also does not extend to internal aspect of human behaviour. Obviously, a majority of human actions may be immoral but not necessarily illegal. Lie, envy and anger are immoral but are not illegal. No body can be punished for these. Unless a man causes a physical harm by his immoral actions, they are not illegal. A man, not violating any law by his actions, is right though he may not be moral.

The laws of morality are enforced by man's own conscience and public opinion. Neither force nor any punishment is used to enforce the moral laws. Only social condemnation and social boycott are the punishments against infringement of these laws. For example, if a man does not look after his old and dying parents he is condemned and looked down upon by the society, but the state can not punish him for the same. Law, on the contrary is enforced by the state and violation of the law involves punishment. The state may use even the force to enforce the laws.

A man's conduct is illegal only when his crime has been established in a court of law. A murderer may be declared innocent in a court of law due to the lack of evidence to substantiate his crime but he remains a sinner morally.

Law is more clear and specific than morality. Law is universal and applies on every one without discrimination. But the laws of morality are ambiguous and they differ from man to man. Every community has different concept of morality. An act may be immoral for one community but very moral for another community. Law is always uniform and has no such problem. In the words of MacIver, "There must be one legal code for all, but moral codes vary as much as the individual characters of which they are the expression".

6.1.8.2 Relation between Law and Morality

Morality represents the principles of good behavior. It deals with the principles of right and wrong. It relates to good and virtuous living. It is equal to righteousness and honesty. It is something which governs our internal actions. It is more concerned with our mind and soul than with our body. It changes from person to person and place to place and time to time. It is based not on the force of authority but on conscience and good will.

Law and morality are closely related to each other. In old days, law and morality were hardly distinguished from each other. The term 'Dharma' in India denoted both law and morality. The Greek thinkers Plato and Aristotle did not make any distinction between a political life and moral life. Good life, according to Aristotle, was the end of the State. But with the growth of the State as a distinct political organization, law came to be defined as a command of the State and thereby a distinction came to be recognized between law and morality. Machiavelli made a short distinction between law and ethics. For him, the State was not bound by the rules of private morality. What is moral and what is not moral for the State depended upon the exigencies of the State. Law today possesses a character different from that of morality.

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Law	Morality
1. Law regulates our external actions only.	Morality controls the entire life of man, his thoughts, motives and actions.
2. Political laws follow standards of expediency	Moral laws prescribe absolute standards of right and wrong, good and bad.
3. Law is based on force. Its violation is punishable by the State	Morality has no force behind. Its violation is not punishable by the state.
4. Law is precise, definite, clear and exact. It is universal and objective.	Morality is subjective. It changes from person to person. It is vague, uncertain and indefinite. Morality is based on individually.
5. In every State, there must be some authority like courts, legislature or head of State to interpret laws.	There will be no authority to interpret morality in a State.
6. Law is the subject-matter in political science	Morality forms the subject-matter of ethics
7. Law is made and enforced by the state	Morality is informed by the individual conscience
8. Laws of a state apply to the citizens living within that State only.	Morality has no territorial limits.
9. What is legally wrong is not necessarily morally wrong.	What is morally wrong is not necessarily legally wrong
10. Law is not connected with values. It is concerned with 'what is'.	Morality is related with good and just. It is concerned with 'What ought to be'.
11. Law is based on natural law.	Morality stems from human reason.

6.1.9 Rule of Law

'Rule of law' prevails in most of the countries of the world. It originated in England and later on became an accepted creed in almost all the democratic countries.

By rule of law we mean that the government and administration of a particular state is run in accordance with the law. It is not run by an arbitrary authority. No man or institution is empowered to award punishment to any individual arbitrarily. In other words all are under the law and none is over and above the law.

Dicey has specified three important attributes of rule of law. Firstly, it means that "A man may be punished for breach of law, but he can be punished for nothing else". In other words unless the accused is brought before a court and his guilt is proved and he is found guilty of breach of law, he can not be punished. No physical or financial loss can be inflicted on him. Secondly, rule of law means "Equality before the law or the equal subjection of all classes to the ordinary law of the land administered by the ordinary courts". It means that all the citizens whether private citizens or government officials

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are bound by the same law. Dicey says, "Every official from the Prime Minister down to a constable or a collector of taxes is under the same responsibility for every act done without legal justification as any other citizen". Rule of law is antithetical to administrative law which is prevalent in the continental countries.

Thirdly, the rights and liberties of the people are explained by the judicial decisions which are part and parcel of the rule of law and the constitution. According to Dicey, "The general principles of the constitution are the result of judicial decisions determining the rights of private persons in particular cases brought before the courts".

Among these rights, the right to freedom of thought and expression, individual liberty and right to organise public meetings are important. No citizen can be deprived of these freedoms unless a competent court, after giving every opportunity to the individual to defend him has found to its satisfaction that the accused is guilty of breach of a specific law.

6.1.9.1 Decline of the Rule of Law

The rule of law is an important part of constitutionalism and forms the basis of the British political system. The Indian political system has also adopted the rule of law. However, the scope of the rule of law is gradually shrinking. If the rule of law means the rule of the laws enacted by the parliament or legislature, then we will have to admit that in the day to day administration many things happen which are apparently antithetical to rule of law. The legislatures have become overburdened with enormity of the functions. A number of other causes like size, complexion, inexperience and preponderance of the executive have further limited the legislative powers of the parliaments. Therefore, the legislatures, generally, pass the broad outlines of the law and leave the details to be filled by the executive at its pleasure. It has resulted in the decline of parliamentary powers and scope of rule of law. The executive, on the other hand, has assumed more law making powers without any accountability to the people. It is regarded as an indispensable alarming trend and has been termed as new despotism.

Besides this there are certain other new developments in the political system which have further eroded the rule of law. In almost all the forms of the government, there is an apparent tendency to appoint Tribunals. The members of such tribunals are the bureaucrats or administrators. The very composition of the tribunals makes them unfavourable to the common man and there is every chance that the tribunals would have a partisan attitude.

According to Ivor Jennings the decline in the rule of law has been the consequence of changed socio-economic circumstances.

To-day the state no longer is a police state. It is not a negative instrument. The state is a positive instrument to bring socio-economic transformation. It has to regulate all the aspects of social life with an objective to develop human personality. Therefore, the welfare state should not be regarded as averse to the rule of law.

6.2 LIBERTY

Liberty or freedom is a very precious condition in a state without which individual can not develop his personality. It constitutes as one of the most important rights of man. It

is the natural instinct and is the basic thing that goes to make up the ethos of man and civilisation. Without it no one can attain happiness which is the true end of all human beings.

All the wars in the history of mankind, directly or indirectly involved the question of liberty. In the French Revolution of 1789 some eternal rights of mankind were pronounced. Among those rights, liberty was first and foremost. Even today, liberty is the determining factor of independence and slavery.

However, liberty is an abstract concept and as such it is difficult to give precise meaning of liberty. As Gilchrist writes, “Every one has a vague concept of liberty of some kind and a desire for it, but among ten people using the word, perhaps no two will be able to say exactly what they mean, or if they do say it, will agree with each other in their definitions”.

Meaning

The term ‘Liberty’ is derived from the Latin word ‘Liber’, which means free. It implies complete freedom to do what one desires to do. It is negative liberty.

6.2.1 Definitions: Some of the political thinkers has given very important definitions which are discussed in detail below:

1. **Sir John Seeley:** “Liberty is the Opposite of over Government”.
2. **H. J. Laski:** “I mean by liberty the absence of restraints upon the existence of those social conditions which in modern civilization are necessary guarantees of individual happiness”.
3. **Mackenzie:** “Freedom is not the absence of all restraints but rather the substitution of rational ones for the irrational”.
4. **Herbert Spencer:** “Every man is free to do that which he wills, provided that he infringes not the equal freedom of any other man”.
5. **T. H. Green:** “Freedom is the positive power or capacity of doing and enjoying something worth doing or enjoying and that too something we do or enjoy with others”.
6. **Ramsay Muir:** “Liberty means to secure enjoyments by individual or by associations of the power to think their own thought and to express and act upon them, using their own way under the shelter of the law, provided they do not impair the corresponding rights of others”.

6.2.2 Types of Liberty

Montesquieu says, “There is no word that admits of more various significations and has made more different impressions on the human mind than that of liberty”. However, certain types of liberty are generally accepted. They are:

1. **Natural Liberty:** Natural liberty is the synonym of licensing. It implies freedom from all restraints and social customs. The concept of natural liberty has been evolved by the thinkers associated with the Social Contract theory. They opine that man lived in the state of nature prior to the creation of the state. Man enjoyed a number of rights including the right to liberty, in this state of nature. The natural liberty, according to these thinkers, ended with the creation of the state. Man,

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according to the Social contract theorists are free by nature. ‘Man is born free, yet, every where he is in chains’. Hobbes, Locke and Rousseau thought that the Natural Liberty is that which men enjoyed in the state of Nature. With the evolution of social and political systems, the Natural Liberty came to an end. It is substituted by the Civil Liberty.

The concept of natural liberty had a great impact on the French Revolution of 1789. In later years also it exhorted the subject peoples to initiate a movement, sometimes violent, for their emancipation. Even to-day, it thrills millions of hearts and exhorts them to throw away the yoke of imperialist rule.

2. **Civil Liberty:** Liberty that enjoys in a society is called Civil Liberty. It means the liberty is the group of rights sanctioned by law to all the citizens. According to Gettel, civil liberty is a group of rights recognised and implemented by the state. State always protects through its agencies when ever any attempt is made to disturb the civil liberty by any individual or association. The state also lays down certain limits on civil liberty for social liberty and the interest of relation. Civil liberty always undergoes some changes, because man and society always change.

Civil liberty is the liberty granted by the society. In its wider meaning it is a complete set of individual right and in narrow senses it is the individual liberty beyond state’s intervention. We include security of life, ownership of property, equality before law, liberty of earning livelihood and liberty of thought and expression. All these liberties are generally incorporated in a written constitution so that the state does not violate them.

3. **Personal Liberty:** Personal liberty is the absence of all restraints from all those actions which do not infringe upon others’ liberties. It is a negative concept and is enunciated by John Stuart Mill and Herbert Spencer. Mill has divided an individual’s actions into two parts—self regarding action and other regarding actions. Mill accepts no limitations or restrictions on self-regarding actions. According to James Mill, “The sole end for which mankind are warranted individually or collectively in interfering with the liberty of action of any of their member is self protection. Over himself over his own body, mind and soul the individual is sovereign.”

Personal liberty is absence of restraint and negative in nature. No action of man can ever be exclusively self-regarding. Every action in its ultimate consequence turns out to be other regarding. If the state is empowered to interfere with the other regarding action it would mean that the state can lay restraints on self regarding actions.

4. **Political Liberty :** According to Laski “the power to be active in the affairs of the state is political liberty. Gilchrist regards political liberty as a synonym of democracy. Political liberty originates from those rights which the state grants to its citizens. There are many political rights in political liberty. They include the right to work, the right to contest in the elections, right to ruled the public offices, right to criticise government and right to petition etc., all these rights are essential for survival and success of democracy in the society. Access to these rights is political liberty. Political liberty is not an end but is a means to achieve moral life. Political liberty, according to Laski, depends on two preconditions that man is educated and the press is free. Through a free press the people have sufficient information to form the opinion. In the absence of a free press political liberty is reduced to farce.

- 5. Economic Liberty:** Economic liberty means that every one has a right to earn his livelihood. It also implies that the people should be provided gainful employment by the state. According to Laski it is “Security and opportunity to find reasonable significance in the earnings of one’s daily bread.”

Civil and Political liberties have no significance in the absence of Economic liberty, Therefore economic liberty is most fundamental of all liberties. In present times Economic liberty implies absence of unemployment, exploitation, unfair wage, substandard living, insecurity etc.

- 6. National Liberty:** National liberty means the right of a people to rule over themselves. It may also be called the absence of imperialism and colonialism. National liberty implies that every nation must have a right of self determination. A community organised on the bases of common race, culture, language and history has a right to be free from the domination of other communities and determine its own future.

The concept of national liberty became popular after the World War-I and was responsible for the emergence of independent states in Asia and Africa. Wherever there are subject nations, we may find in them a burning desire for national self-determination. This right has been recognised by the U.N.O. and incorporated in its Charter.

6.2.3 Conditions for the Realisation of Liberty

According to Laski, there are three conditions for the realisation of liberty. They are as follows

a) The first and foremost condition for the realisation of liberty is that there should be no special privileges in society. Freedom can not exist in the presence of privileges. A society having a privileged class is the very negation of liberty of other classes. Therefore, no person should inherit the privileges merely because he happens to be born in a feudal or rich family. All should have equal access to power and no one should be denied any right in the society because he happens to be born in a poor or less privileged family. The framers of the Indian Constitution were aware of this social constraint on liberty. Therefore, they incorporated certain provisions in the chapter dealing with the fundamental rights, as may facilitate the realisation of liberty. According to Laski, “Those who desire the good of all begin by the abolition of special privileges, special privilege is incompatible with freedom because the latter quality belongs to all alike in their character as human beings”

The presence of rights in the society is another necessary condition of liberty. There must be a social system where in everybody irrespective of his colour, creed, race and political belief has equal and common rights and these rights are not at the mercy of the ruling class.

There should be a responsible government which executes its functions judiciously. It should not be biased government. Laski means to say that a democratic government is the prerequisite of liberty.

6.2.4 Relationship between Liberty and Law

The writers and thinkers on liberty have no unanimity regarding the interdependence of liberty and law. Some writers say that liberty and law are contradictory. They are inversely proportionate. The More the number of laws, lesser the scope of liberty. On the other

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hand, there are some thinkers who believe that liberty and law are interdependent without a system of law in the society liberty is neither practical nor possible.

The anarchists, individualists and to some extent the socialists believe that law is the negation of liberty. The law making power of the state infringes upon the individual liberty. The anarchists contend that law is the greatest hindrance in the realisation of liberty and the state is the principal agency to destroy individual liberty. They suggest that either the state should be destroyed or its law making power is limited to the minimum. William Godwin writes that “Law is the institution of most pernicious type”.

The individualists oppose the state. They regard the state as necessary evil because it snatches away the basic liberties of man. In the words of Dicey, “The more there is of the one, the less, there is of the other”.

However, the emergence of the welfare state in modern times and with it the extension of the scopes of state activity covering all the aspects of human life has raised some doubts about the older concept. Law, now no longer, is regarded as a hindrance in the realisation of freedom. On the contrary, it is a vehicle to reach that loftier objective. Law promotes liberty in the following ways

- i) Protection from the interference by others: Society is mostly constituted of weaker people. The liberty of this weaker strata is always threatened by the rich and influential class in the society. The state has to safeguard the rights of these poor people.
- ii) Protection from state interference: The state is the very antithesis of human liberty. Whenever, the state endeavours to expand its power, man’s liberty becomes the first victim. The concern for safeguarding the individual liberties has been so great that the thinkers have devised a number of methods. One of the most popular methods is constitutionalism which means that the rights including the right of liberty be incorporated in a written constitution. They should be made inviolable and the Supreme Court should be empowered to protect these rights from executive or legislative incroachments.

6.2.5 Safeguards of Liberty

Even after acquiring liberty people must remain ever vigilant protect it from they conslaught of antisocial elements. As such liberty needs certain social and constitutional safeguards as mentioned below:

1. Enunciation of Fundamental Rights in the Constitution

Laski writes that the system of restrictions on the government is necessary to give concrete shape to liberty. The written constitution contains the explanation of government’s powers. It also creates a mechanism to check the power of the government. The fundamental rights incorporated in the constitution are therefore, the most important safeguards of liberty. It will not be out of place to inform that the fundamental rights mentioned in the third chapter of the Indian constitution are not of absolute nature. They have been subjected to a number of limitations and the courts are not empowered to exercise the right of due process. In spite of this the fundamental rights remain very important safeguard of people’s liberties in India.

2. Separation of Judiciary from Executive

Another safeguard of liberty is separation of judiciary from executive and creation

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of an independent judiciary. Montesquieu had suggested that complete separation among the branches of the government is a prerequisite of limited government. In a system where all the powers are concentrated in one organ, individual liberty becomes the first victim. The theory of checks and balances is also suggested to control the concentration of power and to create congenial circumstances for the protection of individual liberties.

3. Impartial and Independent Judiciary

To up-hold the constitution, to keep the government accountable to the constitution and to protect the fundamental rights in the constitution an impartial and independent judiciary is necessary. In the states where the judiciary is not independent the individual liberties are a farce. For example in the communist countries, judiciary is a part of the communist party and can not be trusted as a watch-dog of liberty.

4. Rule of Law

Rule of law is a powerful protective force to the liberty of people. It makes all people equal before law. By the rule of law we mean that all the citizens are equal before law and there will be no discrimination on the bases of caste, colour, creed, sex and race between man and man. The rule of law generates among us a feeling that the government is a part of the society. We begin to understand that the government is the representative which functions with certain processes and is not the master due to the powers implied in its authority. Laski agrees that the existence of privileged class in the society is the very negation of liberty. When every individual in the society is given the equal opportunity to develop his personality only then the liberty can be called real. Liberty is opposed to privileges.

5. Equality

In general, equality means to provide equal opportunity to all the people in social, economic and political activities without any discrimination of race, religion, caste, gender, community, language and region.

6.2.6 The concept of Equality

Equality is as old as liberty and is equally confusing. It is understood in many ways it has many facets, it can not be described easily and its contents define clear and precise definition. In popular parlance equality implies complete equality between man and man. It is wrong, According to Appadorai, "The statement that all men are equal is then, as erroneous as that the surface of the earth is level." Inequality appears to be more natural than equality. Men are unequal in their bodily proportion, strength, intellect and capacity. To assume such an equality is absurd.

To some, equality means equality of opportunity and absence of discrimination between man and man on the basis of birth, race, colour, creed and sex. Some include social equality and economic equality in defining equality. According to Sartori, "equality has so many facets and so many implications that after we have, examined it from all angles we are left with a feeling of not having really mastered it."

Equality is fundamentally a levelling process. It means that all men are politically equal and entitled to participate in the political processes on the basis of equality. There shall be no privileges to any class and all will be equal before law. According to Laski,

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“Whatever rights inhere in another by virtue of his being a citizen must in here and to some extent, in me also.” In other words liberty implies that all men must have equal rights. If one man has been deprived of some rights conferred to others as citizens then it would amount to referring equality to the man. In its negative meaning equality means the absence of privileges to some class. In positive meaning it implies that every individual should be given equal and adequate opportunities. Just opportunities does not mean equal opportunities. Since every individual is different from another, he requires different types of opportunities. Therefore, equality would mean extending such opportunities to the individual as may help him to develop his personality.

Therefore, equality involves, first of all, absence of legal discriminations against any one individual, group, class or race. In the second place it means the equal opportunities to all and finally it confers among all the right of education, house, food and other rights.

6.2.6.1 Kinds of Equality

Lord Bryce has enumerated the following aspects of equality

1. Natural Equality
2. Social Equality
3. Civil Equality
4. Political Equality
5. Economic Equality

1. Natural Equality: It implies that all men are born free and equal and are endowed with equal gifts and talents. It also means that the state should play a positive role to do away with inequality. It should not be a mute spectator to the operation of jungle laws in the society.

2. Social Equality: It means that all citizens are equally eligible to enjoy various opportunities in society. It also implies absence of privileges. All the Communities and functional groups in the society are equal and no one is inferior to another. Whenever, there exists superior inferior relationship between different social groups, it denotes social inequality.

The social equality can be enforced by law. It depends, to a large extent, on the degree of political development and modernisation. The backward societies ridden by casteism, communalism and racialism are unequal societies.

3. Civil Equality: Civil equality implies the availability of all the civil rights to all the citizens without any discrimination on the bases of caste, colour, creed, place of birth, religion and sex. There is equality before law and every citizen gets the equal opportunity to develop his personality.

Rousseau -“It is main goal of a civilised society to provide equality before law to all the people. If the safeguards provide by law and punishments are equal to all the people it means the prevalence of civil equality. Civil equality can be achieved when laws and judiciary are unbiased. The idea of civil equality is inherent in the modern society and states.”

4. Political Equality: Political equality means democratic rights. Political equality implies that all citizens should have political rights and should have equal access to

all offices of authority. It means universal adult suffrage, rights to form a political party, lead a political agitation, right to be elected and access to any office of authority on the basis of qualifications.

5. **Economic Equality:** Economic equality is more important in opinion of Lord Bryce. Economic equality means removing the differences in the distribution of wealth and an attempt to provide things equability to men and women.

Economic equality is to be considered to be the hall-mark of true democratic states in modern times. All other equalities depend on this equality. Economic equality implies that economic causes do not become a hindrance in the way of development of human personality. It implies that all the citizens should get economic minimum so that they develop their personalities unhampered. The means of production, consumption and distribution be so arranged that they are not concentrated in the hands of a particular class. The state should create a society where there exists no exploiter and exploited. Adequate scope of employment, reasonable wages, adequate leisure and other economic rights create economic equality.

6.2.7 Relation between Liberty and Equality

The values of liberty and equality attained much significance in the establishment of modern state. There is close relationship between liberty and equality. Lord Acton felt that if more significance were to be given by individuals and state to equality, there is every scope for liberty to lose its grounds. In his words, *“the passion for equality makes vain the hope of freedom”*. Those individuals aiming at more and more liberty do not like the intervention of government in public affairs. This gave birth to the theory of Laissez Faire with serious results.

Liberty is a condition of equality and vice versa. Liberty without equality is a license and anarchy and equality without liberty will be slavery. However, there is no unanimity among writers regarding the relation between equality and liberty. Some say:

1. **Liberty and Equality are Contradictory:** Lord Acton maintain that liberty and equality are incompatible. More there is liberty less there will be equality. According to Lord Acton, “The passion for equality made vain the hope for freedom.”
2. **There can be no equality without liberty:** The opinion that liberty and equality are contradictory is wrong. De Tocqueville and Lord Acton had a wrong conception of liberty. They accepted the negative liberty. The unrestrained liberty, obviously creates economic and social inequality. Liberty, as we have already explained, is not the absence of restraint. It is regulated in the interest of the society at large. Each individual in the society has to be given some opportunity to develop his personality.

Obviously, some restrictions on individual liberties become necessary. Restrictions on the stronger ensures the liberty of weaker and restrictions on the rich ensures the liberty of the poor. “The liberty of the weak depends upon the restraint of the strong; that of the poor upon the restraint of the rich.” Every man should have this liberty and no more, to do unto others as he would that they should do to him therefore liberty implies that no body in the society should be at the mercy of another and every body must get equal opportunity to develop his personality. There can not be equality unless people fully enjoy their liberty.

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3. **Liberty is meaningless without Equality:** Liberty without equality is a farce. Civil liberty can only be enjoyed when all are treated equal before the law. Political liberty implies equal status for all and admits no discrimination on caste, colour, creed, religion, place of birth and sex bases. Economic inequality is the negation of political and civil liberties. In an unequal society there can not exist any liberty. In the words of Pollard, "There is only one solution of the problem of liberty and that is equality."
4. **Both Liberty and Equality have the same goal:** Liberty and Equality are closely related. Both have the same goal which is the development of human personality. Without liberty there can be no equality and vice versa. The welfare of the whole society, is dependent upon the common level of liberty and equality.

6.3 THEORIES OF RIGHTS AND KINDS OF RIGHTS

The existence of the rights and duties is inevitable for the all round development of the individual in democratic countries. There is an innate relation between rights and duties. The rights are not intended for the selfish ends of the individual. The rights are no other than a form of responsibilities which all the individuals should bear for the welfare and progress of the society. Every individual in the society must recognise and respect the rights of the fellow individuals. He must understand that others also must enjoy such rights whom he intends to have. When the rights enjoyed by the others are very much similar to his rights, no individual should cause hindrance to others rights. If the citizens fail to mutually respect the rights of one another social life becomes a problem. Rights are essential for the all-round development of the individual and the progress of the society.

Meaning: Rights are essential conditions of our social life there are necessary for the overall development of human personality. There are external conditions. Rights define the position of the individual in a state. They offer a positive purpose to the state. The rights are not a real right unless recognised by the state. Recognition by state, therefore, is necessary for the existence of rights.

Rights are essential conditions for good life in society. They help in the all round development of people and their personality. Rights are those conditions of social life which man cannot be at his best or give of his best or what is needful to the adequate development and expression of his personality. Political thinkers defined the term 'Right' vividly as given below:

6.3.1 Definitions

Wilde-"A right is a reasonable claim to freedom in the exercise of certain activities."

Barker-"Rights are the external conditions necessary for the greatest possible development of the capacities of the personality."

Laski-"Rights are those conditions of social life without which no man can seek, in general, to himself at his best."

Basanquet-"A right is a claim recognized by society and enforced by the State."

Gray-Right is "that power which a man has to make a person or persons do or refrain from doing a certain act or certain acts, as far as the power arises from society imposing

a legal duty upon a person or persons.”

Herding-Rights are “legally protected interests.”

Salmond-”A right is an interest recognized and protected by rules of right, that is, by legal rules.”

6.3.2 Nature of Rights [Features of Rights]

1. **Right is a condition or a disinterested wish:** Rights are necessary for the well-being of an individual. A right is not a selfish claim. Hobhouse says, “rights are what we may expect from others, and others from us and all genuine rights are conditions of social welfare.” A right is a disinterested wish. A disinterested wish of the individual acts in the best interest of everyone. It is also recognized by one and all as quite legitimate and essential.
2. **Rights can be enjoyed only in the society:** Rights implies that the individual good could be realized along with the common good. No person can enjoy rights outside the social life. A right is what an individual can have from others. Hence, there is no question of having anything when a man is alone. Outside organized society, rights become ‘hopeless abstraction’. Our rights are not independent of society as they are inherent in society.
3. **Rights are claims recognized by the State:** Hobbes and Bentham define rights as claims recognized by the State. All the rights conferred upon a citizen at a given time depend upon what the laws prescribe. We know for certain what are our rights we have our rights because we are members of the State and the State recognizes them. Laski says, “Rights are prior to the State”. The State does not create rights, it only recognizes them.
4. **Every right has a corresponding duty:** Rights imply duties. Rights and duties are like two sides of the same coin. Laski says, “he that will not perform functions cannot enjoy rights, any more than he who will not work ought not to enjoy bread.” Performance of duty becomes obligatory for every member of society, and failure to do so, will be visited by a penalty. Rights cannot be enjoyed without performing duties.
5. **Rights have limitations:** No right is absolute because when a right enjoyed by the individual causes inconvenience or danger to the peaceful and normal life in the State, restrictions may be imposed.
6. **Universality:** Rights are universal in their nature. When they develop the individual’s personality, they must be provided to all the citizens irrespective of caste, colour, religion, race, language, region or sex.
7. **Utility is the basis of rights:** Rights involve the question of utility. Any right should be useful to all or should benefit one and all. Laski says, “the utility of right is therefore its value to all the members of society.” Just because an individual is granted he cannot use them as he likes. For example, the right to freedom of speech cannot be a means to spread rumours or scandals. The moral development of the individual must be the aim of rights.
8. **Rights are correlated with functions:** Every person must contribute to the society through the performance of certain functions. No person can act unsocially. Laski says, “Function is thus implicit in right, in gratitude to the conditions provided by the

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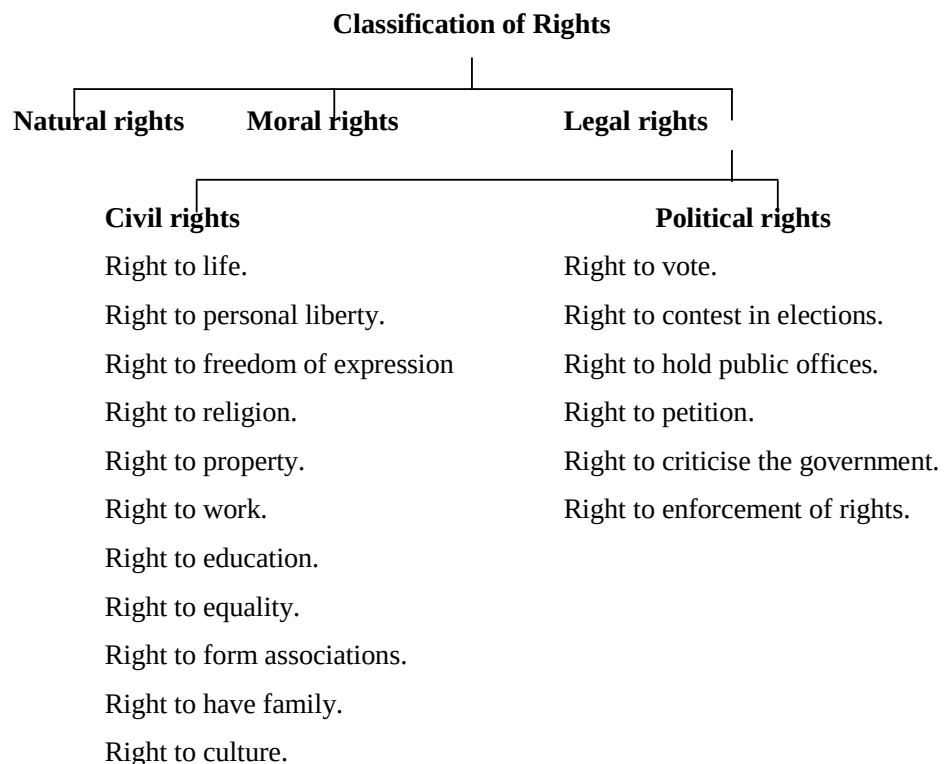
State the individuals should make a contribution that enriches the common stock.”

9. Rights change from time to time: Rights once enjoyed by only some people are enjoyed now by all. As society changes and the nature of State also changes, rights once not recognized, have been extended. Women did not have equal rights with men at one time. But, now the situation is altered. Rights are not permanent. They change according to the changing conditions society.

10. Democracy upholds rights: Rights can be enjoyed in democracy only. Liberty is the theme of rights and it is an important ideal of democracy. Dictators expect the citizens to perform duties only and give greater importance to the nation than to the individual.

Laski states, “any system of rights, therefore, has three essential aspects from which it must be regarded. There is the interest of the individual, always, at least ultimately, finally isolated from his fellow men. There is the interest of various groups in and through which his personality finds channels of expressions. There is the interest of the community which is the total result of the whole preserve of social force.”

6. 3.3 Classification of Rights



I. Natural Rights

Natural rights are those which man gets with his birth from nature. Men have been enjoying these rights since the inception of the society. The society and the State recognise and respect them. The theory of Natural rights was first enunciated by the Greek Philosopher Hugo Grotius. Hobbes, Locke and Rousseau called contractualists, who expounded the theory of social contract gave a detailed explanation and analysis of Natural rights theory.

The essence of the Natural rights theory is that only men conceded some rights to the civil society. Man enjoys natural rights without reference to society and State. Right

to life is the most important of all rights. The declaration of American Independence was based on the theory of Natural rights.

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II. Moral Rights

These rights are morally ascribed to men in society. The ethical principles in the society are the basis for the moral rights. Moral rights do not have the support of or protection from laws in the State. But these rights are supported by society and any violation results in punishment by it. The State cannot neglect the moral rights for a long time. The laws made by the State have to invariably recognise the moral rights respected by the people. If the State fails to recognise moral rights consolidated in society, the people may rebel against it. Such rebellions may take the form of a revolution.

III. Legal Rights

Legal rights are those recognised by the State and protected by the law. The courts of law protect the rights provided by State without being disturbed either by government or individuals or other associations. Legal rights are equally applicable to all without any discrimination on the basis of caste, religion or race. There will be some changes in the legal rights as per the changes in the needs of society.

Legal rights are two types

1. Civil rights and
2. Political rights.

1. Civil Rights

The main aim of the civil rights is to provide the basic conditions to lead a happy social life. These rights create social conditions needed for the protection of the life and property of the individuals. The civil life is possible only with these rights. The following are important civil rights.

- i. **Right to life:** This is the most important among civil rights. One has to protect his life to enjoy civil rights. This right means that one has necessarily to live and must not commit suicide. Due to this right, the people can protect their lives from aggression by others, even by brute force in extra-ordinary conditions.
- ii. **Right to personal liberty:** Every citizen in the State wants to be independent. Right to personal liberty provides such opportunity. This right also provides the liberty and freedom to enhance his talents and efficiency and also to discharge his duties towards the society. The government may place certain limits on this right. For instance, restraints on civil rights were imposed in India in 1975 during the period of National Emergency.
- iii. **Right to freedom of expression:** This right is the most valuable of all the civil rights. This provides scope for the individuals to express their opinions mutually, freely and without fear. The freedom of speech and freedom of press are included in this right. The press makes the people dynamic by influencing their opinion. All the democracies recognised this as the most valuable right. This helps for the success of democracy.
- iv. **Right to religion:** Right to religion is one among the civil rights. Most of the modern States are secular States. It means they follow a policy of neutrality towards

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religion. States have no discrimination on the basis of religion. All the religions are treated alike. The States do not have any official religion. The people can follow any religion as per their wish. They can embrace, follow and preach any religion or give it up. It means people can have complete freedom of religion. But, this freedom must not turn into fanaticism and express disobedience to the government. The citizens must have religious tolerance and they must respect and try to understand the other religions. The Indian constitution provided the right to freedom of religion and declared itself a secular State.

- v. **Right to Property:** This is another important civil right. Property is very much essential for a happy life. As a result of this right, every individual enjoys the freedom to acquire, enjoy, donate and sell away the property by all legal means. This right provides happiness and security to the individuals. But recently, there are certain criticisms against this right. The socialists think that the right to property makes equality impossible and hence it should be removed. The communists argue that the society will be bifurcated due to the right to property and hence it must be abolished. Most of the countries imposed restraints on this right.
- vi. **Right to work:** This has a respectful place in the modern States. This right provides opportunities and facilities for an individual to live. An individual cannot be perfect if he were to be denied of the right to work. This right provides opportunity to lead civilized life and to get wages proportionate to work. This right decides the working hours per a day. The government has every responsibility to see that every citizen is provided some work and gets the proportionate wages as per his work. By this right every individual will have scope to better his life by acquiring the minimum needs of food, clothing and shelter. All the modern States are trying a lot to provide work to all their citizens.
- vii. **Right to Education:** In the present State, there is every need for each individual to be educated. Education promotes etiquette, good behaviour and humanism. Education provides opportunity to every citizen to be educated as per his capabilities and efficiency. All the democratic States are giving significance to right to education. If the citizens are educated, democracy can be fruitful.
- viii. **Right to Equality:** All individuals are equal by birth. The natural differences cannot be called inequality. Equality means no discrimination in the State, between individuals, groups, sections or tribes, as per law. Right to equality indicates equality. All the democratic States function on the basis of equality. State provides all the people security and equal opportunities. The State must not discriminate citizens due to the differences in caste, religion, community and gender. The right to equality is mentioned as one of the fundamental rights in the constitution of India. On this basis, all the citizens of India are treated equally by the State.
- ix. **Right to form Institutions and Associations:** The individuals have the right to form the institutions and associations as per their need. Society includes different associations, social, economic, cultural and religious. Man cannot achieve much by simply being a member of the State. He can achieve integrated development and blossoming up of personality by being the member of different associations. That is why, the citizens have to form institutions and associations. All these institutions

and associations function under the control of the State.

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- x. **Right to family:** This civil right provides opportunity to have one's own family. Family is the first stage in the evolution of human society. Family is the basic social institution. Man can have family through the sacred bond of marriage. This right provides scope to marry, bear children and form a family. State controls this right when it is used for anti-social purposes.
- xi. **Right to contract:** The right of individual to enter into a contract with another individual or groups of individuals can be called right to contract. Right to contract is basic for social life. This right strengthens the trade and commerce. The State recognises this right and regulates the same.
- xii. **Right to culture:** Due to the right to culture the individuals can protect their language, script, culture and customs and traditions. By this right everybody can protect his own culture. This right also helps to promote unity in diversity on the basis of their cultures. The cultures of the minorities also survive along with the cultures of the majority. A cultural synthesis between the major and minor groups makes national integration easy.

2. Political Rights

The political rights are as important for political life, as the civil rights to the civil life. The political rights are very much significant in the democratic countries. The sharing of the people in State rule and activities of the government is possible only through the political rights. Political rights create political consciousness among the people. As a result, the representative government becomes a good one giving happiness to the people. The six types of political rights are detailed below.

1. **Right to Vote:** Almost all the modern States are democratic States. The right to vote originated in democracy. Every adult citizen and take part in the formation and running of the government, directly and indirectly, without discrimination of caste, religion, community and gender. There is much importance to this right in democracy. Democracy, whether direct or indirect, forms the government on the basis of adult franchise. Adults mean women and men who cross certain age limit. This age limit is decided differently in different countries. For instance in India those who cross 18 years of age are considered to be adults. They have the right to vote. Formerly this right to vote was limited only to some or to a few sections in States. But now in the modern States it is universal adult franchise in practice.
2. **Right to contest in elections:** Right to contest in elections is another parallel right that exists for the survival of democracy. It is another necessary right to the citizens. The main aim of this is to provide opportunities to all the citizens without discrimination on the basis of race, religion, caste, section, community and gender to contest in elections and become representatives of people in legislatures. The State prescribes certain minimum qualifications to enjoy this right. The citizens can contest in elections subject to this condition.
3. **Right to hold public offices:** This is another political right in a democracy. The main aim of this right is to provide all the citizens without discrimination, opportunities to hold public offices involved in State administration at different levels. All persons

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either rich or poor are qualified to hold these positions. But efficiency and education are the only basic qualifications. Due to historical and social reasons, the governments of some States provided special opportunities to certain sections. For instance the Government of India provided reservations to the members of scheduled castes, scheduled tribes and backward classes as a temporary measure.

4. **Right to petition:** There is a scope for the people in the modern States to represent their problems and inconveniences to the government through petitions. This is called as the right to petition. By this right people can get their problems solved by representing to the government either individually or collectively. The democratic government cannot afford to neglect the necessities and desires of the people. Democratic governments can progress only by knowing and satisfying the needs of the people. In direct democracy, a prescribed number of people can propose legislation to the government directly. It is called as initiative. In the representative or indirect democracy, the problems are presented to the government through their respective representatives to the legislature.
5. **Right to criticise the government:** In every democracy there must be scope for reasonable and constructive criticism. Then only, the Government can vigilantly discharge its duties. It strengthens the system of democracy. According to J.S. Mill, the government can behave responsibly when there is a scope to criticise the government. This criticism can also be found in the civil rights like freedom of speech and freedom of expression. The governments can rectify its errors on the basis of such criticism and function more efficiently in discharging duties.
6. **Right to enforce rights:** All the civil and political rights remain meaningless, if there is no right to enforce rights. The citizens can move the courts of law to implement the fundamental rights enshrined in the Indian Constitution. The Higher courts of law take action through directives, orders, writs like Habeas Corpus, Mandamus, Prohibition, Quo Warranto and Certiorari to implement the fundamental rights.

6.3.4 Fundamental Rights

Even though the rights, which came into existence for the social welfare, can change as per the place and time, there are certain rights which cannot change under ordinary circumstances. If such rights are not there, the life of the individual becomes difficult and meaningless. That is why, the constitution of every country mentions certain rights as fundamental rights. Even though most of the countries in modern times are democracies with the rule of the majority, at times, the interests of the minorities are neglected. The fundamental rights protect the minorities in such cases from the majority government. Security is provided through courts of law. The courts of law protect the fundamental rights from the narrow party-politics. The framers of the Indian Constitution included the fundamental rights in the constitution and achieved the political purpose. The fundamental rights are included in the constitution with an aim to achieve unity in diversity and to provide security to the minorities racial, religious and linguistic.

There are **six** fundamental rights in the constitution of India. They are

1. Right to equality

2. Right to freedom
3. Right against exploitation
4. Right to freedom of religion
5. Culture and Educational rights
6. Right to have constitutional protection.

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Formerly, the right to property was one among the fundamental rights. But later it became one among the ordinary rights.

6.3.5 Theories of Rights

6.3.5.1 National Theory of Rights [Theory of Natural Rights]

The theory of natural rights is considered to be the oldest theory of rights. The exponents of this theory are John Locke and Thomas Paine and advocated by the authors of social contract Hobbes and Rousseau. The liberal scholars of 17th and 18th centuries have supported the theory of natural rights. The theory of natural rights also influenced the French and American revolutions. The natural rights are pre-political and pre-social. Its base was essentially non-justice.

According to the theory of Natural Rights, rights come from nature and are not created by any human agency. Rights are built on the law of nature, which is universally accepted. Cicero says, "Civil law should conform to the law of nature that is universal, national, eternal and immutable."

Natural rights pre-exist in the individual. It means rights are sanctioned not by law of the State but by the moral consciousness of the community. Giddings says that natural rights are socially necessary forms of right, enforced by natural selection in the sphere of social relation.

Thomas Paine says that the rights to 'liberty, property, security and resistance to oppression are based on natural rights. Herbert Spencer argues that the process of evolution shows that all men have the fundamental right to equal freedom, which enables them to do what they want. Such right comes from nature and not from any human agency like the State.

The theory of Natural Rights has played a very important role in the history of human development. It goes back to the Greek and Roman times. The Stoic philosophers spoke about natural rights and their writings influenced Rome. Cicero in Rome was a staunch supporter of the principle of natural law. He declared that the rights are the product of law of reasoning which promoted universal brotherhood. The theory played an important role in 17th and 18th centuries.

Locke, the greatest champion of the theory of natural rights says that nature has made all men free and rational. It has given him rights like right to life, liberty and property. The individual enjoyed the rights in the state of nature, that is, before the political State was born. These rights were called natural because they did not depend for their validity on the recognition and enforcement by the State.

According to the social contractists, the State originated to protect their rights. In their view, the existence of rights is sanctioned not by the law of the State but by the moral will of the society. Individualists also believed in the theory of natural rights. The

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sociological thinkers have given a sociological interpretation to the concept of natural rights. According to them, natural rights are those freedoms of man which are conducive to the most effective functioning of society. In modern times, Dworkin's thesis of fundamental right is similar to that of the theory of natural rights. According to Dworkin, the rights are found in guarantees of due process and equal protection, which call for respect, fairness and equality. According to him, 'Fundamental Rights' represent the promise by the majority to minorities that their views on this will be respected.

Natural rights have been used in three different contexts. In the first context, it is used in the sense that these are the rights which an individual enjoyed in the state of nature. In the second context, the rights are natural to man and are inherited by him. They are parts of his life and require no elaboration or justification. In third context, it is used in the sense that the rights are based on the law of nature. Their validity is natural and requires no elaboration or ration or human enactment. In all the three contexts, one thing is very clear that natural rights are treated as birth right of a man and that no social and political institution should destroy them.

The theory of natural rights contains a large amount of truth. It is proper to interpret that natural rights stand for those rights which work for man's good and create opportunities for his development. This theory holds that natural rights are necessary for man's ethical and moral development. In this concept the natural rights theory is very valuable. It became very popular in upholding the freedom of individual against the authority of State.

Criticism

The theory is criticized on the following grounds

- 1) The theory of natural rights is very vague and it is difficult to give a precise meaning of the term 'natural'. Different writers give different interpretations to natural rights. It is also not practicable to make a list of all natural rights on which all political thinkers agree.
- 2) It is not correct to think that rights are independent of society. There is no possibility for rights to exist without society.
- 3) The theory ignores the importance of State as a source of rights.
- 4) Natural rights conflict with each other. For example, liberty and equality oppose each other, though they both are natural rights.
- 5) Rights are not static. They keep on changing with the changing social needs.
- 6) The theory of natural rights lays undue emphasis on the "state of nature" and ignores nature of rights.
- 7) It is believed that the natural rights are absolute in nature. But in actual practice, no right can be absolute. Each right has a corresponding duty.

6.3.5.2 The Legal Theory of Rights

The legal theory of rights was propounded by Hobbes, developed by Bentham, Austin, Holland and supported by Ritchie and Salmond. Legal theory of rights says that the State is the source of all rights. According to this theory, rights are not the gift of nature. Rights are the creation of the State, and are whose member-brings rights to

man. They emerge from the State and are maintained by the State. The State makes laws and laws create rights. The individual owes every right to the State and has right against the State. Certain rights are incorporated into the Constitutional law of the land and such rights are called 'fundamental rights'.

The main features of the legal theory of rights are

- 1) Since the State is the only source of rights, the rights are not prior or anterior to the State;
- 2) The State provides a legal machinery to guarantee the enjoyment of the rights accorded by it; and
- 3) Rights are dynamic. Whenever the content of law changes, the substance of rights also undergoes a change.

Criticism

- 1) All rights are not derived from law. Law only protects the rights which are based on religion, customs and justice.
- 2) State is not creator of rights but, it only recognizes them.
- 3) The theory does not explain whether the State is right in giving certain rights and ignoring others,
- 4) It leaves the individual at the mercy of the State. It makes the State absolute. Man has rights against State too.
- 5) Individual liberty may be curtailed in the name of public welfare.
- 6) Man enjoys rights not only as a member of the State but also as the member of other numerous associations.
- 7) Pluralists argue that membership of the State also does not confer rights on the individuals.

However, rights are effective only if they are supported by the State through laws. The State will support only such rights which are recognized by it.

The theory of Legal Rights consists of two sub-theories namely, (i) the will-element theory of rights and (ii) the interest-element theory of rights. The will theory says that the purpose of the law is to allow the free expression of the citizens will. Austin, Holland, Pollock and Vinogradoff define rights in terms of will. The other theory is that propounded by Ihering. He defines legal rights as a legally 'protected interest.'

6.3.5.3 The Idealist Theory of Rights [Personality Theory of Rights]

The idealist thinkers such as Kant and Green say "rights arise from certain claims which originate in the consciousness of man." It says that the state recognizes only those rights which are moral and which promote the social welfare. Rights are based not on laws but on morals. Rights are regarded as essential for the internal progress of man and they help for human perfection. Man is rational dual and aims at the welfare of himself as well as the whole group, even if man cannot be believed to be objective all of a sudden experience makes him to be accommodative and sociable. Thus, the real will of the society comes out gradually from the real will developed by the individuals. The theory is also called 'The Personality Theory of Rights'. It considers that the supreme right of

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every man is the right of personality. Perfection of personality is the end and in order to achieve this end all rights are directed and subordinate to it. The theory links rights to moral development of man and looks rights essentially from ethical point of view. Without these condition conditions it is not possible for the individual to live and realize his full stature. These opportunities or rights are to be enjoyed by the individual and society. Hence, they are to be understood in a social context. Just as the individual wants to develop his personality, others in society also have the same aim and, therefore it is implied that rights in a society and the rights of individuals should be in harmony with those of other rights and are to be linked with the individual good and the common good of all.

The idealist theory of rights discloses three important facts

- 1) Every right has a corresponding obligation, i.e., an individual's right of self development should not interfere with the right of development of others.
- 2) The rights arise in society; they are inherent in the nature of man which is to will his own good. To will his own good implies the good of others also since an isolated good of the individual is not possible.
- 3) Individual rights are subordinated to the fundamental rights of man's perfection. The society should see that the enjoyment of man's rights helps him to attain the perfection of his personality. If anyone of his rights does not help him towards reaching the end, society can deprive him of the enjoyment of that right.

The German idealist philosophers supported this theory. T.H. Green (1836-1882), an idealist thinker of England is the champion of this theory.

6.3.5.4 Green's Theory

According to him, State represents the natural growth with an ethical end. The State is the product of human consciousness. The aim of man is self realization and the primary means to achieve this end is freedom. However, the individual does not merely will his own good. He also wills the goodness of society as a whole. It involves a system of rights because each claims from others and in return recognizes in others the power of pursuing ideal objectives. Rights of individuals are not a result of any contract. But, they interest the individuals only as members of society which gives its recognition of each right. Thus, society which represents the sovereign authority is based on the consciousness of a common end. Therefore, it is common consciousness that creates both rights as well as sovereignty. The national basis of a State is will and not 'force' though the State uses force to ensure rights and to create freedom which is necessary for the fulfilment of the moral end in society.

T.H. Green says that rights are powers necessary to the fulfilment of man's vocation as a moral being. A right is the claim of an individual to will his own ideal objects. It arises from the self-consciousness of an individual. No one can have a right except in society.

The characteristics of Green's Theory of Rights are

- 1) Rights are created by the moral consciousness of the community and enforced by the State.
- 2) The rights may be termed as natural in the sense that they are necessary and

indispensable means to an end which every rational and moral being should pursue for the fulfilment of his vocation in a rationally constituted society.

- 3) The rights ought to be recognized by a society, that is properly organized on the basis of goodwill.
- 4) The natural rights are broader than the actual rights for the natural rights having the sanction of the society's law never square with an ideal system.
- 5) The State does not create rights, it simply enforces and protects them.

Criticism

- 1) Personality, being a subjective idea, no universal list of rights can be drawn on its basis.
- 2) It errs when it makes personality the basis of rights as rights can be drawn on its basis.
- 3) This theory is not clear because the conditions supposed to be aiming at the moral perfection of the man cannot be assessed.
- 4) Customs can stand in the way- of rights. Custom is not always right.
- 5) The idealist theory of rights is very vague and objective standards cannot be applied.
- 6) The theory emphasises that elementary rights of all must be the same. This theory is unreal because elementary rights cannot be the same.
- 7) It curtails individuals' freedom because it describes the State as an absolute institution.

6.3.5.5 Historical Theory of Rights

Edmund Burke is the chief exponent of this theory in modern times. According to this theory, rights are the result of historical evolution. Burke believes that whatever man enjoyed in the past are his rights. He holds that rights are systematization of customs. A custom which people go on following generations after generations becomes a customary right and this provides a basis for law. To the primitive man custom was unwritten law. In the course of time, men evolved certain usages, traditions and customs for the common good and these, in an unwritten form, became the basis of law, which gave rights to the individual in actual written form.

Criticism

Historical theory is defective as all laws are not products of history. Certain rights are created by law and they do not have history as the source of their origin. Many customs are not liked by the generations and thereby they cannot become the rights. Customs such as slavery do not always make rights. Rights are dynamic. Rights change with the fact of time and place. If the right is always in relation to custom, reforms in society would become. impossible. In conclusion, we can say that history as such is not the only basis of rights and customs do not provide an absolute right or standard. But, long customs (claims) are converted into rights over a period of time when they are useful in the dynamic sense.

6.3.5.6 Liberal Theory of Rights

Liberal theory is the theory of liberty. Liberty is derived from the latin term 'liber' which means freedom. The liberal theory called 'liberalism'. This theory is based on the

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contributions of John Adam Smith, John Locke, Jermy Bentham, (classical liberal thinkers), J.S. Mill, T.H. Green, F.H. Bradley, Harold J, Laski (modern liberalists)

According to Prof. Laski, "Rights are those conditions of social life without which no man can seek in general to be himself at his best." Rights are necessary for the well being of an individual. Laski says, "Rights are prior to the State." The State does not create them and only recognizes them.

Rights involve the question of utility; The State has to take into consideration in interests of the individual liberty.

According to Austin, liberty and right are synonymous. Where there are no duties, we have what is known as liberty. Liberty really is absence of restraint. Liberty requires protection from obstruction and this protection is equivalent to a conferring of a right.

Hohfeld distinguishes the freedom which a person has to do or not to do with a privilege which may be called 'liberty'. According to Hohfeld, privilege means the freedom which a person has to do or not to do something law cannot interfere in case of privilege.

Rights and liberty are not the same. Liberty implies 'absence of restraint', right on the other hand, implies a duty case on another person who must not disregard the right. A 'right' involves something to be done or abstained by another person for the benefit of the person with the right 'Liberty' on the other hand, carries the idea 'that the person who enjoys the liberty can by himself do or abstain from doing what he has the right of doing or abstain from doing. In a 'right' the action or the forbearance comes from the one who is burdened to satisfy the right. But in a 'liberty' there is no one else who has to carry out the act or abstinence it is enjoyer of the liberty who is himself to act or abstain. The rights are inclusive 'liberty' which are what one may do for himself.

If X has a right or liberty to do a thing it means that others generally shall have 'no right' to prevent X from exercising his right or liberty.

According to liberal theory of law, everyone has freedom or liberty to do whatever one likes to do. As long as one's actions do not interfere in others' affairs, no one has any objection. Man by nature is capable of conducting himself good, and is sympathetic towards others and is accommodative.

According to liberal theory, man is natural and liberal. Man develops through experience. Property is extension to human personality. The State came into existence because of human efforts and to protect life, liberty and property. Law and order is the main concern of the State and thus the State cannot interfere in the matters other than the protection of life, liberty and property. Locke's liberal theory emphasizes on individuals' liberty from the excessive or coercive authority of the State.

As per liberal theory, freedom of the jungle cannot be the real freedom. The liberty of man in the state of nature was no liberty at all. Liberty is possible in the civil state only where man enjoys rights and obligations.

According to liberal theory of rights the rights that are essential for personal freedom and liberty are right to life, right to personal liberty, right to freedom of thought and expression, right to property, right to freedom of conscience, right to equality, right to association, right to family life and right to education.

Nobody should interfere with a person's particular style of living especially when they

do not run counter to the existing social norms or modes of social behavior, or morality. State should protect these rights to protect the persons' freedom or liberty.

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6.3.5.7 Social Welfare Theory of Rights [Laski's Theory of Rights]

The Social Welfare Theory of rights was popularized by the utilitarians, namely, Bentham and Mill during the later half of the 19th century. Roscoe Pound (1870-1964) and Chafetz too supported this theory. According to the social welfare theory, rights are conditions of social welfare. They are the creation of society. Conditions which make the individual and society happy are rights and they should have precedence over customs, ways, traditions and natural rights. The theory looks rights solely through the angle of social welfare. It points out that rights are created by the society and are aimed at realizing social welfare. Since rights are conditions of social welfare, law, customs, usages, traditions and natural rights, should all yield to what is socially useful or socially desirable. The exponents of the social welfare theory of rights set up the principle of the greatest happiness of the greatest number as the criteria by which to judge what ought to be.

Laski's views

Laski says, "Rights are the sum total of the opportunities which ensure an adequate development and expression of an individual's personality." Laski attaches great importance to human rights. As a liberal, he is a great exponent of individual liberty against the State. As a socialist, he believes in the creation of a just society based on social and economic equality. He pleads for a decentralized system of Government as a necessary condition for adequate conception of rights.

According to Laski, every State is known by the rights it maintains. Rights are the conditions of social life without which no man seeks in general to be himself 'at his best'. He believes that rights are those powers by means of which an individual develops his personality. He therefore, suggests that the foremost duty of the State is to remove the hindrances that come in the way of individual rights. He makes distinction between political and Economic democracy. Rights are right because they are useful to economic democracy. Rights are right because they are useful to citizen of the State.

In his socialist phase he advocates nationalization of industries to bring about social and economic equality in society and preaches for the complete abolition of the right to private property. Sometimes he is one with liberals to plead for the right of freedom of thought; sometimes he is with anarchists to denounce the right to property.

On the basis of nature of rights, Laski recommended the following rights

- 1) Laski considers right to work and adequate wages necessary for the fullest development of the individual's personality.
- 2) Every citizen has a right to reasonable hours of work.
- 3) Every citizen has the right to such education as will fit him for the tasks of citizenship.
- 4) Every man has the right to political power such as right to vote, right to be elected as a representative and hold any political office.
- 5) Everyone should have the right to freedom of speech and expression. "Freedom of speech is a right that war cannot mitigate." Laski says, "A Government can always learn more from the criticism of its opponents than from the eulogy of its supporters."

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6) Every individual must be guaranteed freedom to form an association and hold public meetings.

7) Every individual has the right to property.

8) Every citizen be given the right to liberty to express himself.

For the safe guard of the rights, Laski suggested three essential conditions such as:

- i. Decentralization of authority;
- ii. Existence of consultative bodies; and
- iii. Non-interference by the State in the internal affairs of the association.

The maintenance of rights ultimately depends upon the quality of the people and their organized public opinion.

Laski was a realistic thinker. He started writing as a liberal democratic and recognized the importance of rights. Under the influence of socialist ideas, he recognized the social character of the rights. He emphasised on the relation of rights and duties.

Criticism

- 1) The main idea is the greatest happiness of the greatest number. But, the greatest defect is that the exponents have not provided any measuring rod to measure greatest happiness of the greatest number.
- 2) It may encroach upon the rights of an individual and may sacrifice the needs and claims of his personality to social good. A theory which does not establish guarantee of rights for all cannot be accepted.
- 3) No doubt, rights have a social value and no right can be claimed against social welfare as it is difficult to define 'social welfare'.
- 4) The meaning of 'welfare to the people' may not be uniform in all ages and for all societies.
- 5) Expediency is needed as a way to general welfare for all the people. But, expediency should not be detrimental to the general welfare of the whole community.

6.3.5.8 Marxian Theory of Rights

Karl Marx, the father of scientific socialism and communism was born in Trier in Rhineland Province of Prussian (Germany) on May 5, 1818. His father Herschel Marx, who was a Jew, had embraced Christianity in 1824. When Karl Marx was only 17 years of age, he became a law student at Bonn University in 1835. In 1826, Karl Marx went to the University of Berlin. In 1841, he took his degree of Doctor of Philosophy at the University of Jena on the subject "The differences between the natural philosophy of Democritus and Epicurus." Marx wanted to secure a position in University but failed to get the same. He became a journalist and soon turned to revolutionary politics. In 1843, he married Jenny. In 1844, Karl Marx met Fredrick Engels at Paris. Engels remained a close friend and collaborator throughout his life. They wrote 'Communist Manifesto'. Marx wrote 'Das Capital', 'Surplus Value', 'Critique of Political Economy' etc.

'Karl Marx rejected the Liberal-Individualistic theory of rights that arose in the 17th and 18th century Europe.

Karl Marx maintained that the so-called 'rights' guaranteed under liberal-

individualistic ideology in real sense were force. He argued that these rights were designed to serve the purpose of only one class-the dominant one-the bourgeoisie. This was the capitalist class, the class of 'owners' of property and means of production.

Marx explained how the rights desired by the liberal individualistic i.e., the ideas have been designed to maintain the process of exploitation under the garb of individual rights. The working class, being human beings that need such conditions for the development would not even get the sustainable conditions.

All types of principles or theories that explain and justify the existing nature of society or State are in favor of the rich and the capitalists. Rights too are in favor of them. That is what history gives evidence to the nature of conflict that would be coming to the force as centuries pass by.

According to Marx, the following rights of working class are justifiable

- 1) The labour should get the wages of their labour without exploitation.
- 2) The working class has the right to overthrow the capitalistic governments, which suppress the workers movements with State force by raising arms against the state authority.
- 3) After the fall of capitalist governments the working class has the right to establish proletarian dictatorship to take steps not to allow the capitalist class to enter the state administration.
- 4) The state should provide right to work to all able bodied persons with wages equal to their work.
- 5) The workers should be provided right to live providing social welfare by the State.
- 6) The workers should be provided the right to claim for necessities.

The establishment of the socialist system after the revolutionary overthrow of the bourgeoisie rule should create equality of opportunities to all as the principle of social organization.

6.4 POWER AND AUTHORITY

Power is the basis of politics. Power-relations is one of the characteristics of politics. There is no agreement among the thinkers on the meaning, nature and scope of power. Power simply means to manipulate, or to coerce or to suppress the people and their ideas towards desired goal. There are some individuals or groups who command and others who obey it. The capacity of the former to make others accept orders and behave or act according to the commands, is defined as power.

According to Max Weber, "Power is the authority to enable an actor to do certain things and also to create normality among the diversified opinions of the people." To R.M. MacIver, "Power means the presence of a force to regulate the behaviour of the people to control them and to direct such behaviour." As per Bertrand Russell, "Power is the capacity to influence the actions of others." Harold Lasswell links power with influence and says, "Power is the ability to produce intended effects as directly involve other persons." R.H. Tawney identifies power with the "capacity of an individual, or a group of individuals, to modify the conduct of others in the manner which one desires."

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Power is often used to mean control, influence, authority, force, might, persuasion, coercion, compulsion, domination and pressure. But, there is difference in the meaning of these terms.

Power is the ability to win in a contest while force is an adjacent (additional) but not the essence of power. Power is latent force and force is patent power. Force techniques are coercion, intimidation, terrorisation and military domination. Force is the most brutal manifestation of power. Power is coercive while influence is persuasive. People voluntarily submit to influence. But power demands and commands submission.

Power differs with authority because power is the essence of politics while legitimacy is the basis of authority. Legal sanctions, statutes, commands, writs, rules, regulations and by-laws are the techniques of authority whereas coercion, intimidation, force are the brutal techniques of power.

Control is similar to power, but not power. Control can be legislative, executive, judicial, financial, administrative and popular. Control is more comprehensive and less concentrated than power.

Power is a psychological phenomenon. Therefore, the relation between those who exercise power and those over whom exercised is a psychological relation. Power does not refer to man's power over nature or his self-control, but control over other man or body of men. Power is a social process, but not merely a political or economic process. Power is the ability to determine the behaviour of others in accordance with one's own wishes. A man is said to have power to the extent that it influences the behaviour of others in accordance with his own intentions. Power is the specified in the will, and immunities against being deprived of will-making capacity. The power itself has no duty correlative to it.

3. Distinction between Liberty and Power

It is not a 'right' that certain effects shall ensure. Acts that have certain effects are called powers, those that do not are not called powers. That is distinction from the liberty to perform or not to perform such an act. The distinction may be put as follows: the liberty to perform or not applies to all types of conduct, but considered with reference to their effects, it can be seen that some actions result in an alteration of existing legal relations while others do not.

4. Rightful and Wrongful Powers

Sometimes, a power may be coupled with a liberty to exercise it and a liberty not to exercise it, while at other times it may be coupled with a duty to exercise it. In both situations, the exercise of the power may be said to be 'rightful'. When a power is coupled with a duty not to exercise it, such exercise would then become 'wrongful' where a power is coupled with a liberty, a party cannot be penalised for having exercised it, or for not having done so. Where a power is coupled with a duty to exercise it i.e., no liberty not to exercise it, there is no question of any 'right' to do the act; the party 'must' do it. Where a power is coupled with a duty not to exercise it, the party concerned has no liberty to do so.

6.4.1 Kinds of Power

Powers may be divided into 'private' and public, but both involve ability to change legal relations.

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Private Power : Private powers are those which are vested in persons to be exercised for their own purposes, and not as agents of the state. The appointment of an agent, for instance, is a power, for it confers on the agent further powers to alter the legal position of the principal and creates in the latter corresponding liabilities. A married woman has power to pledge her husband's credit for necessities in contrast there is a power to make an offer and a power to accept, and innumerable others in contract, property, procedure and indeed, in every branch of the law. Private powers may also be coupled with duties to exercise them, e.g., certain powers of trustees, or they may be coupled with liberties.

Public Power : Public power is that which is vested in a person or body of persons as an agent of the state, as the judicial or executive power of the officers. When a 'public power' is coupled with a duty to exercise it, it is termed as 'ministerial power', when it is coupled with a liberty, it is termed 'discretionary.' Public powers though numerous especially in administrative law, cannot compete with the profusion of private powers.

The supreme legislative authority i.e., the Parliament has law-making power. The judiciary has the power of 'judicial review'. The community law (International Law) consists of the powers of 'regulations' which are general legislative measures binding on states as well as individuals if applicable; 'directives', general or particular, binding only as regards their objectives but leave to member states the manner of their implication; 'decisions' which are individual measures, are binding as regards objectives and means 'recommendations' which are advisory and not binding.

Power is either ability to determine the legal relations of other persons, or ability to determine one's own. The first of these-power over other persons is called authority, the second-power over oneself is usually termed 'capacity'. Powers are further divided as economic, political and ideological.

Economic Power : Power exerted by wealth and riches constitute economic power. In ancient times people who owned herd of cattle wielded economic power, then land came to be regarded as symbol of wealth in feudal society. In capitalist society, the ownership of factories, mines and other means of production are the source of wealth. The institutionalists, bankers wield great economic power. James Bentham says that "the control of production gives rise to political power and social prestige as well as to wealth." Democracy passes in the hands of those who wield economic power.

Political Power : The power exercised by the State and its various organs is called political power. According to E.P. Alien, "Political power is evidenced by the ability of those who control the instruments of government to secure obedience to their decisions." The force which is used to achieve political ends is called political power. Those who possess political power and have control over the government have the authority of making decisions and policies of the government. The persons who win elections naturally control the state and enact laws.

Ideological Power : Ideological power, consisting the beliefs, notions, ideas of a society is basis of present day democracy. Party system of the present day government is based on political ideology. "Leaders in a political system", says Dahl, "usually espouse a set of more or less persistent integrated doctrines that purport to explain and justify their leadership in the system." A set of doctrines of this kind is an ideology. Ideological

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power represents the manipulative power of the dominating class which hold sway on the thinking and emotions of the people. Manam says, “The power does not lie in the guns, or the ships or the walls of stone or the lines of steel. Important as these are, the real power lies in a definite common pattern of impulse.” The ideology of Hitler, Mussolini and Marx in the name of Fascism and Communism has its power on people.

6.4.2 Concept of Authority

Authority is a person or persons, or a body exercising power of command; generally in the plural as, the civil and military authorities. Power or admitted right to command or to act, whether original or delegated as, the authority of a prince over subjects and of parents over children; the authority of an agent to act for his principal. An authority is general when it extends to all acts, or all connected with a particular employment, and special when confined to a single act.

The general meaning of authority is the power or right to give orders and make others obey. Authority lies in the hands of person or persons or group of persons having power to command, or give orders and make others obey. Authority means the institutionalised exercise of legitimate power. The person or persons wielding authority possess superior knowledge. Authority is always legitimate and backed by law and common consent.

Authority is the power exercised with general approval. The essence of authority is not power by itself, but force voluntarily acknowledged by those over whom the power is exercised.

According to A. Dahl, “Legitimate power is often called authority.” Talcott Parsons says that authority is “essentially the institutional code within which the use of power as a medium is organised and legitimised.” Max Weber says that authority “represents the moralisation of power.”

6.4.2.1 Classification of Authority

Weber classified authority into three, namely, charismatic authority, traditional authority and legal authority.

Charismatic Authority: When the people submit themselves to be ruled by a man mainly on their belief in the extraordinary quality of such a ruler, that rule over them is referred to as charismatic authority. It rests on the devotion to the specific and exceptional sanctity, heroism or exemplary character of an individual person and of the normative patterns or order revealed or ordained by him. Authority of Napoleon and Hitler is an example for charismatic authority.

Traditional Authority: The domination that rests upon traditionalism is referred to as traditional authority. Traditionalism is a psychic attitude set for the habitual work day and the belief in the everyday routine as an inviolable norm of conduct. It is derived from an established belief in the sanctity of immemorial traditions and the legitimacy of the status of those exercising authority over them. As per Weber, “patriarchalism” is an example for the legitimacy of which rests upon tradition. In this case authority is based on personal, not functional relations. This type of authority is irrational.

Rational Legal Authority: In legal authority, the legitimacy of the power-holder to issue commands rests upon rules that are rationally established by enactment, by

agreement, or by imposition. Weber says, "Submission under legal authority is based upon an impersonal bond to the generally defined and functional duty of office." It is said that legal authority rests on a belief in the legal patterns of normative rules and the right of those elevated to the authority under such rules to issue commands.

The authority that is given must be to do a thing lawful; for if it be for the doing of anything against law, as to beat a man, take away his goods, or disseize him of his lands, this will not be a good authority to justify him that doth it. Legal authority is nothing but a power to do something; it is sometimes given by word, and sometimes by writing by law.

Political Authority: Political authority is based on the acceptance of the right to rule. Power has to go hand in hand with authority. Power transforms into authority with the growing support from the political community. Authority is legitimised power. Political power rests on the potentiality to invoke coercion. From historical days it has been found that coercion by way of threat of sanction is not an adequate instrument to elicit obedience. If power is to subsist for long it must receive general acceptance. Obedience may be obtained by the use of threat of sanctions, yet it, rests upon a form of consent. It is this consent to or acceptance of power of the ruler by the ruled that strengthens the power and gives him the authority. Hobbes says, "It is not therefore the victory that gives the right of domination over the vanquished, but his own covenant. Nor is he obliged because he is conquered....but because he cometh in and submitteth to the victor."

David E. Apter classified authority into centralised and decentralised. While bureaucracy amplifies the former, democracy explains the latter.

Authority is a body having jurisdiction in certain matters of public nature. State authority lies in the Government and Parliament or Legislature and local or other authorities. "Other authorities" means all authorities created by the constitution or statute on whom powers are conferred by law. It is not necessary that the statutory authorities should be engaged in performing governmental or sovereign functions.

6.4.3 Difference between Power and Authority

Authority is the power exercised with general approval. However, power is different from authority because power is the essence of politics whereas legitimacy is the basis of authority. Coercion is the illegitimate exercise of power while authority is the legitimate exercise of power. Force is the brutal manifestation of power whereas authority is the institutional exercise of power. Power influence is persuasive but authority is imperative. Power is the political polarisation of the desires (interests) of the people, while authority is rooted in the rules and regulations of the Government.

6.4.4 Concept of Legitimacy

States do have power or coercive force, which can be used so that people obey the State. Even when actual coercion is not being used, the threat of its use exists. The State should maintain coercive mechanism to keep in control the people disobeying the State. And, keeping the people under constant threat of coercion will result into a situation of constant confrontation. This will keep the State too occupied with the question of keeping itself in power.

Controlling its citizens only through force is neither possible nor advisable. Authority prefers obedience by the people based on the belief that the State that governs is 'good'

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and beneficial for the people; that a government has come to power through procedures established bylaw that are generally acceptable. The State and Government have been properly constituted, following rules and procedures and, therefore, the people should obey it. This popular belief is what gives legitimacy to the State. Max Weber gave the first systematic theory of the process through which such legitimacy is gained.

If power is to subsist for long it must receive public acceptance and obedience. Obedience may be obtained by the use of threat of sanction, yet it rests upon a form of consent. It is this consent to or acceptance of power of the ruler by the ruled that strengthens the power and gives him the authority. Political authority is based on the acceptance of the right to rule. Max Weber calls this legitimacy.

Legitimacy is the foundation of political power. 'Legitimate' means lawful, according to law. It was in the Middle Ages that the idea of legitimacy was brought closer to the experience of power. Now to the legitimacy theory, Herbert Hard incorporates 'the core of good sense' of natural law theory in determining legitimacy and not just legality of the norm.

Legitimacy may be defined as that political condition in which power holders are able to justify their holding of power.

Dolf Sternberger considers legitimacy as a basis of political power. Legitimacy is "exercised both with a consciousness on government's part that it has a right to govern and with some recognition by the governed of that right."

Legitimacy is explained by Robert A. Dahl as a condition "if the people to whom it orders are directed to believe that the structure, procedures, acts, decisions, policies, officials, or leaders of government possess the quality of "rightness", propriety or moral goodness the right, in short, to make binding rules." Every State makes conscious effort to achieve a high level of legitimacy.

According to H.G. Wells, stability of a democratic political system depends not only upon economic development, but also upon its legitimacy. Legitimacy rests upon the confidence of the people in the existing political institution. People's consent legitimates the exercise of political power.

Governments may lose their legitimacy where there is change in consent of people and when the existing political institutions are challenged. The crisis of change results in the crisis of legitimacy.

Legitimacy is the lawful exercise of power. 'Usurpation' is the opposite of legitimacy. Usurpation is the unlawful exercise of political power. Dorf Sternberger distinguishes 'legitimacy' and 'usurpation'. Usurpers often seize the power and try to provide a legitimate form to their regimes. 'Revolution' is also the opposite to legitimacy. However, 'usurpation' and 'revolution' are not one and the same. Usurpation of power is always an illegitimate act. But revolution may or may not be illegitimate. Revolution against the unpopular and cruel government is considered legitimate. If a revolution succeeds, it introduces a new principle of legitimacy.

David E. Apter gives the following reasons for the loss of legitimacy

- i. Some of the significant members of the polity may choose to withdraw their support for the government;

- ii. Rise of a new, politically aware, group which is not recognised by political system as having political relevance;
- iii. Driving away formerly politically significant members of the polity by the political system.

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6.4.4.1 Characteristics of Legitimacy: The concept of legitimacy has the following characteristics

- 1) The survival of the political system depends on the acceptability of people so that they may render their obligation to it.
- 2) The legitimacy depends on the politically functional activity of the authority and the relative inflexibility of power relationships.
- 3) Legitimacy depends upon the people's feeling of the obligation to obey.
- 4) The concept of political legitimacy has its applicability in every political system.
- 5) The legitimacy depends on the ideal type of government.

Realist Theory, Liberal Theory and Marxian Theory are on line to support the concept of legitimacy.

We can make distinction between 'legitimate' and 'legal'. Legal is more concrete, because it is defined by specific laws. 'Legitimate' refers to a less concrete process referring to the sense of acceptance by the people. Level of legitimacy varies from situation to situation depending upon the performance of the State. However, laws are to be obeyed in all the cases and punitive action can be taken against those who do not obey.

6.5 SUMMARY

In this context, they can be both moral and political. Moral laws are related with human tendencies and man's personal behaviour or conduct. They may be described as commands of our higher or spiritual nature. Laws of the state relate with external behaviour of man. They are made and enforced by the state only. In Political science the law means those regulations which are made and enforced by the state to regulate external behaviour of men. Liberty and equality is more essential to the human beings. Liberty is very essential to the development of men and women in a society. Without liberty we cannot see the overall development of society. In the same way equality is also essential component. So liberty and equality two pillars of society.

It is contended that liberty is more important than equality. In a dependent country, equality can not be achieved unless the country liberates itself. Equality is the secondary goal which is realised after we succeed in achieving liberty. Liberty unites the people. In the declaration of eternal human rights in the French Revolution of 1789, liberty preceded equality. However, it should not be construed that equality is less important. Equality is the essential ingredient of liberty. Liberty will have to take along equality in the pursuit and achievement of its ultimate objective. The existence of the rights and duties is inevitable for the all round development of the individual in democratic countries. There is an innate relation between rights and duties. The rights are not intended for the selfish ends of the individual. The rights are no other than a form of responsibilities which all the

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individuals should bear for the welfare and progress of the society. Every individual in the society must recognise and respect the rights of the fellow individuals.

Rights are very essential to all the citizens of a nation. Without rights one cannot develop. So, the modern governments are during much importance to the rights. These rights also guarantee by the state.

6.6 KEYWORDS

- **Rule of Law:** 'Rule of law' prevails in most of the countries of the world. It originated in England and later on became an accepted creed in almost all the democratic countries. By rule of law we mean that the government and administration of a particular state is run in accordance with the law. It is not run by an arbitrary authority. No man or institution is empowered to award punishment to any individual arbitrarily. In other words all are under the law and none is over and above the law.
- **International Law:** Public International Law is the law that regulates the relationship among sovereign states in their mutual intercourse. Oppenheim defines it as, "Law of Nations or International Law is the name for the body of customary and treaty rules which are considered legally binding by States in their intercourse with each other." international Law is a weak law as it is not enforced by any coercive authority:
- **Public Law:** Public Law is of two types—Administrative law and General law. Administrative law regulates the behaviour of the officials in relation to state authority. They regulate the organisation and functions of the governmental officials, their powers and their relationship with the public in general.
- **Natural Liberty:** Natural liberty is the synonym of licensing. It implies freedom from all restraints and social customs. The concept of natural liberty has been evolved by the thinkers associated with the Social Contract theory. They opine that man lived in the state of nature prior to the creation of the state.
- **Civil Equality:** Civil equality implies the availability of all the civil rights to all the citizens without any discrimination on the bases of caste, colour, creed, place of birth, religion and sex. There is equality before law and every citizen gets the equal opportunity to develop his personality.
- **Meaning of Right:** Rights are essential conditions of our social life there are necessary for the overall development of human personality. There are external conditions. Rights define the position of the individual in a state.
- **Fundamental Right:** The fundamental rights protect the minorities in such cases from the majority government. Security is provided through courts of law. The courts of law protect the fundamental rights from the narrow party-politics. The framers of the Indian Constitution included the fundamental rights in the constitution and achieved the political purpose.
- **Fundamental duties:** Every citizen must respect the constitution, National Flag and National Anthem. Every citizen must strive for the achievement the goals of

the freedom movement. To protect the sovereignty and integrity of the nation. The citizens must be ready to take part in the programmes of its defence of the country and service to the society. Every citizen must strive to promote fraternity among the people in the country. Every citizen must contribute to protect the Indian culture which is an admixture of different cultures.

- **Right to Vote:** Every adult citizen and take part in the formation and running of the government, directly and indirectly, without discrimination of caste, religion, community and gender. There is much importance to this right in democracy. Democracy, whether direct or indirect, forms the government on the basis of adult franchise. Adults mean women and men who cross certain age limit. This age limit is decided differently in different countries. For instance in India those who cross 18 years of age are considered to be adults.

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6.7 REVIEW QUESTIONS

Essay Type Questions

1. Define Law and discuss its characteristics of Law?
2. What are the sources of Law? Explain.
3. Define the 'Liberty' and discuss its different kinds of liberty.
4. Describe the various kinds of safeguards of liberty.
5. "Liberty and Equality are complementary to each other as liberty is not possible in the absence of some equality." Discuss.
6. What are the rights? Describe the rights in detail.
7. Write an essay on political rights.
8. What are the fundamental duties?
9. Discuss fundamental rights.
10. Explain the relation between rights and duties.

Short Type Questions

1. What is meant by International Law.
2. What is the concept of Rule of Law.
3. Natural Liberty
4. Economic Liberty
5. National Liberty
6. Definition of liberty and equality
7. Rule of Law
8. Right to Property
9. Right to Vote
10. Definitions of Rights.

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6.8 SUGGESTED READINGS

1. Joshi, V.P. Unified course in Political Science
2. Ernest Barker – Principles of Social and Political Theory
3. Harold, J. Laski – A Grammar of Politics
4. Ivorbrown – English Political Theory
5. Leacock, S. – Elements of Political Science

POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

B.A - POLITICAL SCIENCE

(First Year:Paper-I)

UNIT -IV

Lesson - 7

Ideologies: Individualism, Anarchism, Fascism and Socialism

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Lesson - 8

Forms of Government:

- a. Democracy: Direct and Indirect
- b. Unitary and Federal
- c. Parliamentary and Presidential

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Lesson 7

IDEOLOGIES

Structure

- 7.0 Aims and objectives
- 7.1 Introduction
- 7.2 Individualism
 - 7.2.1 Development of Individualistic Theory
 - 7.2.2 Modern Individualism
- 7.3 Utilitarianism
 - 7.3.1 Development of Utilitarianism
 - 7.3.2 Criticism of Utilitarianism
- 7.4 Socialism
 - 7.4.1 Marxism or Scientific Socialism or Communism
 - 7.4.2 Lenin (1870-1924)
 - 7.4.3 Lenin and Marx
- 7.5 Collectivism or State Socialism or Democratic Socialism
- 7.6 Anarchism, Syndicalism, Guild Socialism, Fascism and Nazism
 - 7.6.1 Anarchism
 - 7.6.2 Distinction Between Communism and Anarchism
 - 7.6.3 Syndicalism
 - 7.6.4 Guild Socialism
 - 7.6.5 Fascism
- 7.7 Nazism
- 7.8 Gandhism and Sarvodaya
- 7.9 Summary
- 7.10 Keywords
- 7.11 Review Questions

7.0 AIMS AND OBJECTIVES

- Explain Development of Individualistic Theory.
- Describe Utilitarianism and its critics.
- Discuss Socialism and approaches by various authors.
- Delineate Anarchism, facism and Nazism.

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7.1 INTRODUCTION

Individualism, Anarchism and Socialism, Individualism considers the state a necessary evil, but it wants to keep the state because without the state, law and order is not possible and without law and order the progress of civilization and culture is not possible. In spite of all this, the individualists want to limit the functions of the state. Anarchism considers the state as an unnecessary evil and it wants to abolish the state altogether. Socialism intends to make the state social institution and wants to expand its functions in all spheres. We shall discuss anarchy and socialism at a later stage. Here we discuss individualism in detail.

7.2 INDIVIDUALISM

The principle of individualism is also called Laissez Faire in French language, which means, 'leave the individual alone' and there should be minimum interference, in his functions, By the government. It should be left to the will of the individual to do what he desires. The state or the government should only interfere when it feels that one individual is unnecessarily interfering in the liberty of the other. The state is, in fact, a necessary evil. The unity in the society is possible only when violence, deception and fraud are suppressed. Therefore, the function of the government should be limited to the protection of the citizens' life and property; beyond this the individual should be left completely free.

John Stuart Mill, in his famous essay 'On Liberty' said, "The sole end for which mankind are warranted, individually or collectively, in interfering with the liberty of action of any of their member, is self-protection. The only purpose for which power can be rightfully exercised over any member of a civilized community against his will, is to prevent harm to others. His own good, either physical or moral, is not sufficient warrant..Over himself, over his own body and mind, the individual is sovereign".

Thus according to Mill, the main function of the state is protection. Therefore, the maintenance of army, police, navy and courts is justified, but the things which are not directly protective, like Post Office, Telegraph, Railways, Education, Hospitals, etc., should not be run by the government. According to those who believe in individualism, the government should perform the following functions:

- 1) The protection of the state and individuals against foreign aggression.
- 2) Protection of individual against individual, in matters of physical harm (injury, aggression And killing), slander, personal restraint, etc.,
- 3) The protection of property (theft, dacoity and other types of protection of property).
- 4) Protection of individuals against false contracts or breach of contracts.
- 5) Protection of the invalid persons.
- 6) Protection of individuals against preventible epidemics like plague or malaria. Many individualists do not agree with the last two functions of the state.

7.2.1 Development of Individualistic Theory

Though the germs of individualism can be traced in the Renaissance and Reformation

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movements of Europe, yet its real origin took place during the second half of the eighteenth century at the hands of Physiocrats of France. This was given as a counterblast to mercantilism, which stood for the protection, regulation and control of industry, trade and commerce. Individualists were of the people. They preached in favor of open competition in trade and commerce in the name of natural rights. They were of the view that the open competition would benefit all. Adam Smith was the staunch supporter of this theory, but we have complete explanation of this theory in the writings of John Stuart Mill and Herbert Spencer. Other supporters of this theory are the German philosophers. Kant and William Humboldt, and the British writer Henry Sedgwick.

BASES OF INDIVIDUALISM

There are four main bases of this theory

- 1) Ethical
- 2) Political
- 3) Scientific
- 4) Economic.

1) Ethical Basis: Thinkers like Kant, Fichte, Mill and Humboldt are the supporters of ethical basis. According to them, state interference goes against the development of the individual's personality and character. They say that each individual is wise enough to understand his interest well. Therefore, he should have freedom to work according to his will. The individual should be left free to himself to enable him to develop his personality and character. When the government encroaches upon the individual's field, the individual loses all sense of responsibility and his self-reliance and personality are destroyed. The interference by the government will result into many weaknesses in the individual and his natural powers will be destroyed. The rule of the nature is open competition and individual's maximum development is possible only in it. By nature every individual wants maximum freedom. Therefore, there should be no state interference. Humboldt says, "The real aim of the individual, which has been fixed by the orders of wisdom, is the maximum and complete development of human faculties." Mill is of the view, that "*Government interference starves the development of some portion of the bodily or mental faculties when it deprives one from doing what one is inclined to do or from acting according to one's judgment of what is desirable*".

Mill has divided the functions of the individual into two parts (1) Personal; (2) Affecting Society. Personal functions are those which affect the individual who performs them, and which are related to him. Other functions are those which affect the society. Mill says that the state has no right to interfere in the function individual, because the individual is supreme in those matters. However, functions the state must interfere.

2) Political Basis: The political basis of this theory was developed by way of protest under the Social Contract Theory as propounded by John Locke against the claims of kings to absolute powers. John Locke advocated that the people enjoyed certain natural rights in the state of nature. Therefore, the duty of the state should be to protect those rights. The individualists supported the theory of Laissez Faire or 'leave the individual alone' not on the basis of any absolute justice, but they did it on

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the basis of the real achievement through state. They said that the State was mean, not an end. Therefore, the state is essential for the welfare of individual. The individual is not for the welfare of the state. Therefore, the functions of the state should not be unlimited. Secondly, the state has already many functions to perform, and it is not advisable to increase them as Mill has said, "Every additional function means a new burden on a body already over-charged with duties; the result is that most things are ill-done, and much is not done at all."

- 3) **Scientific Basis:** Herbert Spencer has supported individualism on the biological basis. He says that in biology there is a continuous struggle among the organisms and animals. Only the strong survive in this struggle and the weak perish. This is the law of nature. He asks why this law of natural development should not be applied to human life? Incapable and feeble people shall automatically perish in society and only strong and able persons will survive. He believes in the survival of the fittest. He feels that the state is rendering the society weak by protecting development. According to Spencer, compulsory education, help to the poor, social laws, and changing the law of natural development are useless efforts.

Spencer further says, "Government should let poverty and insanitary houses alone, so that the weaker types may soon die out; it should let industrial competition alone, however intense, because from such competition, the best individuals come to the top".

- 4) **Economic Basis:** Adam Smith supported individualism on the economic basis. He was of the view that the state or the government should not interfere in the economic sphere as far as possible. Each individual is competent to safeguard his interests well. He maintained that the government which governed least, governed best. The trade and industry flourish best if left to private enterprise. Thus wages, rent, interest and prices should be left unfettered so that they may adjust themselves to the prevailing conditions. Non-interfering by the government will encourage open competition, which will give opportunity to the capitalist to earn more and more. Consequently, he will invest more in the market, and the laborer will work more to earn better wages. Open competition will not only benefit the capitalist but it will also benefit the laborer and the consumer. On the other hand, government control will hinder the enthusiasm of the capitalists. If the state fixes minimum wages and working hours for the laborers, it will be difficult to have cheap labour and thus it will be difficult to get work from them. This will also reduce the production.

According to the individualists, the state should not fix the rates of the commodities because they will be settled automatically under the formula of supply and demand. If the demand of a commodity is in excess of the supply, the rates shall go high, but if the demand is less and supply is in abundance, the prices shall go down. In this way the industries, commerce and trade should be left without any regulation and control, because thus they will develop to a great extent. According to individualists that government is best which governs the least.

Cainer observes, "Laissez-faire assumes that the interests of human beings are fundamentally the same, that which is best for the interest of one is the best for others, that the individual known's his interests in the sense in which they are coincident with

the interests of others and that in the absence of coercion, he will in this sense follow them”.

CRITICISM OF INDIVIDUALISM

1) State is not a necessary Evil: The individualist’s view that state is a necessary evil, is not correct. The state is the result of social instinct of man as Aristotle has said, “State came into existence for the sake of mere life but it continues to exist for the sake of good life”. The individualist view that the progress of civilization is possible in the freedom of the individual is also not correct. “The higher the state of civilization”, observed Huxley, “the more completely do the actions of one member of the social body influence all the rest; and the less possible is it for any one man to do wrong without interfering more or less with the freedom of all his fellow citizens, so that even upon the narrowest view of the functions of the state, it must be admitted to have wider powers than the advocates of the laissez faire theory are disposed to admit”. Thus in a progressive civilization, more control of the state is needed.

Today the state has become a welfare institution. Burke has rightly said, “State is a partnership in all sciences, a partnership in all art, a partnership in all virtue and in all perfection”. State is essential for the development and progress of man. It is a historical fact that the state has done a lot for the welfare of man. Thus it is improper to call it a necessary evil.

2) Laws do not Curtail Liberty: John Stuart Mill stated that with increase in the activities of the state, the laws will also increase and consequently the liberty of the individual will be curtailed. Today, no wise man can agree with this view of John Stuart Mill because the state enacts many such laws as help the people in their welfare. For Instance, if the state or government makes laws for the benefit of the workers, how is their liberty curtailed by such laws?

3) Man is not always the best Judge of this Interest: The individualists were of the view that each individual is the best guardian of his own interests and, therefore, he can think of them himself. But this is not a reality. Many people and classes are not so intelligent as to know what is good for them. Thus Dr. Garner says, “Not only is the individual not always a competent judge of his own interests as our economic consumer, but in affairs of personal conduct, he is often not to be trusted, particularly in matters relating to his health or safety or moral welfare. The truth is, society may be better judge of a man’s intellectual, moral, or physical needs, than he is himself and it may rightfully protect him from disease and danger against his own wishes and compel him to educate his children and to live a decent life”. Sid wick, Laveley and Jerons, etc., also hold identical views.

4) Open Competition is Undesirable: The individualists were the supporters of open competition but when this theory was given a practical shape, many dangerous results accrued in Europe. How could the laborers compete with the capitalists? It encouraged the exploitation of the labourers and their condition became miserable, which resulted in the rise of socialism in Europe. If even today, the government does not control of profits of the capitalists, and increase in the prices of the commodities is not checked, not only the condition of the laborers would worsen

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but the consumers would also face the same fate. In India, before-the declaration of Internal Emergency of June 25, 1975 the situation was the same. It is essential that there should be the state regulation and control over industries and trade. Otherwise, many undesirable results would accrue.

- 5) **The Doctrine of the Survival of the Fittest is most Dangerous:** It will be a great foolishness to give recognition to Spencer's theory of the survival of the fittest, because it will result in creating the same situation as is seen in the jungle, where stronger animals consider the weaker ones as their food. With the acceptance of this theory, there will be the rule of thieves, dacoits, rogues and physically strong people and, in place of justice and truth; the supremacy of brute physical power will prevail. The society will have the same anarchy as was depicted by Hobbes in his state of nature. Thus the progress of human civilization and culture will be retarded and there will be an end to social peace and order.
- 6) **Welfare of the individual lies in the welfare of the society:** Individualists say that the society came into being for the welfare of the individual and many functions of the individual do not influence the society. But the reality is that the individual is an inseparable organ of the society and he learns everything from the society. Without society, the development of individual is not possible. An individual's welfare lies in the welfare of the society. Due to individualistic concept, the individual thinks himself above the society, which is not a correct approach.
- 7) **We cannot limit the functions of the state on the basis of past mistakes:** The individualists place the past mistakes of society before us in an exaggerated form and say that, on this basis, the functions of the state should be limited. But this viewpoint is not correct. The reason for this is that though the state did commit some mistakes in the past, yet this fact cannot become a guiding factor for future, because as compared to state, private institutions have committed more mistakes, on which the individualists depend very much. In the past, the state has performed many such functions as proved beneficial to the individual and the society. Functions like social security, labour welfare, abolition of zamindari, control on prices, education, health and increase of productions, performed by the state, endorse this view. It is also not necessary that the state would repeat its past mistakes in future also. The fact is that the state would definitely learn something from its past mistakes and it would not repeat those mistakes in future.
- 8) **We need state for furthering human welfare:** If we accept the individualists' view, the functions of the state would be limited. Now the question is, who should make arrangements for Railways, Posts and Telegraphs, education health, roads, hospitals, electricity, dams, etc.? Individualists want to transfer all these functions to private hands, but private institutions cannot perform these functions properly. This has been proved in almost all the countries. Therefore, it is essential that the functions of the state should be expanded.
- 9) **Individualists' notions about the individual and society are wrong:** Individualists' notion is that by nature man is selfish. Society for them is a collection of disintegrated individuals, but both these notions are wrong. The fact is that though man is selfish to some extent, yet he is social. Were he not a social animal, human

civilization would not have progressed so much. Secondly, human society is not an inanimate thing like a machine. It is an institution with organic unity in it.

7.2.2 Modern Individualism

The distinction between modern individualism and nineteenth century individualism is that nineteenth century individualism gives more importance to individual than the state and in order to protect individual liberty, it wants to limit the functions of the state. On the other hand, modern individualism lays more emphasis on groups and associations and considers the state an association like other associations. The common thing in both of them is that both want to place limitations on the powers of the state. In short, modern individualism is a form of pluralism.

The following are the causes of its origin: (1) Increase in associations in human society and the acceptance of their importance as compared to state. (2) During the First World War the European governments acquired all powers, suppressed the individual freedom and acted arbitrarily. Thus the people started thinking of imposing restrictions on the absolute and unlimited powers of state. (3) Many people even objected to the majority rule in democracy and the states acting in an arbitrary manner. Thus, in order to protect the minority from the dictatorship of the majority, the intellectuals emphasized that a check should be imposed on the powers of the state. Moreover, these powers should be decentralized.

Exponents of Modern Individualism Grham Wallas, Norman Angell, Miss Follett and many other Guild socialists are the exponents of modern individualism, Garham Wallas, in his book, 'Great Society' exhibits a, "distrust of the power of the over-developed state". According to him, centralised state with parliament composed on the basis of territorial representation, is hardly an effective organ for the expression of popular will. Therefore, he recommended the organisation of the second territorial basis. He condemned the dictatorship of the majority. For the economic and educational functions, he suggested the establishment of special, elected bodies, which may also have representatives of professional organisations.

Norman Angell was a great supporter of Internationalism. He strongly opposed the enhanced powers of the state in his book, "**The Great Illusion**". He said that people come together for their common economic interests. Generally, man does that job which is useful from economic point of view. But different states compete with one another and they instigate the people in the name of national interest. When the people start thinking as one unit of international economic society, they will give up the modern society based on territorial limits and they will aspire for the society based on economic classes. Miss Follett in her book, 'The New Stage' has thrown light on the relations between individual, association and state and has laid emphasis on the importance of associations. She has said that man-can develop his personality through groups only.

Guild-socialists also lay a special emphasis on professional groups in the society. They say that on territorial basis the representation of varied interests is not possible in modern parliaments. Therefore, along with the establishment of political democracy, they say that there should be separate institutions for industry, religion, education and other activities and the state should have minimum right to interfere in their affairs.

In this way modern individualists attach more importance to groups in society than

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to individuals and they recognize the separate existence of groups and associations. The function of the state is that it should create some co-ordination between their activities. State is an institution like other institutions and it should not claim any special allegiance of individuals. The state is not an indispensable institution.

7.3 UTILITARIANISM

Utilitarianism was basically an ethical theory. The original basis of this theory was Hedonism, a psychological theory. According to Hedonism, the main aim of life is the achievement of maximum pleasure. According to this theory, the value of an act is to be assessed on the basis of pleasure and pain which it gives. The act which gives maximum pleasure is good and the act which gives pain, is bad. Therefore, the criterion of each act is pleasure and pain. The actions which cause pain should be avoided by the individual and the state, and the action which brings pleasure should be performed by the individual. The actions which bring pleasure for the individual are useful, and those which bring pain to him, are useless.

The form of utilitarianism and state As a school of political thought, utilitarianism owes its origin to Jeremy Bentham, an English thinker of the nineteenth century. According to this theory, the government should promote “the greatest good of the greatest number”, or maximum welfare of maximum people. Jeremy Bentham and J.S. Mill were the main supporters of this theory. The utilitarian’s opposed the principle of natural rights and the theory of social contract. They said that the people created state for their own benefit. They were not prepared to accept the divine right concept of the state. The state is there, because it is a useful institution. The basis of the functions and rights of the state is ‘maximum welfare of the maximum number’. Which functions should or should not the state perform, will be decided by the fact as to which functions guarantee the maximum welfare of the maximum number. The utilitarian’s were reformists. Therefore, they supported the interference of the state in the reforms of certain social evils and defective laws because it will ensure maximum welfare of the maximum people. Thus they adopted a middle course between idealism and individualism. They were not in favor of idealism because it absorbs fully the individual’s personality in the state. Nor were they wholly in favor of individualism, because according to it the functions of the state are only protective.

Though the amalgamation of utilitarianism and individualism was never complete, yet the utilitarian’s leaned towards individualism to a great extent. It was so because John Stuart Mill was both utilitarian and individualist. In its early stage the nature of utilitarianism leaned towards the view that the society should be evaluated from the point of view of individual comfort. Besides like individualists, the utilitarian’s were the supporters of private enterprise. They agreed that the maximum welfare of the individual is possible only when in the economic field, the individual is left free. It means that the state should have minimum interference in his functions.

The utilitarian’s, inspired by the feeling of the public welfare, organized campaigns for improvements in public health, education and reforms in the systems of jails and administration. They were successful in their aim to a great extent. The utilitarian’s wanted progress. Their aim was public-welfare. They said that everything of the individual depends upon the organisation and existence of the state. The aim of the law should be

the maximum welfare of the people. The existence of the state and other institutions depends upon their utility.

6 7.3.1 Development of Utilitarianism

The seeds of the theory of utilitarianism which is based on Hedonism can be discovered in the ancient times. In ancient Greece, the Epicurian philosophers, and the 'Charwak' philosophers in India also, had faith in Hedonism. We see a glimpse of this philosophy in the views of Hobbes and his contemporary critic Richard Cumberland. After this, certain simple hints are also available in John Locke's books, "Essay on Human Understanding". Francis Hutcheson has also expressed his views on this subjects as he says, "The action is best which procures the greatest happiness for the greatest number".

First of all English philosopher David Hume explained this theory in a clear form. David Hume said that the basis of the state is utility and he condemned the theory of Social Contract. He emphasized the fact that the state should perform such functions as help in creating the maximum welfare of the maximum people. David Hume's influence was also seen in France and in the latter half of eighteenth century. Helvetius (1715-1771) and Holbash supported these views. They also made pleasure and pain as the criterion for public functions and said, that only those functions are proper through which the maximum welfare of the individual is achieved.

4 **View of Jeremy Bentham (1748-1832).** Bentham developed the views of the philosophers mentioned above and the explained utilitarianism in a clear, detailed and systematic manner. 6 Bentham, in his first book, 'Fragment on Government' criticized 6 bitterly Blackstone's 'Commentary on the British Constitution'. This book was published for the first time in 1773, which made him popular. His second book, 'Introduction to the Principles of Morals and Legislation' was published in 1789. In this book much light has been thrown on the philosophy of utilitarianism. Their slogan was, "Nature has placed mankind under the governors of two sovereign masters, pain and pleasure. It is for them alone to point out what to do, as well as to determine what we shall do".

According to Bentham, the only criterion' to measure virtue and vice, is pleasure and pain. If we derive pleasure from an action, that will be a good action and if we derive pain from it, it will be a bad action. Good work is worth doing, while a bad action is to be discarded. Bentham has given a list of 14 pleasures and out of those 14, important pleasures are- reason, wealth, proficiency, friendship, reputation, strength, magnanimity, and religious mindedness. He along with fourteen pleasures, counts twelve pains also, among which ill-fame, enmity, malice, vulgarity, want, etc., are the main pains. According to Bentham, the theory of utility is the direct result of pleasure and pain. Bentham defines utility as "that property in any object, whereby it t tends to benefit, advantage, evil or unhappiness or to prevent the occurrence of mischief, pain, evil or unhappiness to the party whose interest is considered. This principle holds good not only in case of individual functions, but also in regard to the functions of government". Bentham said that the basis and origin of law can be traced in utility new laws should be useful for human society. Therefore, he laid special! the maximum welfare of the maximum people. He accepted the SUE. Democratic rule, as maximum welfare of maximum number is possible only in this rule. He refused to endorse the theory of natural rights, because he said that rights were possible only in state. He also criticised the Social Contract theory,

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1 according to it the basis of the state was contract and not utility. He said that we acted according to the orders of state, because those orders were useful. His aim! Public welfare and thus he tested all the functions and policies of the state on the basis of utility.

Bentham considered it unreasonable to impose any type of control of the constitutional sovereignty of the state. He said that the will of sovereignty in the form of order was law. He was not in favour of any law or constitution which imposed restrictions on the powers of a sovereign. He said, that if the powers of the sovereign were not limited through any agreement or rule, they would be unlimited. However, he wanted that the sovereign should see, before issuing any order whether it was in conformity with the public interest or not. If the order went counter to public interest, the people would revolt against it.

James Mill (1773-1836)

James Mill supported Bentham's utilitarianism. He said the state should not make such laws as to encourage anyone to achieve his own pleasure, and harm the pleasure of others. Therefore, the state or government should impose a check on the improper actions of the individuals. It should strive for the maximum welfare of maximum people. He was not opposed to monarchy. He wanted a reform in bad laws. Bad laws were those laws which proved harmful for maximum people. He did not want to abolish the House of Lords, but he wanted to impose a check on its powers. He was a supporter of democracy, and for this purpose, he was in favour of giving more power to the middle class people.

John Stuart Mill (1806-1873)

John Stuart Mill was the son of James Mill. He was a great logician, economist, philosopher and politician. Though he accepted the basic tenets of Bentham and also of his father James Mill, yet he made some amendment according to the needs of the times. For instance, according to Bentham, all pleasures are equal and there is only a difference of degree and not of quality. Mill disagreed with this notion and said that there is a difference of degree as well as a quality in pleasure. For example, the pleasure that a mean person derives from sexual act, gambling or drinking is inferior to the pleasure that a poet derives from his poetic creation. Thus John Stuart Mill has said, "It is better to be a human being dissatisfied than a pig satisfied. It is better to be a Socrates dissatisfied than a fool satisfied". Mill also did not agree with Bentham on another point. He supports public interest instead of individual interest. He writes, "The utilitarian standard is not the agent's own greatest happiness, but the greatest amount of happiness altogether. As between his own happiness and that of others, utilitarianism requires him to be as strictly impartial as a disinterested and benevolent spectator. In the Golden Rule of Jesus of Nazareth, we read the complete spirit of the ethics of utility. To do so as one would be done by and to love one's neighbour as oneself constitute the ideal perfection of utilitarian morality". Therefore, Brown writes that John Stuart Mill made Bentham's dry morality generous and in this way made utilitarianism more human, though there was deficiency in his pure logic.

John Stuart Mill was a great supporter of individual liberty. He expressed his views about liberty in his book 'On Liberty', which was published in 1859. He also supported the holding of differences of views and the toleration of those differences of opinion. He

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writes, "If all mankind minus one were of one opinion, mankind would be no more justified in silencing that one person than he, if he had the power, would be justified in silencing mankind". He further said, "If the opinion is right, they are deprived of the opportunity of exchanging error for truth; if wrong, they lose, what is almost as great a benefit, the clearer perception and livelier impression of truth, produced by its collision with error".

Mill expressed his views about the administration in his book, 'Representative Government' which was published in 1861. Mill was the supporter of democracy, but in democracy, too, sometimes, we discover the atrocities of majority over the minority. Therefore, for the safeguard of the minority interest, he supported the system of Proportional Representation. He said that the majority had no right to suppress the feeling of the minority. He supported the system of Plural Voting for the protection of minority interests. He considered character and education as the main basis of democracy. Therefore, he suggested that prior to granting Adult Suffrage, every adult should be properly educated. He was a staunch supporter of women franchise. In spite of all this, it strange that he did not support secret ballot.

Mill has not used the word 'state' in his political philosophy, but according to his need, he used the word 'society' or 'government. According to him, an ideal government was one in which the sovereignty lay in the entire society. Each individual should not only be given the voting right in the expression of sovereign will, but in practice he should also be given the right to take part in public affairs.

John Stuart Mill was a radical member of the British Parliament from 1866 to 1868. Therefore/he fully supported the interests of the labourers and also the Land Reforms in Ireland. In the economic field, he was a blind follower of individualism. He said that if the government, expanded its activities in the public interest, it was not objectionable. In his later life he seemed to be inclined towards socialism, because he wanted that the entire human society should have a control over the raw material of the world, like the socialists. But the basis of Mill's socialism was the theory of individual interest. Mill was a political liberal. He wanted to protect the individual's interest and he wanted to encourage the social interests to the maximum. As a good utilitarian, he accepted pleasure as the final criterion of human behaviour. At the same time, he laid stress on individual liberty.

After John Stuart Mill, there was no change in utilitarianism and many of his supporters like George Great, John Austin and Alexander Ben continued propaganda in favor of utilitarianism.

7.3.2 Criticism of Utilitarianism

Utilitarianism has been criticised as follows

- 1) **The moral and psychological basis of utilitarianism is not real:** Utilitarianism is based on the notion that whatever functions should or should not be performed by the individual, should be tested on the touch-stone of utility. If this notion is accepted, each individual will work only for his own pleasure. He will ignore benevolence, renunciation, service and sacrifice. This is the main drawback of Bentham's theory. That is why Carlyal said angrily, "Bentham's theory is the theory of the pigs". He thought that "man is also a fleshy body, who need only physical

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pleasure and nothing else. There is no place for a thing like moral consciousness in his conscience". Robert A. Murrar writes, "If we take away conscience, as Bentham does, there is no such thing as moral or immoral action, though there may remain acts that are generally useful of the reverse. As there is no individual conscience, so there is no collective conscience. The culprit does not feel the censure of the community".

- 2) **Against human nature:** The utilitarian's are of the view that the individual does every work for the attainment of pleasure and for the avoidance of pain. But this analysis of human nature is one-sided. The fact is that human nature is complex. He has qualities like pity, faith, service, benevolence, love, sympathy, sacrifice and forgiveness in him. He fixes his high ideals on the basis of these qualities and bears every type of pain smilingly. For instance, when India was under the foreign rule, many people faced many hardships at the hands of Britishers. They did all these not for their personal pleasure but for their high ideals. Similarly, when in 1962 China invaded India and later on when in 1965 and 1971 Pakistan invaded India, thousands of heroes displayed exemplary courage and also sacrificed their lives. They did all this not for their personal interest but for the high ideal of the protection of their country. Buddha, Christ, Shivaji, Guru Gobind Singh, V.D. Savarkar, B.G. Tilak, Subhash Chandra Bose and Mahatma Gandhi sacrificed everything not for any personal pleasure but for high ideal of benevolence.
- 3) **The utilitarian's laid emphasis upon the material comforts only and ignored the spiritual happiness:** The utilitarian's have cared only for physical comfort, and have ignored the suppression of sense and self-control. They have also not cared for the spiritual comfort which one derives from self-sacrifice for the sake of humanity.
- 4) **It is improper to lay emphasis solely upon the quantity of pleasures:** Bentham has stressed only upon the quantity of pleasure. He has not taken up the qualitative difference therefore, John Stuart Mill has taken up the qualitative difference, which is appropriate.
- 5) **Bentham did not establish any reconciliation between the interests of the individual and those society:** Max has written, "Nor was Bentham able to cross the chasm between individual and social utility". He did not agree that it was difficult to make any difference between the individual interests and social interests. C.L. Way per has rightly said, "Besides in his portrayal of the hedonistic individual, Bentham seems to have left life out of the picture in his study of the atomic Individual, he has left out both society and history".
- 6) **The doctrine of maximum welfare of the maximum number is not free from complications.** Sometimes it is possible that the majority may become selfish and in the name of maximum welfare of maximum number, it may suppress the minority. For instance, the Muslims of Pakistan have turned out the Hindus from their country. This is altogether unfair. Therefore, many atrocities can be committed in the name of this doctrine.
- 7) **This theory ultimately leads to the theory of Laissez Faire.** A majority of the utilitarian's were in favor of the view that the government should not interfere in

the affairs of the individual, so that the individual should be in a position to achieve maximum welfare. Though, in public interest, John Stuart Mill accepted some control of the state, yet he was chiefly a utilitarian. The policy of Laissez Faire harms the interests of the poor and the weak sections of society. Thus this theory suffers from many weaknesses.

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7.4 SOCIALISM

It is difficult to say what socialism is because socialism emerged as a sharp reaction to individualism. It is a political philosophy as well as a great movement. In socialism, economic principles and logic have amalgamated with the political principles in such a manner that it has become extremely difficult to separate them. Secondly, the supporters of socialism hold similar views, regarding many things and because of many contradictory definitions of this subject, it has become difficult to decide which of the definitions is correct. Thirdly, the term socialism is also used for a particular set-up and way of life. Therefore, different writers have used socialism in different ways with different meanings. That is why Joad writes that "Socialism is like a hat that has lost its shape because everybody wears it". Though there is difficulty in explaining the meaning of socialism and there is no uniformity in various social notions and principles and programmes, yet many things are common among them, for instance, all socialists are against capitalism whether they are Communists, State-Socialists or Collectivists, or Syndicalists, Guild Socialists or Anarchists. They want the socialisation of the means of production. This means that they want social control over the means of production. This is the broad meaning of socialism. If socialism is used in a narrow sense, it will mean Collectivism or State Socialism. Now we give some definitions of socialism which will help us in understanding the meaning of socialism more clearly.

Definitions of Socialism: The following are some of the popular definitions of socialism

- 1) Humphrey says, "Socialism is a system of society in which means of the life belong to the community as a whole and are developed and operated by the community with the aims of promoting the general well-being".
- 2) According to **Encyclopedia Britannica**, "Socialism is that policy or theory which aims at securing by the action of the central democratic authority better distribution and in due subordination thereto, a better production of wealth now prevails".
- 3) According to **Hugham**, "Socialism is the political movement of class which aims to abolish exploitation by means of the collective ownership and democratic management of the basis instrument of production and distribution".
- 4) Prof. Ely says, "A socialist is one who looks to society organised in the state for aid and bringing about a more perfect distribution of economic goods and an elevation of humanity, while individualists desire every man to work out his own salvation, material and spiritual".
- 5) Ramsay MacDonald writes, "No better definition of socialism can be given in general terms than that it aims at the organisation of material economic forces of society and their control by the human forces".
- 6) Sellers regards socialism a movement and says, "It is a democratic movement whose

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purpose is the securing of an economic organisation of society which will give the maximum possible at any one time, of justice and liberty”.

Main features of socialism: All socialists, irrespective of their alignment with any branch of socialism, accept the four points, mentioned below:

- 1) State and not individual should control the means of production.
- 2) Production should be based on social necessity and not on individual profit.
- 3) Individual profit motive should be replaced by that of social service.
- 4) Open competition and arbitrary production should give way to cooperation and definite production.

Development of Socialism

During the period from 1750 to 1850, there was a great development of science, art and vocational knowledge in Europe. Therefore, the influence of middle-classes increased. After this, Industrial Revolution took place, and the capitalist influence increased. Though during the nineteenth century, many countries of Europe saw the rise of democracy and nationalism, yet due to the influence of individualism, governments did not feel it necessary to have economic control or to remove the ills of capitalism. Owing to this, the condition of the working classes deteriorated. Having been influenced by the condition of the workers, Karl Marx produced sufficient literature on scientific socialism. Prior to Karl Marx there were many socialists, who suggested social control over private property. They were deeply touched by the miserable conditions of the poor, and thus they suggested this measure. To differentiate them from Karl Marx, they are called Utopian Socialists, because they did not give any solid arguments like Marx about the practical form of socialism.

Essentials of Utopian Socialism: Utopian socialism had a great faith in human intellect, good nature and goodwill. These socialists were against capitalism and said that it created not only social and economic inequality, but also degenerated morality. Thus, they wanted to bring in socialism by abolishing capitalism. However, they believed that socialism could be established by will. This was a great mistake on their part.

Downfall of Utopian Socialism: There was less reality and more idealism in Utopian socialism. Therefore, when Karl Marx preached his scientific socialism, Utopian socialism vanished in no time.

Marx emphasised the socialisation of the means of production, which is the chief basis of modern socialism.

Arguments in Favour of Socialism

- 1) **Socialism contradicts capitalism which is based on exploitation.** Socialism is against capitalism, which is based on exploitation. The capitalists exploit the poor and lead an idle and luxurious life on the profits earned by the poor. There is economic inequality due to capitalism, which hinders social progress. Therefore, socialism wants to put an end to this exploitation and establish social equality.
- 2) **Socialism prevents economic waste due to open competition.** In a capitalistic system, there is open economic competition, in which much money is spent on propaganda, advertisement and on other such things. The capitalists do not produce

wealth according to the needs of the society, but they produce goods for their own benefit. This results in the production of some things and there is also dearth of many other things. This situation creates trouble for the society. Socialism removes both these evils of capitalism and lays emphasis on co-operation instead of an open competition.

- 3) **Socialism is based on justice more than capitalism.** Capitalism concentrates the capital of the society in a few hands, which is based on injustice. Socialism wants the social control over factories, ships and railways. It does not want that these should be controlled by a few persons. Therefore, socialism is based on justice.
- 4) **Socialism is more democratic than capitalistic system.** The question of economic equality does not arise in a capitalistic system, because in this system the wealth of the country is concentrated in the hands of a few persons. Where there is a great economic inequality, success of democracy becomes doubtful. Thus, in order to make democracy successful, it is essential to establish socialism.
- 5) **It is more natural.** The socialists are of the view that socialism is more natural than capitalism. Nature has distributed air, water, rain, etc., equally among all the people. Therefore, it is desirable that there should be social control over land and minerals.
- 6) **It is more scientific.** Socialism is more scientific than capitalism, because capitalism safeguards the interests of a few, while socialism protects the interests of the society. Socialism attaches more importance to the society, than to the individual and urges the individual to devote himself to the service of the community.

CRITICISM OF SOCIALISM

Socialism has been criticised as under:

- 1) **It kills individual initiative.** Each individual works more and more for private property. In socialism, private property cannot be utilized for investment in the market to earn profit. Therefore, individual initiative to produce more will be killed under social control.
- 2) **Under socialism, functions of the state would be so much enlarged that it would not be possible for it to discharge them well.** According to socialism the state should not only take up protective functions like maintenance of law and order, justice and protection against foreign aggression, but it should also increase the production. For this purpose it should take up the socialisation of the means of production. It will be very difficult for the state to perform enormous functions.
- 3) **Socialism will fail in practice.** Critics are of the view that socialism will fail in practice. Socialism wants to establish peace and economic prosperity and to remove economic disparity and social ills. But in practice this is very difficult to accomplish.
- 4) **Socialism divides society into two classes.** Socialism divides the society into two classes-Capitalists and Workers. Their interests are conflicting and there can be no unity between them. This brings about conflicts and clashes in the society.
- 5) **It kills individual freedom.** Socialism gives many powers to the state and it interferes in every sphere of the individual activity. This mars individual freedom.

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Socialism may be criticised bitterly, but the progressive powers of the world are against capitalism and they are in favour of socialism. Today socialism is seen in different parts of the world in one form or the other. Russia, China, East Germany, Yugoslavia, Czechoslovakia, Poland, Rumania, Hungary, Finland, etc., are socialist countries. In England in 1974 the Labour Party formed its government. In 1966 elections, Labour Party won with a thumping majority. In India the ruling Congress Party's aim is to establish socialism. The Congress repeated its determination in its 1955 session at Avadi (Tamil Nadu) and in 1964, at Bhuvaneshwar, to establish socialism in the country. Many of the drawbacks of socialism can be removed. It is positively better than capitalism and individualism, because its aim is to remove economic inequality and to establish comfort, peace and prosperity. Socialist governments have made many laws for the benefit of the workers and for the abolition of capitalism. Therefore, it is being expanded in the world at a great speed.

7.4.1 Marxism or Scientific Socialism or Communism

Karl Marx was the real founder of socialism. Socialism propounded is also known as Marxism or scientific socialism or communism. In his Corn Manifesto, Marx says, "Communism in this sense of word is essentially a theory method, it seeks to lay down the principles upon which the transition from capitalism to socialism is to be accomplished and its two essential doctrines are the class war and revolution that is the forcible transfer of power to the proletariat".

Life sketches of Karl Marx and Engels. Karl Marx was born at Traves in Germany in 1818. His father was a Jew who was a legal practitioner. Later, he embraced Christianity. Marx received education at Bonn and Berlin Universities. He studied law, history and philosophy at Bonn (Germany). He was a genius and he studied extensively during his whole life. In order to receive a doctorate degree, he wrote an original essay on the materialistic philosophy of Epicurus. In 1841, he obtained the degree of Doctor of Philosophy. Probably, Marx wanted to take up a teaching profession, but at that time his extremist views were not liked by the German Government and the University officials. Thus, he gave up his idea of teaching and became a free-lance journalist. In the beginning, he became Assistant Editor of Rhenish Times and later he became its Editor-in-Chief. There, he found his economic and historical knowledge as inadequate. Therefore, he made a profound study of socialism, economics, history and political science. After some time, owing to differences with the owners of the paper, he resigned.

In 1843, Marx married Jeni Faun Westfolhen. At the end of 1843, he settled in Paris along with his wife to study socialism, because Paris was a great centre of socialism at that time. There, he became one of the editors of Franco-German Year-Books. After some time the publication of Franco-German Year-Books stopped Therefore, Marx was out of job. He utilised his leisure time properly and established relationship with the French and German radical philosophers and socialists. There he also met the Communist anarchist Bakunin, Italian patriot Mazzini and French socialist leader Proudhon (1809-65), Friederick Engle's and Ferdinand Lassale (1825-64). Friederick Angles (1820-1895) came of a rich family. He helped Marx from time to time and they wrote many books jointly.

While at Paris Marx wrote an article which greatly offended the Prussian

Government. The Prussian Government asked the French Government to expel Marx and other radical philosophers. After that Marx went to Brussels, where in 1848, he wrote his famous small book '**Communist Manifesto**'. When the revolution broke out in Paris in 1848, he rushed to that place to take part in it, but the revolution failed. After that he went to Germany and took part in socialist revolution in 1848. He was arrested and tried for treason but was acquitted of this charge.

Ultimately, he settled as an exile from his homeland in London where he devoted his time and energy to writing books and pamphlets on socialism. He led a life of abject poverty in London, but he did not give up courage and continued his studies on socialism. In 1867, he wrote his world-known book '**Das Capital**'. His other important books are:

- 1) An Introduction to the criticism of Hegel's Philosophy of Rights, 1844.
- 2) Holy Family, 1845.
- 3) Philosophy of Poverty, 1847.
- 4) Critique of Political Economy, 1852.
- 5) Inaugural Address, 1864.
- 6) Value, Price and Profit, 1867.

In 1865, he established International Working Men's Association, which is also called 'First International'. Marx died in 1883 in London. Laski has given account of Marx's contribution as under:

"From whatever aspect it be regarded, the work of Karl Marx is an epoch in the history of social philosophy. The vital fact about him is that he found communism a chaos and left it a movement. Through him it acquired a philosophy and direction".

Doctrine of Karl Mark

A) Dialectical Materialism of Karl Marx. Karl Marx was very deeply touched by the evils of capitalism which took birth due to industrial revolution. He was also influenced by the contemporary socialistic ideology and Hegel's Dialectic. Marx's ideology starts from Hegel's Dialectic. Therefore, it is essential to understand Hegel's Dialectic. Hegel was a German Philosopher and at time of Marx, Hegel's philosophy dominated the Bonn and Berlin Universities when he was a student there. He accepted the outer form of Hegel's philosophy and discarded its spirit. Hegel was a spiritualist. According to him the world including individuals and societies, is dynamic in nature; it is not static but is in a constant flux. An idea occurs in man's brain and many ideas crop up to support that idea. In this way, thesis is prepared, but certain defects are noticed in this thesis. Therefore, many views occur in man's mind against this thesis. Later, there is a compromise between these contradictory ideas and with the co-operation of the both a synthesis is produced. Then a reaction takes place in man's mind against this synthesis and coordination again becomes thesis. Then anti-thesis takes place and in the end synthesis is created with the reconciliation of the two. In this way, development takes place through thesis, anti-thesis and synthesis. According to Hegel, this cycle of human reason continues, because dynamism is the law of the mature.

Marx abandoned the idealism of Hegel and adopted the materialist view of the world. Thus, Marx's philosophy is different from that of Hegel. Marx himself admitted

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in the introduction of his well-known book 'Das Capital', "I found the Hegelian dialectic standing on its head. I put it on its foot". Marx believed that Hegel's theory was opposite to his (Marx's) theory, as his own philosophy is straight. Engels has skilfully explained Marx's dialectical materialism by giving an example of a barley seed. He argues, if a barley seed is sown, it will turn into an offshoot with heat and moisture. In this way, the barley seed will destroy itself but its offshoot shall take the shape of a plant. That plant shall bear many grains and with the labour of the farmer these grains can be of better quality. After some time, that plant will destroy itself and the seeds will reproduce many more plants. According to Engels, the seed is thesis and the plant is anti-thesis. Its fruit is synthesis. He has also given another example to explain thesis, anti-thesis and Synthesis, He says that in the beginning the entire society had a control over the land. This was a thesis. Later on, the idea of individual control cropped up. It was an anti-besis. Individual ownership on land was established and the production increased. The people supported this view. After the industrial revolution, many machines were invented. Therefore, the idea came up to adopt mechanical methods, in the field of agriculture to boost production, but the individual had no financial resources to buy tractors or to install tube wells for agricultural production. Therefore, the people demanded the social ownership of land and nationalisation of industries. In this way, a relationship was established.

W. shall take up other features of Marx's Dialectical Materialism

- 1) Joseph Stalin, in his book '**Philosophy of Marxism**' says, "Contrary to metaphysics, dialectics does not regard nature as an accidental agglomeration of things, of phenomena unconnected with, isolated from and independent of each, other but as a connected and integral whole in which things, phenomena are organically connected with, dependent on and determined by each other".
- 2) Regarding Dialectical Materialism Engels says, "All nature from the smallest thing to the biggest, from a grain of sand and sun, from the protista to man, is in a constant state of coming into being and going out of being, in a constant flux, in a ceaseless state of movement and change".
- 3) According to Dialectical Materialism, difference in quantity of things also bring difference in their quality. For example, when the boiling point of water exceeds a limit, it becomes steam and when it comes down considerably it freezes.
- 4) According to Dialectic, the process of the development and change of things is not simple but it is zigzag and complex. It is like a circle and an expanding line.

B) Economic or Materialistic interpretation of history. After this Marx tried to find out how capitalist society developed. He got clarification of this in the history and, therefore, he gives materialistic interpretation of history. For this purpose, he implemented his dialectical materialism in the process of the social development. Marx agreed with his master, Hegel that history represents a continuous and logical evolution but he differed from Hegel in maintaining that this dialectical movement was not due to any metaphysical causes but was the product of material conditions of life. In this way, he arrived at the economic explanation of the history of his theory. According to his theory, the historical events can be explained in the light of physical situations of life. Marx said, "Legal relations as well as forms of state could neither be understood by themselves, nor explained by the so-called general progress of the human mind but they are rooted in the material

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conditions of life. The mode of production in material life determines the general character of the social, political and spiritual processes of life. It is not the consciousness of men that determines their existence, but on the contrary, their social existence determines their consciousness". Marx further says that it is the forces of production, which determine the relationship of production and the relations of production in turn are the foundation on which the institutional and ideological superstructure of society is built. The change in the relations of production brings about a change in all other relations. In each age, the class which had control over the means of production had also control over the political power. During the middle Ages, Feudalism was in vogue. All the institutions and social ideologies were framed according to feudalism. When in Europe feudalism declined and nation-states emerged, all the institutions and ideals of society were framed according to them. When capitalism came into existence, the entire morality, ideals and institutions changed accordingly. Crossman sums up this theory in the following well-chosen words, "The wheel, the plough, currency and factory system, each in its time, had by its invention upset long-standing habits, moral laws, religious and political systems. It was the development of science of warfare, of communication, of farming, industry and finance which had really changed our ways of life and thought. These changes in the technique of production and distribution were primary factors in the dialectic of history; the principles of legislators and whims of princes could delay or accelerate change, but they were subject to the basic economic force which controlled the process".

How do the materialist circumstances influence our life? In order to make it clear, the example of Great Britain is given where the reason to give the right of franchise to women was given, not that their demands were just because John Stuart Mill had proved this with strong arguments, but the real reason for this was that a large number of women had entered the industrial life. Secondly, it is said that religious tolerance has not been given, because it was appropriate, but it was given because due to its absence domestic conflicts took place, which created difficulty in trade and commerce. Thirdly, the British did not introduce political reforms in India, because they considered the demands of the Indians as proper, but they did this because a contented India could serve as a good market for the finished products of Great Britain.

Along with the change in the system of production, there is also a change in the mutual relations of different classes. Marx, on the basis of the change in the relations of production has divided the human history in six parts.

- 1) **Age of Primitive Communism.** In this age, the institution of property had not taken birth and man had no knowledge even of agriculture and cattle-breeding. He had to live on hunted-animals and fruits. In this stage in each individual loved the other and they divided among themselves whatever they got.
- 2) **Age of Slavery.** In this age the agriculture and cattle-rearing started. Certain people were the owners of the land and certain people were slaves. It was the duty of the slave to produce and the master enjoyed the fruit of the slave's labour. Then feudal system emerged.
- 3) **Age of Feudalism.** During this age big landlords were the owners of the land and in place of slaves farmers tilled the land but they were not the owners of the land. They were completely under the control of their feudal lords.

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- 4) **Age of Capitalist Society.** The fourth age of capitalism started in Europe after industrial revolution. Many big industries were established and their owners were called capitalists. Millions of labourers worked in these industries. They got a meagre salary and the capitalist became the owner of the residual profit of the production. The capitalist had no control over the body or activities of the labourer as was the system in the age of slavery. During that age the masters had full control over the bodies of the slaves.
- 5) **Dictatorship of the Proletariat class.** Marx said that his age (nineteenth century) was the age of capitalism. There would be a constant struggle between the capitalists and the workers, because the capitalists exploited the workers constantly. In this struggle, the workers would ultimately be victorious. After the revolution, capitalism would perish and dictatorship of the proletariat would be established. Marx's prophecy came out to be fully true and today the dictatorship of the proletariat has been established in Soviet Union, China, Bulgaria, Hungary, Rumania, Poland, Czechoslovakia, Finland and Yugoslavia.
- 6) **Communist Age.** Marx predicted that the last age would be the communist age. In this age there would be no class struggle because capitalism would have perished in the first age and thus there would be only one class. A classless and stateless society would be established. In this age each individual would produce wealth according to his or her ability and each individual would get wealth according to his or her need.
- C) **Theory of surplus value.** Economists like Ricardo and Marx also believed that the price of a commodity is to be determined according to labour invested on it. Thus, according to Marx, the basis of wealth is labour. Marx was of the view that the labourers produce wealth with their labour, but the capitalists do not give them their share of profit. For instance, the capitalists purchase big machines and also establish big factories with their capital. Millions of labourers work in these factories. Due to lack of capital, the labourers cannot establish big factories. They are compelled to sell their labour and get employment in the factories established by the capitalists. The capitalists sell the finished goods at a high rate and give meagre wages to the labourers. The difference between the cost of the finished goods and their sale price is called profit. This process of earning profit is called the theory of surplus value. Marx held the view that this profit should go to the labourer and not to the capitalist because labour is the basis for production of all types of wealth.
- D) **Theory of Class War.** Marx is of the view that there have always I classes in the history of mankind, i.e., the exploiters and the exploited. Mail-laid stress on class struggle saying that, "The history of all hitherto existing society is the history of class struggle. Freeman and slave, patrician and plebian, self, guild-master and journeymen in a word oppressor and oppressed, stood constant opposition to one another, carried on an uninterrupted, now hidden, now open fight, a fight that each time ended, either in a revolutionary reconstitution of society at large, or in the common ruin of the contending classes".

According to Marx, the capitalists and the labourers do not reconcile in this struggle, because the capitalists are the exploiters and the labourers are the exploited. The interests

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of both these classes clash with one another. Therefore, this struggle can stop only if capitalism is abolished and the workers gain a victory. Marx was of the firm belief that germs are already present in the capitalism to destroy it, because the capitalism, with its inherent evils, creates a situation for self-destruction. Due to capitalism, the wealth of the country is concentrated in the hands of a few. On the other hand with the increase of industries, the number of labourers also increases. The labourers establish mutual contact due to concentration of mills in big towns and also because of the trade and capitalism assuming an international form. Transport facilities also play an important role in the field of the establishment of mutual contacts of the labourers. Later on, they establish national and international contacts. With the increase of capitalism, the condition of the workers worsens and great unrest spreads among them. Therefore, the labourers raise the banner of revolution. Marx prophesied that the workers will ultimately come out victorious in this struggle.

E) Capitalism carries within itself the seeds of its own decay. Coker has very ably defined the manner in which capitalism advances towards its own decay. He says, "Thus, the capitalist system enlarges the number of workers, brings them together into compact groups, make them class conscious, supplies them with means of inter-communication and co-operation on a world-wide scale, reduces their purchasing power, and by increasingly exploiting them, arouses them to organised resistance. Capitalists acting persistently in pursuit of their natural need and in vindication of a system dependent upon the maintenance of profits are all the time creating conditions which stimulate and strengthen the natural efforts of workers in preparing for a system that will fit the needs of working men's society".

Though according to Marx the seeds of its own decay are present in capitalism, yet in order to destroy capitalism at the earliest, the workers must organise themselves and they should bring about a revolution. That is why Marx wrote at the end of his manifesto, "the Communists disdain to conceal their views and aims. They openly declare that their ends can be attained only by the forcible overthrow of all existing social conditions. Let the ruling classes tremble at the communistic revolution. The proletarians have nothing to lose but their chains. They have a world to win. Working men of all countries, unite".

Dictatorship of the proletariat class and establishment of Communism: Marx says that after the revolution, the dictatorship of the proletariat will be established and the capitalism shall perish. The communist party shall be responsible for the organisation of the Communist forces. The working class shall control the government. With the help of the government there will be socialisation of the means of production. With the socialisation of the means of production, the capitalists and their supporters will enter into competition and they will try to organise a counter revolution. In order to crush the capitalists completely there, will be the dictatorship of the proletariat in transitory stage. When the capitalism is crushed by force only the laborers will remain and there will be end of class struggle. Marx says that in the long run a stateless and classless society shall be established. In this society, the principle of distribution shall be from each according to one's ability and to each according to one's needs.

CRITICISM OF MARXISM OR COMMUNISM

Communism has been criticised as under

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- 1) **Karl Marx's analysis about the laws of capitalistic development has not come true.** Karl Marx was of the view that due to expansion of capitalism, petty capitalists would perish and they would not be in a position to face big capitalists in open competition. According to him, wealth would be concentrated in the hands of a few capitalists and the condition of the workers would worsen day by day. Karl Marx's prophecy has not come out true because petty capitalists have not perished in competition of the big capitalists and condition of the workers has not deteriorated. On the contrary, it has improved. This is due to the establishment of welfare state in many countries. The governments are making many good laws for the benefit of the workers.
- 2) **Marx's economic interpretation of history is one-sided.** Marx said that changes in the history of making have been due to economic reasons. He has not attached any importance to other reasons, which is not correct. The various activities in the history of mankind cannot be explained fully on economic basis. The other factors like geography, psychology, religion, and social, political and sexual activities have also played a very important role in the history as is the view of socialists like Giddings and Hobhouse.
- 3) **The Theory of Surplus Value does not contain the whole truth.** Marx has accepted that the labour is the only source of wealth and he has completely ignored all other factors like capital, machinery, organisation and management of factories. Therefore, the modern economists accept the truth of the theory of surplus value only partially.
- 4) **Marxism or Communism does not attach any importance to religion.** Karl Marx has criticised religion, and he has called it opium for the labourers. This is not true; Religion does not preach the exploitation of laborers by the capitalists. On the contrary, religion is against all types of exploitation and it lays special emphasis on the help to the poor, morality, benevolence and sympathy. That is why the Christian socialists condemned the capitalists for exploiting the workers. Anti-religious propaganda is carried on in Russia on a large scale. The Communists do not believe in God and spiritualism.
- 5) **Marxism ignores democracy.** Karl Marx emphasised the establishment of dictatorship in the transitory stage and completely ignored democracy after the communist revolution. That is why democracy could not be established in the countries in which Marxism was brought into force. This is the position in Soviet Russia, China, Bulgaria, Czechoslovakia, Poland and Hungary and Finland. Though all types of rights have been granted to the citizens in the constitutions of these countries, yet democracy has not been established there, because of the lack of independence of judiciary and freedom of speech and press. There is only one communist party which is the ruling party. Besides, that no other political party can be organised in these countries
- 6) **Marxism or Communism is opposed to nationalism.** Marx said, the proletariat has no fatherland. Communism is an international movement and the-communists want to bring in communism in the world. For this purpose they continue their violent activities in the countries where communism has not flourished as yet. They

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do not believe in patriotism. During Marx's life when a war broke out between France and Germany in 1870, his followers said that it was immaterial whether Germany or France won a victory, since the war was going on between two capitalist countries, thus, this slogan proved very unpopular in France and Germany. The Communists were branded as seditionists, and they were arrested. In our country, when in 1942 Mahatma Gandhi and the Congress started Quit India Movement, the Communists, who were then a part of the Congress, opposed this movement and supported the British. That is why they were expelled from the Congress as seditionists. When Jinnah demanded a separate homeland for the Muslims in the name of the right of self-determination, and the creation of Pakistan by dividing the country, the Communists justified this demand. When in 1962, China invaded India, the leftist communists, instead of taking India's side, supported the Chinese. Therefore, they were arrested for this anti-national attitude.

- 7) **Marx's principle of distribution is not practicable.** Karl Marx said that in the Communist society the principle 'from each according to one's ability and to each according to one's needs' should be adopted. This principle is impracticable. This principle has not been adopted even in the countries like Soviet Russia, China and other countries of Eastern Europe when communism has been brought about by force. It is difficult to determine the actual needs of the individual.
- 8) **Communism believes in sabotage and violence.** The Communists do not believe in parliamentary or non-violent methods for bringing about Communism. They want to overthrow the existing governments by conspiracy and sabotage, and establish communist governments in their place. North Vietnam took similar action South Vietnam with the help of China, and war broke out between North and South Vietnam which culminated in the victory of North Vietnam. During 1948-50 North Korea indulged in similar activities in order to overthrow the government of South Korea. In the past this type of conflicts also took place in Laos.
- 9) **Class war will undermine the social unity and national security.** Continuous conflict between the capitalists and the workers for gaining power would prove harmful for the country. It will spoil the social unity and there will be a danger to the national security.
- 10) **State has not withered away.** Marx prophesized that the state would wither away, but this has not proved true. Since the Russian revolution in 1917, the state has not withered away and instead it has consolidated its position.
- 11) **Revolution has not taken place in many countries as envisaged by Marx.** Marx prophesized that first of all there will be a communist revolution in the industrially advanced countries like Germany and England and later on it will come in agriculturist countries like Russia. Revolution did not take place in Germany and England before the Russian revolution in November 1917, while after Second World War communist revolution swept agriculturally backward countries like China and some countries of Eastern Europe.
- 12) **The functions of the state will increase too much and individual initiative will be killed.** Communism makes the state so powerful that it controls each and every sphere of the individual's life. This ruins individual freedom and increases

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the dependence of the individual on the state.

13) It kills individual initiative. Communism does not allow the investment of private property in the market. This kills the individual initiative and affects the production, because each individual works more and more only because of the motivating force of personal benefit.

14) Wrong conjectures about State's nature. The nature of state as defined by Marx has also been criticised. He declared that the state was a capitalist institution. It is a tool in the hands of capitalists for the exploitation of the labourers. But the reality is different. State is neither a bad institution nor a good one. The virtue and vice of the state depends on the way the administrator makes use of it. Marx himself said that after social revolution it should be used for the destruction of capitalism and through it, socialism should be consolidated.

Importance and influence of Communism. Though Marx's views have been bitterly criticised on the basis of the factors mentioned above, yet his views have a great influence on the present-day world. Marx was not only a great thinker and philosopher but also a great revolutionary. One may or may not agree with his ideology, but it cannot be denied that all ideologies of socialism have got inspiration from Marxism. Marx's views have given a great set-back to capitalism and imperialism and the labour movements in the world received inspiration from them. As a result of Marx's views, many countries have made laws for the welfare of the workers. Marx's views had a great influence over Russia, China and many countries of Eastern Europe like East Germany, Poland, and Hungary. Rumania, Bulgaria, Finland, Czechoslovakia and Yugoslavia. Communist revolutions have taken place in these countries and the entire social and governmental set-up has been shaped according to the teachings of Marx. In different countries of the world, the communist parties are carrying out revolutions. Marx's philosophy is also influencing these revolutions.

Philosopher Russell writes, "Marxist doctrines like those of other men are partly false. There is much that can be controverted but there are some points in theory that are of such importance as to prove him a man of supreme intelligence". Sabine says, "The economic interpretation of history was certainly one of the most important additions made to social theory in the 19th century. In the words of Weyl, "For the power of his message, for the inspiration of his teaching and for his effect upon future developments, Marx can be sure of his place in any collection of world's great masters of political thought".

7.4.2 LENIN (1870-1924)

Life and work: Karl Marx died in 1883 and Frederick Engels died in 1895. After their death, the development of communism continued unabated. Among the disciples of Karl Marx, Nikolai Lenin is the most popular figure. He was born on 9th April, 1870 in Ulyanovsk (Russia). He founded the Communist Party of Russia in 1890. That was the first Communist Party of the world. In 1892, he came to St. Petersburg and studied closely Marxism and watched with keen interest the changes which Russia was undergoing. After this he founded the 'League for Emancipation of Working Class'. During this time he became a serious student of the philosophy of Karl Marx and devoted himself to the revolutionary activities. In 1898, he was arrested by the Czar Nicholas II

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(1894-1917) on account of his objectionable and revolutionary activities and deported to Siberia. During the period of his exile, his thinking about Marxism became quite clear and he systematised his ideas. He also studied many foreign languages during this period. After sometime he was released from jail.

Lenin shot into prominence only after 1900 when he expounded clearly that his Communist party would not be satisfied with anything less than the proletariat dictatorship through the revolution. This resulted into the division of the communist party in two opposite camps, Bolsheviks and Mensheviks. While the Bolsheviks agreed with the ideas of Lenin, Mensheviks did not agree with them. Mensheviks held the view that Russia was not ripe for revolution and were satisfied with democratic government if that was established. Lenin, however, stuck to his old ideas. However, on one point both the groups agreed that the Czarist regime should be overthrown. Secondly, on another point also both the groups of the Communist Party differed. While Bolsheviks headed by Lenin maintained that the land should be snatched from the landlords and should be distributed amongst the peasants, the Mensheviks held the view that the land after being snatched from the capitalists should be nationalised and not be distributed amongst the peasants. It was at this stage that Lenin was again arrested for his revolutionary activities because of being associated with 'Socialist Democratic Workers Party'. After sometime he was released. Then he started publishing his revolutionary paper 'Iskare' (Sharks) and began to preach his creed vehemently.

Revolution of March, 1917. In 1904-5 there was a Russo-Japanese war in which Russia was defeated. The public put the whole blame on Czar Nicholas II, the Emperor of Russia. So there were big demonstrations against him and also revolts at several places which were put down by a strong hand. However, there was a persistent demand for political reforms. Consequently, to satisfy the demands of the public, first Duma (Parliament) was called and the Czar inaugurated it in 1906. Though in this Duma, the representatives mostly consisted of landlords, yet they demanded more political rights, so he dissolved first Duma after three months.

Compelled by the circumstances, the Czar had to call the second Duma in March 1907. In this Duma (Parliament) there was a majority of the representatives of the labourers and the farmers. The Czar, due to his reactionary policies could not pull off with this Duma, so he dissolved it on 3rd June, 1907. After this he restricted the franchise greatly and held the elections again. In this Duma, the majority consisted of the representatives of the landlords who were supporters of the Emperor, so it could work up till 1912. After this, the fourth Duma was called and it continued up to 1917. The First Great War raged in Europe furiously from 1914 to 1918. Russia was on the side of the Allies (England, France, Italy, Belgium, Holland, Japan and U.S.A. etc.) and it fought the Axis Powers (Germany, Austria, Hungary and Turkey). Russia was badly defeated by the German forces in 1916. Consequently, great discontent prevailed in Russia against Czar Nicholas II. There was serious shortage of supply of everything in Russia. The soldiers were sent on the war-front without adequate latest weapons and equipment. The capitalists stocked the food and sold at a heavy price in foreign countries and earned big profit. Consequently, the people began to starve and there were big demonstrations against the Czar in Petrograd, the capital. There was also a great discontent amongst the soldiers because of the worst conditions under which they had to continue

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demonstrators with a strong hand but the Generals refused to fire against the hungry demonstrators. It assumed the shape of revolt up till March 11, 1917 and they fully sympathised with the leaders of the revolt. Under these circumstances, the Duma organised a provisional government under Prince Lvov on March 12, 1917 and the Czar was forced to abdicate. Czar Nicholas II abdicated in favour of his brother who refused to accept the offer. After this, the Czar and his family members were arrested. This is called the revolution of March 1917 in the history of Russia.

Lenin and Revolution of November, 1917. This provisional government could not work well as the First Great War was going on and due to the defeat of Russia; it had to face tremendous difficulties. It could neither satisfy the starving people nor the badly equipped soldiers. Therefore Bolsheviks led by Lenin and Trotsky gave a stirring call to stop the war, establish peace, reform the condition of the labourers the peasants, abolish the Zamindar (Landlordism) and capitalism and give aid to the millions of people, the Bolsheviks (Communists) established their Soviets (workingmen's organisations) which occupied the factories. The former occupied the lands for the landlords forcibly. The soldiers and the people were ready to side with Lenin because the people were starving and the war was being carried out in the interest of the landlords and the capitalists. There was great discontent against the provisional government and on 6th November, 1917, a revolt erupted against it. It tried to suppress the revolt and issued warrant of Lenin but could not achieve success. So on 7th November, 1917, the provisional government was overthrown and its members were imprisoned by the followers of Lenin. This was the revolution of November but as the Russian calendar was defective, so it showed 25th October. Therefore, it is also called October revolution. This was in fact a proletarian revolution led by Lenin. After this Lenin fulfilled his promises. In order to check the counter-revolution, the Czar, his family members and thousands of capitalists and landlords were put to death. Therefore the communist revolution was complete and Lenin became the head of the government on 26th November, 1917. He nationalised the banks and gave land to the peasants.

He died on 21st January, 1924 and was succeeded by Stalin

Works: Some of the important works of Lenin includes

- a) What is to be done (1902).
- b) Two tactics of Social Democracy in the Democratic Revolution (1905).
- c) Materialism and Imperialism criticism.
- d) Imperialism, the Final Stage of Capitalism.
- e) State and Revolution

U.S.S.R. has printed the collected works of Lenin.

Leninism (Communism). Karl Marx died in 1883 and Frederick Engels died in 1893. After their death, the development of communism continued unabated. Among the disciples of Karl Marx, Lenin is the most popular figure as he was the founder of the first Communist Party and socialist state of the world. Lenin considered Marxism as a continuously progressive principle. He is known as a staunch Marxist because he considered Marxism in the changed circumstances in a new way and expressed his views on many subjects. His ideology is called Leninism. Stalin has himself explained

Leninism in this way, “Leninism is Marxism of the era of imperialism and of the proletariat revolution. To be more exact, Leninism is the theory and tactics of the dictatorship of the proletariat in particular”. Marx expressed his views in the era when capitalism had not fully developed and proletariat revolution was yet away, but Lenin expressed his views at a time when capitalism had already been developed and the proletarian revolution had taken place at least in Soviet Russia. Therefore, in spite of originality both differed from one another. Sabine has said:

“Lenin’s Marxism was in the last degree dogmatic and orthodox and designed in large part to provide a creed for fighting organisation of professional revolutionists. Yet it was responsible for the most considerable changes that any follower of Marx made in Master’s teaching”.

Lenin’s Theory of Imperialism: Like Marx, Lenin was a bitter opponent of capitalism. The hard fact is that he criticised capitalism more than Marx did. In his book, *Imperialism-the Highest State of Capitalism*, he writes that imperialism is the last stage of capitalism. He says that modern imperialism is different from ancient and medieval imperialism. Ancient and medieval imperialism was the real form of the urges for victory of the emperors, while modern imperialism is mainly economic. In the words of Sydney, “Lenin gave a new orientation to the Marxist analysis of Imperialist capitalism”.

Marx had said that with the spread of capitalism, the condition of the workers would worsen. Critics of Marx and particularly Revisionist leader Edward Burnstine (1850-1932) said that Marx’s prophecy had not come true, because with the expansion of capitalism neither the condition of the workers had worsened nor the number of capitalists had decreased. The downfall of capitalism has also not occurred. To save the situation, Lenin however expounded the theory of Imperialism which he defined as “final stage of capitalism beyond which it could go no further”. For him it was a monopoly stage and there were no chances of free competition in that. According to him, small scale industries are converted into very large scale ones. Free competition, however, exists side by side the monopoly conditions and is accompanied by cut-throat competition. In this power goes in the hands of a few bankers and the state affairs are run, controlled and managed only by a few industrialists. According to Lenin basic principles of imperialism were (a) the monopolistic conditions play a prominent role in the economic life of the people; (b) export of capital becomes unusually important and maximum stress is laid on that; (c) there is a tendency towards international monopoly; and (d) finance capital creates financial oligarchy. Lenin himself has defined imperialism in the following words, “Imperialism is capitalism in that stage of development in which the dominance of monopolies and finance capital has established itself, in which the export of capital has acquired pronounced importance, in which division of world among the international trusts has begun, in which division of all territories of the globe among the biggest capitalists powers has been completed”.

According to Lenin, Marxian prophecies would certainly have come true, had not the economic conditions changed which Marx foresaw. After the death of Marx, industries have monopolised and the industrialists instead of looking for the national capital began to depend on the banks for financing their capital. The capitalists instead of depending on the local market began to depend on the national and international markets. According to Lenin, the capitalist countries faced their ruin and the condition of workers had worsened. But now they have explored new colonies and while exploiting the people in

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these colonies, they have not improved the condition of all the classes of society. In fact, the condition of these colonies is bad and they have full right to freedom. Therefore, Marx's views that with the increase of capitalism, the condition of the workers would worsen should be applied to the people of those colonies whose condition is worsening continuously. Lenin was of the view that there will be an increase in monopoly in modern capitalism and the capitalists' bank shall have a control over the industries. The capitalists will invest the money in foreign countries in order to earn wealth. After that there will be a great struggle among the capitalists in order to establish monopoly in international field and themselves. This process ultimately leads to World War. In the words of K. Kautsky, "Imperialism is a product of highly developed industrialism and capitalism. It consists in the striving of every industrial capitalist nation to bring under its control or to annex larger areas, of agrarian's territory, irrespective of what nations inhabit those regions". According to Lenin, imperialism will also lead to a conflict between imperialist nation and its dependent colonies. It will result in a class struggle between the dependent colony will fight for its independence against the imperialism and imperialism is bound to decline. Lenin's prophecy has come true because Britain was first class imperialist power at the time of the First Great War (1914-18) and after the Second World War (1939-45), its imperialist power began to decline. India, Burma, Sri Lanka and many other Asian and African countries gained independence. Like the British colonial empires, French and Portuguese colonial empires have come to an end. Thus, the political imperialism has come to an end but economic imperialism of U.S.A. continues.

Lenin on State. Lenin like Marx held the opinion that the State was a capitalist institution, so it was a capitalist institution and was an important instrument in the hands of the capitalists to crush the workers and peasants. Whenever the workers and the peasants rose in revolt against the oppressive state, then the State came to the rescue of the workers. In the words of Laski, Lenin believed that "State is a product and manifestation of irreconcilability of class antagonisms". He maintained that the capitalists directly or indirectly are in the majority in the legislatures, and as such minority cannot expect justice at their hands. He was of the opinion that the State helped the capitalists to control the means of production and distribution. The capitalists after controlling the means of production and distribution maintained their monopoly and fully exploited the workers. While the anarchists held the opinion that the State should be dispensed with at once to solve the problem, Lenin on the other hand maintained that "the workers needed the state in order to overcome the resistance of the exploiters after the revolution". As the justice is also managed by the capitalists through the agency of the state, so the present judicial institutions should also be dispensed with to impart justice to the workers and the peasants. Lenin was of the opinion that through these institutions the State maintains and perpetuates its control over the exploited, so there was no need of the capitalist state and its judicial institutions.

Lenin on Parliamentary form of Government or Democracy. Lenin, being a Marxist, did not believe at all in the parliamentary form of government because it represented the capitalist democracy. He thought that in this form of government, the representatives hardly mattered because the representatives of the ruling party were controlled by the Prime Minister who protected generally the interests of the bourgeoisie and the capitalists. Therefore, he wanted to replace the parliamentary institutions by the Soviets

(Workingmen's organisations). In the words of Coker "A Soviet represents working man's constituencies-grouped in factories, workshops are unions-rather than in residence districts which correspond to no real units in the economic and social interests of working men". Lenin believed there was no need of the Upper House and the constitutional monarchies should be abolished. The whole power should be vested from top to bottom in the Soviets who are elected by the electorate to represent their cause and to protect their interests.

According to Lenin, pure democracy was the phrase of Liberal who wanted to dupe the working class. He condemned the writings of Kautsky for their attitude towards the so-called bourgeois democracy. He stood for the dictatorship of the proletariat. He had no faith in the democratic traditions as they exist in the world today because they represent the capitalists' interests. Lenin has observed:

"Dictatorship does not necessarily mean the abrogation of democracy for that class which wields it against the other class, but it necessarily means the abrogation or at least an essential restriction (which is one of the forms of abrogation) of democracy for that class against which the dictatorship is wielded. Dictatorship is an authority relying directly upon force, and not bound by any laws. The revolutionary dictatorship of the state is an authorized maintained by the proletariat by means of force over and against the bourgeoisie and not bound by any laws".

Time for Socialist Revolution according to Lenin

Marx was of the view that first of all revolution will take place in industrially advanced countries. Revolution will take place afterwards in backward countries. In the beginning, Lenin also endorsed this view, but later on he saw ripe conditions for revolution in Soviet Russia, and he brought about a revolution there. Many of Marx's staunch followers opposed this and said that the Russian Revolution was against Marx's principles. Lenin justified Russian Revolution. He said that for revolution Marx had analysed the state of capitalism in each country separately, but then capitalism had assumed a universal form. Therefore, socialist revolution could be brought in the countries where the chord of capitalism was weak, the position of the ruling class was not stable and most of the people were willing to support the revolutionaries. According to Lenin, all those conditions prevailed in Soviet Russia. Therefore, it was fully justified to bring about a revolution there, he said that it was not necessary to wait for the development of capitalism in any country and that revolution could be brought about in any backward country like China and India. Thus, we see a difference between the views of Lenin and Marx, but under the changed situations, Lenin justified his views.

Use of farmers in revolution by Lenin

Marx considered farmers as backward people. He considered the proletariat as the fore-runner of revolution. Though Lenin agreed with this view, yet there was a majority of farmers in Russia and they were ready to help Lenin in the overthrow of the government. Therefore, he considered them as one of the important factors in the revolution.

Lenin's view about the creation of socialistic ideology among the labourers

Marx and Engels were of the view that under capitalism, the labourers who worked in bad conditions would automatically became conscious and socialistic views would spread amongst them. Marx said that the laborer's salvation was in their own hands. On the

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other hand, Lenin said that the history of the world bore a solid testimony to the fact that the labourers were conscious enough to organise themselves into various organisations and they might snatch some facilities or get the laws passed for their own benefit from the government and from the capitalists. But socialist revolution could not originate among them. It could be brought from outside. Only communist party could infuse social consciousness among the labourers.

Dictatorship or Proletariat According to Lenin

Marx said, after revolution the first function of the working class would be to become administrators and to establish democracy. In 1891, Engels clearly wrote, "If anything is certain, that is only one thing that our party and working class can derive power only in the Democratic Republic, as has been made clear by the French Revolution". In fact, this is the real form of the dictatorship of the proletariat. After the revolution, the dictatorship of the proletariat established by Lenin was in fact the dictatorship of the Communist Party. He said that this party would lead the proletariat. Max and Engels did not pay much heed to the organisation of the Communist They thought that due to bad conditions under capitalism, the labourers themselves march towards revolution. The Communist Party could only give to the proletarian revolution. During Lenin's period certain Communist leaders wanted to organise the Communist party on the democratic lines of capitalist parties but Lenin opposed it bitterly. He sharply criticised the loose organisation of the Communist Party and he said that those who had only some sympathy for Curnmunism should not be included in the party. Only the tried workers and those persons, who were ready to sacrifice everything for bringing about Communist revolution, should be included in the party. He laid a special emphasis on the Democratic Centralism within his party. It meant that the lower units of the Communist Party should elect the upper units and there should be a free debate among them for the formation of policy. The majority decisions should be imposed on the minority. However, ultimately, they will have to cut according to the directions of the central leaders. It will help in the maintenance of strict discipline in the party. In his view such a party would be successful in bringing about the revolution. Russian revolution has proved the truth of his view.

Lenin's views About Withering away of the State

Marx was of the view that through the dictatorship of the proletariat, capitalism would perish and after that the state would wither away. In this context, Lenin said that Soviet Union was living in the midst of the most powerful capitalist countries of the world. Therefore, until and unless all the capitalist states of the world are not abolished, the Soviet Union would also not abolish its state.

Lenin's attitude towards Religion and Morality. Like Karl Marx, religion had no place in the philosophy of Lenin. He condemned the philosophy of Tolstoy. He called him as the "exhausted, hysterical, misery-mongering Russian intellectual". Lenin's attitude on religion can best be explained in his own words thus:

"We therefore reject every attempt to impose on us any moral dogma whatsoever as an eternal, ultimate and forever immutable moral law on the pretext that the moral world too has its permanent principles which transcend history and the difference between nations".

According to Lenin, "Religion helped the exploiters to exploit the poor. The party of the

Proletariat demands that the Government shall declare religion as a private matter but it does not for a moment regard the question of the fight against the opium of the people, the right against religious superstition as a private matter. We demand that religion be regarded as a private matter as far as the state is concerned, but under no circumstances can we regard it as private matter in our own party”.

Regarding morality Lenin says, “It is frequently asserted that we have no ethics, and very frequently the bourgeoisie says that we communists deny all morality. We say that our morality is wholly subordinated to the interests of the Proletariat. We deduce our morality from struggle of the Proletariat”.

LENIN’S CONTRIBUTION TO MARXISM (COMMUNISM)

One of the greatest contributions of Lenin was that he adapted Marxism to Russia. Lenin was a Russian and being an arch revolutionary very soon realized that revolution was possible in Russia only under certain circumstances. The Czar must be defeated in war and there must be a group of highly disciplined and professional revolutionaries who must be in a position to take over the Government of the country. Before the outbreak of the First Great War, Lenin was convinced that there would be world war and Russia would be defeated but the real problem before Lenin was how to train revolutionaries who could take over the government in the event of the defeat of Russia. However, Lenin had to face great difficulty because Marx predicted that a revolution could take place only in a country where there was full-fledged capitalism. There were no short-cuts to revolution. However, Russia was essentially an agricultural country and there was no full-fledged capitalism there. Therefore, the philosophy of Marx could not be applied to Russia. In spite of this difficulty, Lenin came to the firm conclusion that the revolution could take place in Russia if Czar, Nicholas II was defeated in the war and a most disciplined and secret cadre of the Communist Party was ready to take the reigns of the government.

Lenin on the role of professional revolutionaries: According to Willium Ebenstein, “Lenin’s most important single contribution to the theory of Marxism is his concept of the professed revolutionary. Marx thought that class-consciousness would develop in the working class spontaneously due to economic misery and the leadership would come from their ranks. Lenin on the other hand, considered that a disciplined Communist Party could only arouse political consciousness amongst the workers and lead Russia to revolution. For that purpose Lenin believed that first workers were to form labour organisations with primarily economic objectives, operating openly, legally and as publicly as conditions allow. Side by side with such organisations, there are to be small groups of professional revolutionaries, patterned after the army and the police, highly select and entirely-secret. Lenin said that the professional revolutionaries should guide and supervise the open communist-led economic associations-the trade unions, the co-operatives and the rest. Lenin advised these professional revolutionaries to form cells and infiltrate in social, economic and political bodies of the societies whether they are schools, churches, labour unions or political parties. But Lenin especially emphasised the active role of the professional revolutionaries when he advocated them to infiltrate into armed .forces, the police and the government. It should be particularly noted that with the help of these professional revolutionaries Lenin brought about the revolution and was able to throw off the most autocratic regime of the Czar (Russian Emperor).

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7.4.3 Lenin and Marx

It cannot be denied that Lenin was a staunch follower of Karl Marx but he was a dynamic and not an orthodox follower. He had to interpret Marxism in changed conditions and adapt them to Russia which was purely an agricultural country and where capitalism had not fully developed.

Lenin put emphasis on the revolutionary aspect and not the peaceful aspect of Marxism. He followed the teachings of Marxism as put-forth in the 'Communist Manifesto' and 'Das Capital' because he had unflinching faith only in the revolutionary methods. He thought rightly that the revolution in Russia could not be brought about by peaceful means because before him, Tolstoy had advocated peaceful means and nothing had been achieved by them. He firmly believed that transition from capitalism to communism could not be brought about by pacific means. That is why he condemned Kautsky and others of their way of thinking. He believed in a revolution and not in allowing the events to drift according to the sweet wishes of Czar Nicholas II (then Emperor of Russia). While Marx had emphasised the development of self-consciousness amongst the workers due to extreme economic misery, Lenin thought that revolution could be brought about in Russia only by the disciplined and secret cadre of the Communist Party which could infiltrate and arouse the strong political consciousness against the tyrannical regime of Czar amongst the peasants, workers, soldiers, the police, the students and government servants. By using all these methods, Lenin was able to overthrow the Czarist regime and establish first socialist state of the world in Russia. Stalin consolidated it and was able to help Mao-tse-Tung, Communist leader of China in bringing about the revolution in 1949 and overthrow the reactionary regime of Chiang Kai-Shek. After the Second World War (1939-45), Russia was able to extend communism to most of the countries of Eastern Europe (Poland, Hungary, Rumania, Bulgaria, Czechoslovakia and East Germany). Communism has also spread to Yugoslavia, Vietnam and North Korea. So nearly half of the world has become communist due to the teachings of Marxism-Leninism.

7.5 COLLECTIVISM OR STATE SOCIALISM OR DEMOCRATIC SOCIALISM

Definition of Collectivism: Collectivism is also called state socialism. In the Encyclopedia Britannica Collectivism has been defined as under: "Collectivism is that policy or theory which aims at securing by the action of central democratic authority a better distribution and in due subordination thereto, a better production of wealth".

Collectivism is a branch of socialism, it developed in Europe as a reaction against Individualism.

Development of State Socialism: In England, collectivism rose in the name of Fabian Socialism. In 1884, Fabian Society was established in England. George Bernard Shaw, H.G. Wells, Sidney Webb and his wife Beatrice Webb, Mrs. Anni Besant and Ramsay MacDonald became its members. Later on Graham Wallas, Tawney, Laski and G.D.H. Cole preached its principles in their books. Today the Labour Party of England has its faith in state socialism. In Germany, Roberts (1805-1875), Ferdinand Lassalle (1825-1864) and Edward Burnstine (1850-1932) played an eminent role in its development. In India, Mr. Nehru was an ardent supporter of Democratic Socialism.

PRINCIPLES OR CHARACTERISTICS OF THE COLLECTIVISM

Ideologies

1. **Opposition to capitalism and imperialism and full support for democratic socialism.** Collectivists are severe opponents of capitalism, because it creates economic inequality in society and the labourers are exploited. Maximum national income is concentrated in the hands of a few persons and common people starve. The Collectivists are also against imperialism.
2. **Attitude towards state.** They do not want to abolish the state, but they want to change its form. So far the state has been a capitalist institution. They want to control the government by winning elections and then make such laws for the benefit of the labourers as may help in putting an end to their exploitation. In short, instead of abolishing the state, they want to utilise it for the establishment of a socialistic system and for the abolition of the capitalist system. For this purpose, they want to nationalize the production of many things and limit the investment of private capital.

The Collectivists do not agree with the view of the individualists that state is a necessary evil. They also do not agree with the Anarchists that the state is an unnecessary evil. They consider the state a good institution and want to increase its functions for the welfare of the people. They want to make the state a welfare institution and they want to increase its functions to the maximum. On the other hand, they also want to safeguard maximum freedom of the individual. The Collectivists are not in favour of the centralisation of the powers of the state. They maintain that there should be decentralisation of the powers of the state. It means that except those functions which are absolutely essential for the Central Government, the rest of the functions should be performed either by the provincial governments or by the local institutions. They say that local governments should be given maximum autonomy in the administration of their affairs.

3. **Abiding faith in Democracy.** The Collectivists have full faith in democracy. They were in favour of giving voting rights to all men and women. A complete explanation of the programme and aim of the Collectivists was given in the England Labour Party's pamphlet 'Labour and New Social Order' published in 1919. The Collectivists would nationalize big industries from the point of view of people's welfare. The government would pay compensation for the factories taken over by it. Besides, the private ownership of small industries would remain intact, but laws would be made to improve the condition of the workers in these industries.

The Collectivists are also supporters of social security. They want to give aid to unemployed, invalid, old and ailing persons. They are also in favour of free education so that every individual should get equal opportunity of advancement.

4. **Opposition to Individualism.** The Collectivists condemn Individualism and say that open competition between the capitalist and the worker is not desirable. They say that an individual cannot achieve real freedom by starving himself. Poverty is a great hindrance to freedom. Man can achieve real freedom only in socialism, which, after abolishing capitalism, gives opportunity to the workers for their progress.
5. **Opposition to Marxism or difference between Communism and Socialism.** The Collectivists are not uncritical followers of Marx. Besides, Marx, they have also been influenced by T.H. Green, Rousseau and Kant. They agree with Marx that capitalism is a bad thing and it exploits the labourers. Therefore, it must be abolished. As the manner of its abolition, both hold different views. Marxists want

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to abolish capitalism by violent and revolutionary means while the Collectivists want to abolish it by parliamentary means, i.e. by winning elections against the Capitalists and by making laws to abolish capitalism. They want to bring about socialism by slow degrees and through peaceful means. They do not want to give power into the hands of labourers but to the entire society. They also do not agree with Marx's Theory of Surplus Value. They are of the belief that wealth is produced not by the labourers only, but by the entire society. They also do not agree with Marx's Theory of Class-struggle, because it creates conflicts in the society and destroys its unity. They also do not agree with Marx's theory of the Dictatorship of the Proletariat and the withering away of the State. Another difference between the Marxists and the democratic socialists is that Marx completely ignored democracy, religion and nationalism, while state 'socialists are staunch supporters of nationalism and democracy and they are neutral in religious matters.

CRITICISM OF COLLECTIVISM (STATE SOCIALISM OR DEMOCRATIC SOCIALISM)

Collectivism has been criticised as under

(1) With the socialisation of industries individual incentive and inspiration will die. (2) Each individual works for his own interest. There is no individual interest in socialism and thus the production will fall. (3) The Opponents of Socialism, particularly Mill and Spencer, were of the view that individual liberty is curtailed in socialism. (4) Mellock was of the view that in the absence of individual interest of the collecting personal property, the people will have to be coerced to do work, which will bring about the downfall of the individual character, (5) Sir Irk son has said that natural influence of socialistic theory has resulted in the suppression of the powers of human race. (6) The Communists have bitterly criticised collectivism. They say that collectivism ignores the scientific principles of Marxism; therefore, socialism cannot be brought about by the constitutional means. Socialism has been established in Soviet Russia, China and countries of Eastern Europe through evolution. There is no country in the world where socialism has come through peaceful means. Though the Communist Party remained in power in Australia for many years and Congress is in power in India since 1947, yet they have not been able to bring about socialism. Several times labour government was established in England, but socialism has not come any nearer there. (7) It will be difficult to nationalise the industries by payment of compensation. (8) The functions of the state will increase manifold, and it will result in inefficiency.

IMPORTANCE OF COLLECTIVISM

Though Collectivism has also been criticised like other isms, yet there is no truth in this criticism. It is difficult, no doubt, to bring about socialism by constitutional means, and this ideal has not been given a practical shape in any country, yet it is true that according to the ideals of collectivism, a welfare state has been established in India, England and in many other countries. Efforts have been made to control the profit of the capitalists and condition of the workers has been improved through laws. Many important industries have been nationalised in England and India. The abolition of zamindari system and fixation of the limit of agricultural land has taken place in a peaceful manner in India. Therefore, though constitutional method may cause some delay in bringing about socialism, yet bloodshed is not at all desirable. It is desirable to abolish capitalism by constitutional means, even if it causes delay.

7.6 ANARCHISM, SYNDICALISM, GUILD SOCIALISM, FASCISM AND NAZISM

7.6.1 ANARCHISM

Coker says, “Anarchism is the doctrine that political authority, in any of its forms, is unnecessary and undesirable”. According to Prince Kropotkin, “Anarchism is principle or theory of the conduct under which society is conceived without a government-harmony in such a society being obtained not by submission to law or by obedience to an authority but by free agreements conducted between the various groups, territorial and professional, freely constituted for the sake of production and consumption, as also for the satisfaction of the infinite variety of needs and aspirations of a civilised being”. Huxley says, “Anarchism is a state of society in which the rule of each individual by himself is the only government”. According to G.D.H. Cole, “Anarchism as a philosophic doctrine sets out from a root and branch opposition to all forms of society which rest on the basis of coercive authority. Anarchism, as an ideal, means a free society from which the coercive elements have disappeared”.

On the basis of the definitions given above, the state and government will not be there in any form of Anarchism. A free society will be established in Anarchism, which will be based on co-operation. All the people will lead a life based on mutual love and there will be no exploitation in this society.

The Theories of Anarchism Anarchism means the absence of government or state in any form. Anarchists say that state is a capitalist institution and it is based on force. State always sides with the capitalists. It is an unnecessary evil. Thus, it should be completely eliminated and in its place voluntary institutions should be formed. These institutions would perform all functions with mutual co-operation.

There will be a social control over land and the means of production. The abolition of state would mean the abolition of all political limits. The anarchists also oppose religion and private property. Anarchists contend that there is no fear of anarchy even after the abolition of the state, because the motive for all crimes is the unequal division of property. With the abolition of the institution of private property, equality, liberty and fraternity would be established, and the occurrence of crimes would automatically be stopped. With the spread of education, there would be no crimes and a feeling of co-operation would be inculcated in the minds of the people.

Supporters of this theory The supporters of this theory are: William Godwin (1756-1836), Thomas Hodgskin (1787-1869), Proudhon (1809-1865), Henry Thoreau (1817-1862), Mikhail Bakunin (1814-1876), Leo Tolstoy (1828-1910) and Prince Kropotkin (1842-1921).

Joseph Proudhon (1809-1865) was probably the first philosopher who called himself an anarchist. His first book ‘What is Property?’ His reply was that it is a theft. He criticised the state because this institution came into being with the system of private property. He also criticised the state, because in the state there was an influence of passion and justice and intelligence. It destroyed individual liberty. He bitterly criticised the exploitation and tyranny and said, “Government of many and by many was in every form an oppression. The highest perfection of society is found in the union of order and

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anarchy". Proudhon also made an assumption of a society which would be based on mutual co-operation and there would be no place for the state or any type, of exploitation in it. Institutions established on voluntary basis would increase production.

Thoreau (1817-1862) also opposed the state. He said that the individual is wise. Therefore, it is proper to leave him free. Thoreau says, "That government is the best which governs not at all".

Bakunin (1814-1876) bitterly opposed the state, private property and capitalism, because all these are the causes of the exploitation of the workers. Bakunin said that the state was based on force and it provided shelter to private property. Therefore, it should not be tolerated in any form. Private property is a bad institution, because it creates economic inequality and the labourers are exploited. He also criticised religion because it is the supporter of both the state and private property.

Bakunin also proposed the future set-up after the abolition of the state. He gave his new social set-up the name of federalism. According to it, "there will be free union of individuals into communes, of communes into provinces, of provinces into nation and finally of nation into the United States of Europe and later of the whole World". In this federalism the entire work will depend on mutual will and the individual will not be compelled for any work.

Kropotkin (1842-1921) was also a Russian Communist who expanded the views of Bakunin and presented them in a systematic manner. He criticised the state and said that it had no natural or historical justification. It is against the cooperative feeling of human beings and it is based on the theory that the nature of man is not social and there is always a competition among them. The laws are either dangerous or useless. Kropotkin said that the state was unnecessary from historical point of view because it can neither protect the labourers and farmers from the exploitation by the capitalists and big landlords, nor could it create jobs for the poor and the labourers. Private property was an evil, because it created economic disparity. Most of the wealth of the country was concentrated in the hands of a few persons and majority of people starved. What would be the set-up of the society after the abolition of the state? Kropotkin's outlines are similar to those of Bakunin. He said that after the abolition of the state, the people would live in society, but they would be free from any control of the government. Autonomous institutions shall exist and they will be based on voluntary agreements. The people who do not perform their duties towards the society, will be boycotted. The disputes will be settled by voluntary courts. The number of disputes will be reduced, because the evils of capitalism will come to an end, proper education will spread in the society. From the economic point of view, the new set-up shall be of complete communism. Like Bakunin, Kropotkin was against religion.

Means of Anarchists There were two kinds of anarchists-philosophical and revolutionary. Anarchists like Tolstoy were philosophical anarchists, who were in favour of adopting non-violent means, while others like Kropotkin were ready to adopt violent means for the achievement of their aim.

Criticism of Anarchism Anarchism has been criticised for the following reasons: (1) Anarchism has considered the state an unnecessary evil and criticised it bitterly. But this is totally wrong because today the state has become a welfare institution; (2) the anarchists

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have a blind faith in the goodness of human nature. Most of the people are selfish and they do not care for the interests of the society; (3) The Anarchists believe that in a stateless and classless society there will be an end to the crimes and all the functions will be performed on the basis of mutual cooperation, but this does not seem to be practical; (4) The anarchists are in favour of adopting violent means in order to achieve their aims, which is to be condemned; (5) The anarchists have given much importance to the voluntary institutions after the abolition of the state, but they will not be able to perform all the functions of the state efficiently; (6) The abolition of the state will not solve all the problems; on the contrary, many new problems will crop up; (7) The anarchists' viewpoint, that each law is made for the protection of the rights of the individual, is wrong. In modern age, many laws are made for the welfare of the labourers; (8) after the abolition of the state, the plan of the anarchists will not be practicable.

Bertrand Russell writes, "The anarchist ideal for a community in which no acts are forbidden by laws is not, at any rate for the present, compatible with the stability of such a world as the anarchist's desire. The state in some form, whatever may be said in criticism of its mistakes, its inefficiency and its abuse of power, is and always will be an absolute necessity among civilised men".

Importance Though the anarchists have been bitterly criticised, yet they have condemned the capitalist system and private property. Their arguments are not wholly devoid of truth.

7.6.2 Distinction Between Communism and Anarchism

The following is the difference between the two

1) Communism and anarchism have identical aim, i.e., the establishment of 'Stateless and classless society', but the difference is that this is the ultimate aim of the communists, while the anarchists want it to be achieved immediately. The Communists want to establish the dictatorship of the proletariat during the transitional period, but the anarchists do not have any such idea; (2) The anarchists do not believe in the Dialectic Materialism, while the communists have full faith in it; (3) The anarchists have placed before us a complete picture of the set-up of the society after the abolition of the state, but the communist have not given us any particular view about it; (4) The communists believe only in violent means, while the anarchists believe in both; (5) The anarchists are against big industries and they support small-scale industries, while the communists believe that big industries are essential for the progress of the society.

7.6.3 Syndicalism

In the last decade of the nineteenth century a new communist ideology, named Syndicalism, took birth in France. It adopted the views of the class struggle preached by the communists, and confront ration with the state by the anarchists. Then it mingled some of its own views in them. The word syndicalism has its root in syndicate or federation. It is used for syndicate in French language.

Definition of Syndicalism

1) F.W. Coker has defined it as under "Syndicalism, loosely defined, holds that the workers alone must control the conditions under which they work and live, the social changes they need can be achieved by their own efforts, by direct action in

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their own associations, and through means suited to their peculiar needs”.

- 2) G.V. Hooper writes, “As now employed, Syndicalism means the theories and programmes of those revolutionists who would utilize the economic power of industrial unions and destroy capitalism and organise a socialist society”.
- 3) C.E.M. load says, “Syndicalism may be defined as that form of social theory which regards the Trade Union Organisations as at once the foundation of the new society and the instrument whereby it is to be brought into being”.

MAIN TENTS OF SYNDICALISM

The following are the principles of Syndicalism

- 1) **Condemnation of Capitalism:** Like other socialism and Marx, the Syndicalists also bitterly condemn capitalism. They say that through capitalism, a great economic disparity arises and the wealth of the country is concentrated in the hands of a few capitalists.
- 2) **Inevitability of the class struggle:** like other Socialists and Marx the Syndicalists believe that the world has been divided into two parts, i.e., the capitalists and the working class. Their interests are conflicting, one class is the exploiter and the other is the exploited. The capitalists become millionaire by constant exploitation of the workers. Therefore, a clash between the interests of the two is inevitable and they cannot reconcile with each other. That is why the Syndicalists do not demand any reforms from the capitalists, but they want to abolish capitalism after a bitter struggle.
- 3) **Ending the state:** The Syndicalists want the abolition of the state completely, because the state has always supported the capitalists and the capitalists have not protected the interests of the labourers.
- 4) **Opposition to Middle class:** The Syndicalists, like the communists, have criticised the middle class because the middle class generally takes sides with the capitalists. At the most they can become the reformists but not the socialists. Certain middle-class intellectuals support syndicalism. But they do this in order to become leaders and not because they want to protect the interests of the labourers.
- 5) **No faith in nationalism:** Marx said that the proletariats have no fatherland. He did not give any place to nationalism and patriotism in his philosophy. The Syndicalists also agree with this theory of Marx.
- 6) **No faith In Democracy and Parliamentary Government:** Syndicalists say that instead of absolute monarchy, there has been no difference in the condition of the labourers in the establishment of democracy and parliamentary government. They are of the view that the influence of capitalism is the same as before in democracy and the condition of the workers is still causing anxiety. With the advent of democracy, socialism has not been established and the workers are being exploited continuously.
- 7) **Attitudes towards Array and Wan:** the Syndicalists are of the view that main reason of war is the clash among the capitalists of different countries. Therefore, wars become inevitable among them. The interests of the workers are the same in all the countries. Therefore, they do not want to fight with the workers of other countries. The capitalists encourage wars for their selfish motives and patriotism.

Therefore, the workers of the world should not have any concern with such wars and they should oppose their own government. Marx and Lenin did this during their life-time. Therefore, the Syndicalists also lay a special emphasis on it. With regard to the army, they say that it is not necessary because it is maintained for the capitalists' wars and it is employed to suppress the labour movements.

- 8) **Opposition to the dictatorship of the proletariat and state socialism:** Marx laid emphasis on the dictatorship of the proletariat after the revolution, but the Syndicalists have no faith in it. They feel that the dictatorship of the proletariat, first of all, becomes the dictatorship of one party and later on it becomes the dictatorship of one leader. They also bitterly criticise state socialism because the influence of the government officials is increased on the production, and their attitude does not prove helpful to the procedures. The Syndicalists want the control of labour union instead of state control on production.
- 9) **Future shape of the society after the revolution:** Most of the Syndicalists have not expressed their views about the proposed future set-up of the society after the abolition of the state. They say that first of all it is necessary to bring about revolution. The question as to what would the social set-up can be decided after that. But certain Syndicalists did express their views in this regard. They say that there will be no need for an army after the revolution. Different syndicates will have their own militia, which will be responsible for the maintenance of law and order and, in case of necessity; they will be utilised over & much wider area. In this way, they differ from the anarchists, who do not want any type of use of force after revolution. According to Syndicalists, country-wide utility services like Railways, Post and Telegraph, etc. will be the central organisations of the workers. Other services will also be controlled by different labour organisations.
- 10) **No confidence in the utility of elections and political parties:** the Syndicalists have no faith in the utility of elections and political parties. They say that the capitalists spend lakhs of rupees in elections and they bribe the press. Thus, it is difficult for the workers to win elections against them. Even if some workers win the election, they will not be in a position to have much say in the parliament, because the capitalists will be in majority there.

PROGRAMME AND MEANS OF SYNDICALISTS

The chief supporters of Syndicalism were Pollontier, Sorel, Pouget, Lager-Lelle and Edward Berth, Emile Patand, etc. but Sorel is the most popular among them. The Syndicalists" believe in sabotage, general strike, boycott, and label to achieve their end. Sabotage means the destruction of machinery by the workers. It also includes production of goods of poor quality and slow work. General strike means strike in all government offices, in police and military and in factories all over the country, so that the capitalist government may find it difficult to function and workers may be able to control the administration. Boycott means, the propaganda by the labourers against the purchase of goods of the capitalists. When there is no sale of goods, the capitalists will definitely suffer. Label means propaganda by the workers regarding manufacture of goods in the factories under the workers control. A separate label will be fixed on such goods and the people will purchase only those goods, and not the goods. manufactured in the factories owned by the capitalists.

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Criticism of Syndicalism

Syndicalism has been criticised as under : (1) Syndicalism encourages class struggle, which results in low production. Social unity is weakened and the country is ruined. (2) The Syndicalists have criticised democracy, party system and parliamentary government. This is not desirable, because the working class can get power by winning the elections and it can improve its position just as the labour party has done in England. (3) The Syndicalists' enmity against the state is condemnable. Probably state has been supporting the capitalists in the past but today it is a welfare institution. Therefore, it is necessary to maintain it. (4) The state can defend the people against foreign aggression and can also maintain internal law and order. In the absence of the state, the labour organisations will not be in a position to perform this function. (5) The Syndicalists have adopted the system of sabotage which is not appreciated. It creates conflicts. It will spoil the nature of the workers and the production will definitely fall. If the machines are put out of order, crores of rupees will have to be spent to repair them. (6) The government will never tolerate general strike and it will adopt every possible measure to curb it. (7) The Syndicalists attach importance only to the interests of the producers, and ignore the interests of the consumers. It will result in the increase of the prices of commodities by the producers in an arbitrary manner and thus the consumers will be exploited. (8) Lack of faith in nationalism is a seditious act.

7.6.4 Guild Socialism

Guild socialism is a Compromise between Syndicalism and Collectivism. Guild

Socialism, which was the intellectual child of English Fabianism and syndicalism, took birth in the first and second decades of the twentieth century. This is a middle way between collectivism and syndicalism. Syndicalism, in which there was no place for the state, did not fit in with the mental attitude of the British people, because the English people have strong faith in democracy and parliamentary government. On the other hand, collectivism establishes total control of the government officials instead of the capitalist control and it creates such a situation in which the labourers can improve their own plight. It means that the labourers cannot achieve self-government in industries. In this way, Guild socialism is a via media, between syndicalism and collectivism. It assimilates the qualities of the both and leaves out their drawbacks.

Exponents of Guild Socialism The chief supporters of Guild socialism were A.J. Penty (1875-1935), A.R. Orange (1873-1934), S.G. Hobson (1894-1940) G.D.H. Cole (1880-1959), Burtrand Russell and R.H. Tauney.

S.G. Hobson and A.R. Orange proved in their essays that there should be a self-government in industries and in other professions of the workers. Their control and administration should be in the hands of the workers. G.D.H. Cole was the chief philosophic apostle of this new movement. His books, "Self-Government i.e., Industries", was published in 1917 and his other books, "Guild Socialism Restated", and "Social Theory", were published in 1920. G.D.H. Cole supported Pluralism in his books and accepted that the state was an ordinary institution like other numerous institutions. He refused to accept the state as a sovereign institution. Hobson accepted the state as a sovereign association.

Basic Tenets of Guild Socialism Like Marx, Guild Socialism opposes capitalism.

Ideologies

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They want to abolish capitalism and vest the control and management of the factories in the hands of the Guilds. Like Collectivists, they are not in favour of state control over the industries. They criticise the present representative system, which has been established on territorial basis. They argue that a government by representatives elected on a territorial basis is incapable of understanding and solving the complex problems of an industrial society they maintain that a system of functional representation based upon industrial unions will be best suited to a modern community. They are not in favour of abolishing the system of territorial representation as, according to them, only territorial representation system can solve problems of law and order, defence, education and currency.

The Guild Socialists want a Guild Congress to control and organise economic functions. For the anagement of national and common interests, they want a parliament. For the solution of local problems they want local institutions. They are not in favour of making the state omnipotent; they want to limit its functions. All Guild Socialists agree that the state should not interfere in economic matters, because they want to place the management of economic matters of the society in the hands of the Guilds.

The Guild Socialists condemned the surplus value and undesirable guilds. Each profession will have a separate guild, which will elect an executive committee in order to function smoothly. Above them will be a central or national organisation, which will be called Guild Congress. The Guild Congress will decide all the labour disputes. In case the Guild Congress is unable to decide the mutual disputes of the guilds, these will be decided according to the plan propounded by Hobson.

The Guild Socialists condemned the surplus value and undesirable profit of the capitalists. They also bitterly criticise the institution of private property, because it results in the concentration of national income in the hands of a few capitalists and consequently the workers starve. They also condemn the system of machines, which has destroyed the freedom of the workers, and given a set-back to their skill. The workers have become the slaves of the capitalists on daily wage. Therefore, they have criticised the wage system and have strongly supported the self-government in the industries. The Guild Socialists are in favour of giving the workers an honourable place in the society. They want to improve the position of the producers as well as give protection to the consumers' interests. They want a joint committee of the supreme classes of the producers and the consumers, which will create a co-ordination between the two. The Guild Socialists want that without the approval of the consumers, the producers should not be given the right to fix the rates of the commodities arbitrarily. But should fix the rates by a joint decision. Therefore, in the opinion of G.D.H. Cole, the consumers will be in a position to protect themselves against the guilds of the producers.

Regarding the place of the state in a Guild socialist system, G.D.H. Cole and 'have advocated different views. Hobson wants to keep the sovereign state, be wants to limit its powers. He wants minimum interference of the state in gnomic functions and wants maximum economic functions to be performed by the workers' guilds. But in certain matters he wants to place ultimate control in the hands of the state. He says that the state shall be the owner of the machines and will give those machines to the guilds on lease. The state will establish economic justice in the society and decide mutual disputes of the guilds, if the Guild Congress is unable to do so. The state will impose taxes on the guilds. G.D.H. Cole is unwilling to make the state sovereign. He is ready to hand over

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defence, suppression of crimes, welfare of the destitutes and the invalid to the state, but he is not ready to give more functions to the state. He considers it an association like other ordinary associations. He has named it Democratic Supreme Court of Fundamental Equity. The institution will have complete control over law and order and it will have the right to decide disputes between various institutions. Therefore, they differ from syndicalism in so far as the abolition of the state is concerned, but they want to limit its economic functions and want to transfer those functions to the guilds of the workers.

Means In order to achieve their ends the guild socialists believe neither in constitutional means nor in violent means; they believe in the trade union means. They say that though capitalism will disappear by and by, yet in order to finish it earlier, the workers' guilds should organise themselves fully and they should snatch facilities from the capitalists by and by, so that many of the functions of the capitalists be performed by the elected representatives of the workers. They are not in favour of revolution, strike and sabotage. Thus, here the views of Communists, Anarchists and Guild Socialists are different.

Criticism (1) This theory is not practicable. The capitalists will not be ready to give numerous facilities to the workers and to withdraw their control by and by. In this way, capitalism cannot be abolished without struggle and socialism cannot be established. (2) It is not fair to limit the functions of the state, because many of the functions cannot be performed by guilds and only state can perform these functions according to its plan. The state has now become a welfare institution and it takes up many plans in its hands to enhance production. Therefore, the state control is being increased in every sphere. (3) The plan of functional representation is not proper because there are numerous professions in the state and it is not fair to give representation to each one of them. This system was adopted in Soviet Russia after the revolution of 1917 but later on it was given up due to practical difficulties. (4) It is impossible to separate economic and political difficulties. (5) The Guild Socialists want to organise each profession into a separate free guild and want to transfer their control in their own hands. The guilds have neither sufficient capital to purchase the machines nor do they have the capability to organise them. Therefore, in doing this, there will be great disorder in the professional field and the production will fall.

Importance Though Guild Socialism has been bitterly criticised, yet the plan relating to the improvement of economic democracy and the condition of the workers and the protection of the interests of the consumers and the producers, is very important. It has warned against the growing powers of the state and has taken special steps to check this process.

7.6.5 FASCISM

Causes of the rise of Fascism in Italy

Italy was on the side of England and France during the World War 1 (1914-18). Therefore, she had to suffer a great loss at the hands of Germany and Austria. Under the Secret Treaty of London, England agreed to give Italy sufficient money and a large territory, but when England became victorious in the war, she completely ignored the claims of Italy. Italy faced a great loss in the First World War. Therefore, there was a great resentment among its people. Secondly, there was a widespread discontentment in Italy because after the war, retrenchment took place in the army. Production was falling because the

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Communists were instigating the workers to resort to strike in order to bring in Communism. Thirdly, there was indiscipline in all walks of life in Italy. Fourthly, the democratic government, which was established in Italy after the First World War, could not solve any of her problems satisfactorily. In such a situation, Mussolini established his Fascist Party in March, 1919. The principles of the Fascist Party are called Fascism. This party gained a great power till 1929. In 1922, its session took place in the famous Italian city of Naples, which was attended by 80,000 armed volunteers. In the open session Mussolini declared, "Either the administration of Italy would come in our hand automatically, or we would have to march toward Rome". After that Mussolini arranged a large-scale demonstration against the government of Rome. The result was that under the compulsion of the prevailing circumstances, the then Prime Minister Giolitti had to tender his resignation on October 27, 1922. After that the King of Italy appointed Mussolini the Prime Minister and announced a Council of Ministers with his consent. Mussolini acquired all the powers of the government and the king was left with only nominal powers.

DOCTRINES OF FASCISM

The term Fascism has been derived from Italian word Fascio which means a bundle of wood. In ancient times the national symbol of Roman Empire was a bundle of wood and an axe. The bundle of the wood was the symbol of unity and axe was the symbol of strength. Therefore, in order to exhibit national unity, Mussolini used the word 'Fascio'.

The following are the principles of Facism.

- 1) **Facism is not based on doctrines but reality.** What is Facism? It is difficult to answer this question because it is not a political theory. Mussolini very often repeated, "My programme is action. Fascism is not nursing of a doctrine worked beforehand with detailed elaboration. It was born of the need for action and was from beginning practical rather than theoretical". He repeated several times that he hated abstract thinking. He said, "Fascism is based on reality, Bolshevism is based on theory. We want to be definite and real. We want to come out of the cloud of discussion and theory. My programme is action and not talk", On another occasion, he said, "Fascism is a great combination of material and moral forces. It aims at governing the nation".

The Fascists do not want to enter into any discussion regarding any theory. They change themselves according to the needs and interests of the country and work accordingly. Mussolini himself said, "We permit ourselves the luxury of being aristocrats and democrats, conservatives and progressive, reactionaries and revolutionaries and legalitarians, according to circumstances of time, place and environment". That is why Sabine has said, "Fascism is a body of ideas taken from different sources put together to fit exigencies of the situation".

- 2) **Fascism believed in dictatorship of one national leader and repudiated democracy.** Mussolini said that democracy is not suitable for Italy. He had no belief in three main bases of democracy, liberty, equality and fraternity. He declared that freedom is not the right of the people; it is the kindness of the state. It depends upon the sweet will of the state whether to give rights to the people or not. The people should care more for the performance of their duties than for launching a struggle for their rights. According to the Fascists, equality is useless, because

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nature has not made everybody equal and, therefore, the capable and incapable people cannot be considered equals. Mussolini had no faith in universal brotherhood.

Mussolini had a blind faith in dictatorship, because he believed that the Italians were not so capable as to guide their leaders. But the need was that the national leaders should guide them by performing their duties selflessly. Mussolini imposed restrictions on all political parties except on his own Fascist party. He controlled the press also. In this way, he stopped all criticism of the government. Mussolini emphasised on three elements of dictatorship i.e., responsibility, obedience to one leader and discipline.

- 3) **It is opposed to Individualism.** The Individualists believed that individual is an end and the state is a means to an end. Contrary to this, Fascism says individual as a means and the state is end. The Fascists believed that state is a Spiritual Organism. Therefore, according to them, the individual will have the same place in the state as the organs in the body. According to them the individuals cannot have any spiritual or moral life apart from the state. Mussolini said that every individual should work for the welfare of nation without any selfish motive and he should seek his interest in the interest of the nation. A famous Fascist writer Rocco says, "We do not, however, accept a Bill of Rights which tends to make individual superior to the state and empowers him to act in opposition to society. Our concept of freedom is that the individual must be allowed to develop his personality on behalf of the State."
- 4) **Fascism believes in Totalitarian State** According to Fascism, state has the right to control all spheres of the state. The state is considered Supreme in social, economic and political fields. Mussolini's interference and leadership was seen in all walks of life. He established discipline in all the spheres-economic, administrative and educational. He said, "All within the state, nothing outside the state."
- 5) **It believes in violence, force and imperialism.** The Fascists believe that the solution of international disputes through peaceful means is not possible. Therefore, they believe in violence and force. Mano Carli writes, "Fascism is from war and in war it must find its outlet." Mussolini was a firm believer in imperialism. He conquered Ethiopia in order to enhance the power, reputation and prestige of his country.
- 6) **Fascism opposes internationalism tooth and nail.** Mussolini had no faith in universal brotherhood. He said that no co-ordination was possible in the interest of all the nations. That was why he gave up the membership of the League of Nations and adopted the policy of military alliance and victory, as a result of this policy, the Second World War broke out in which there was a heavy loss of men and material.
- 7) **Fascism believes in the National State.** Fascism believed that sovereignty lay with the national state and not with the individual and it had the right to utilise it without any restriction. The Fascists lay special emphasis on patriotism and nationalism. They believed that war was essential for the enhancement of nations Prestige and power.
- 8) **Fascists supported the corporate state.** The Fascists said that the state was not a collection of people but it consisted of many corporations, which could be considered a unit of social and political life. That is why the Fascists were in favour of forming a separate organisation of different professions. However, they said that all of them should be under the state control and they should function according

the will of the state. Joad is of the view, “Corporations should be subordinate of the whole which is the state specialised channels through which the State’s will is canalised and diffused for special purpose.”

- 9) **Opposition of socialism and Communism.** The Fascists are bitter opponents of Socialism and Communism. They do not believe in Marx’s materialistic interpretation, class struggle and the Theory of Surplus Value, on the contrary, they say that the capitalists and the labourers should give up their selfish interests and should work in the interest of the nation. They are not in favour of the abolition of capitalism and private property completely, but instead they want a system in which the profits of the capitalists are controlled, and the wages of the workers are fixed by the state. The disputes between the capitalists and the labourers should be decided by Industrial Courts.
- 10) **New Economic System.** The Fascists neither liked the individualists’ contention that the state should not interfere in the economic affairs of the individual nor believed in the socialist’s policy of the socialisation of industries. They wanted to nationalise only a few important industries for the society. As regards the rest, they allowed private ownership. In the larger interest of the country, they wanted to control and regulate it. They said that neither the capitalists nor the workers would be allowed to work against the national interest, because their interests were not above the interests of the nation.

Criticism of Fascism Fascism has been bitterly criticised because it encourages violence, dictatorship and bloodshed. It is a symbol of imperialism. It destroys world peace. Because of the Fascists policies of Hitler and Mussolini, the Second World War broke out in which there was a great loss of men and material.

The Fascists’ opposition to democracy is also not proper. Because of their actions, every type of freedom is destroyed. There is no scope of debate in Fascism and complete development of individual is not possible. Everybody has to obey the orders of one leader blindly, whether one likes him or not.

Importance of Fascism It orders to evaluate a theory properly, it is essential to keep in view its good and bad aspects. Therefore, we have to take into consideration its importance side by side with its criticism. If there were no good features in it, it would not have appealed to the people of Italy so much, Fascism laid emphasis on patriotism, discipline and national unity in place of class-struggle. It enhanced the national prestige in the international field by establishing industrial peace and increased production. This enhanced the Prestige of the people of Italy. Italy was defeated during the Second World War, Mussolini was killed and Fascism came to an end.

7.7 NAZISM

After the First World War (1914-18) the principles preached by Hitler are known as Nazism. There is no need to give details of Nazism, because its principles are identical to those of Fascism.

The reasons for the rise of Nazism. Germany faced a defeat in the First World War. Heavy war reparations were imposed on her. Many of her parts were given away to the

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neighbouring states and the German armed forces were reduced considerably. Many types of restrictions were imposed on their increase or the manufacture of various types of weapons of war. Germany suffered a severe loss in the war and its treasury lay empty. She had no money to give to the allies i.e., England, France and U.S.A., etc.; but the allies wanted to realize the money from Germany by force. Thus, the economic condition of Germany deteriorated considerably.

After World War I, Weimar Constitution of Germany was framed. According to it, democracy was established. This democracy continued till 1919-1933. The democratic government of Germany could not solve the problems which had arisen owing to World War I and the Treaty of Versailles. Hitler took undue advantage of this situation. He preached against communism and democracy and laid emphasis on the obedience to one leader. Hitler's principles and programs became very popular in Germany. In 1933 he was elected the Chancellor (Prime Minister) of Germany.

Theory of Hitler or Nazism Like Mussolini, Hitler condemned communism and democracy and supported his personal dictatorship. He raised the slogan of turning the Jews out of Germany for their seditious activities and for the restoration of the parts of Germany to German mainland. He laid special emphasis on the renunciation of rights, liberty and equality, and on dutifulness, discipline and sacrifice. He too, wanted to make the state omnipotent and considered it his duty to control and regulate economic spheres in the national interest. He also supported the view that war was inevitable and believed in violent means to achieve his ends. He believed in racialism and imperialism and said that the Germans were connected with the Aryan race and they had the right to rule over the whole world.

In order to achieve his purposes, Hitler invaded Austria, Czechoslovakia, Poland, Belgium and France. It resulted in the outbreak of the Second World War. Germany was defeated in 1945 and Hitler committed suicide. In this way, Nazism came to an end in Germany after World War II and once again democracy was established there.

Criticism Though Hitler made efforts to consolidate the unity of his country, to infuse patriotism among the people, and to increase the production, yet his imperialist wars and the use of force is condemnable. The propaganda of racialism is also not desirable. His propaganda against democracy and in favor of dictatorship was totally unfair.

7.8 GANDHISM AND SARVODAYA

A brief life sketch of Gandhiji and his contribution, Mahatma Gandhi was a great leader of our country. He was born on October 2, 1869. His name was Mohan Das Gandhi and his father was Karam Chand Gandhi. He was called to the Bar in England. After that he started legal practice in India. On the invitation of Gokhale, he went to South Africa in 1893. He started legal practice there and resorted to many Satyagrahas in order to improve the condition of the Indians living there. In January, 1915 he came back to India. He organised a Satyagraha in Champaran (Bihar) and in Kheda (Gujarat) to protect the interests of the farmers. In 1920 he started Non-Co-operation and Khilafat Movement. This movement continued till 1922. After that he remained in prison till 1924. On release from the prison, he became the President of Indian National Congress. From 1924 to January 30, 1948 he remained the leader of the Congress and he provided leadership to all the activities and movements of the Congress. In 1930, in order to achieve full freedom,

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he started Civil Disobedience Movement, and in 1942, the Quit India Movement. The grant of independence to India. He made efforts to bring about Hindu-Muslim unity, Harijan uplift, rural reconstruction, Khadi, Charkha and propagation of entity Harijan uplift, rural reconstruction, Khadi, Charkha and propagation of Hindi, prohibition, the improvement in the condition of the farmers, workers and women. Therefore, the period from 1920 till his death (January 30, 1948) is called the Gandhian era. Mahatma Gandhi was really an epoch maker. He dedicated his entire life to the service of his country and brought his country out of the darkness of slavery and brought light into it. There is no such sphere of life in the twentieth century as is free from the impact of Gandhi's philosophy and teachings. His influence is seen all the world over. Thus, it is essential to study his views on various aspects concerning human life and activity.

Meaning of Gandhism.

Mahatma Gandhi did not start any ism. He only expressed his views on political, social, economic and religious matters from time to time, according to the need of the occasion and political situation. Later on different people collected these views and gave them the name of Gandhism. Certain people gave the example of lecture of Gandhiji, which he delivered after Gandhi-Irwin Pact and before the 1931 session of the Congress at Karachi. In this lecture he probably declared that Gandhi might die but Gandhism would live forever! Gandhiji said it perchance and he gave no indication that he wanted to start a new ism. By Gandhism he meant his ideology of truth and non-violence. In March, 1936 in his speech at Gandhi Sangh of Saoli, he very clearly said, "There is no such thing as 'Gandhism and I do not want to leave any doctrine after me. I do not claim to have propounded any new principle or doctrine. I have simply tried in my own.

7.9 SUMMARY

On the basis of these arguments, we can say that individualism is based on wrong notions. Laski also says, "Individualism means poor health, undeveloped intelligence, miserable homes and work in which broadly speaking the majority can find no source of human interests". Though there are many drawbacks in individualism, yet there is some truth in it. It condemned maximum interference in individual matters of state and laid special stress on self-reliance and self-help.

The theory of utilitarianism has been bitterly criticized and many difficulties will crop up, if it is given a practical shape. However, the main advantage of this theory was that many speculative theories regarding the state received a severe set-back. The utility became the criterion for the test of the values of state and institutions.

Some of the definitions given above are comprehensive while others are narrow. According to one view, socialism is a movement; the other view considers it an economic system. It has also been called a philosophy. In spite of a great disparity among the definitions, it is clear that socialism is a bitter enemy of capitalism. It wants to destroy capitalism, because it creates economic disparity in society. Socialism wants to establish social control over the means of production (land, industries, etc.). It wants to abolish private property and investment, so that economic disparity should end and both the rich and the poor should get equal opportunity for their progress.

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7.10 KEYWORDS

Individualism: The principle of individualism is also called Laissez Faire in French language, which means, 'leave the individual alone' and there should be minimum interference, in his functions, By the government. It should be left to the will of the individual to do what he desires.

Utilitarianism: The original basis of this theory was Hedonism, a psychological theory. According to Hedonism, the main aim of life is the achievement of maximum pleasure. According to this theory, the value of an act is to be assessed on the basis of pleasure and pain which it gives. The act which gives maximum pleasure is good and the act which gives pain, is bad. Therefore, the criterion of each act is pleasure and pain.

Socialism: It is difficult to say what socialism is, because socialism emerged as sharp reaction to individualism. It is a political philosophy as well as a great movement. In socialism, economic principles and logic have amalgamated with the political principles in such a manner that it has become extremely difficult to separate them Secondly, the supporters of socialism hold similar views, regarding many thing and because of many contradictory definitions of this subject, it has become difficult to decide which of the definitions is correct. Thirdly, the term socialism also used for a particular set-up and way of life.

Anarchism: Coker says, "Anarchism is the doctrine that political authority, in any of its forms, is unnecessary and undesirable". According to Prince Kropotkin, "Anarchism is principle or theory of the conduct under which society is conceived without a government-harmony in such a society being obtained not by submission to law or by obedience to an authority but by free agreements conducted between the various groups, territorial and professional, freely constituted for the sake of production and consumption, as also for the satisfaction of the infinite variety of needs and aspirations of a civilised being". Huxley says, "Anarchism is a state of society in which the rule of each individual by himself is the only government".

Syndicalism: F.W. Coker has defined "Syndicalism, loosely defined, holds that the workers alone must control the conditions under which they work and live, the social changes they need can be achieved by their own efforts, by direct action in their own associations, and through means suited to their peculiar needs".

G.V. Hoover writes, "As now employed, Syndicalism means the theories and programmes of those revolutionists who would utilize the economic power of industrial unions and destroy capitalism and organise a socialist society".

Guild Socialism: Guild socialism is a compromise between syndicalism and collectivism. Guild Socialism, which was the intellectual child of English Fabianism and syndicalism, took birth in the first and second decades of the twentieth century. This is a middle way between collectivism and syndicalism. Syndicalism, in which there was no place for the state, did not fit in with the mental attitude of the British people, because the English people have strong faith in democracy and parliamentary government. On the other hand, collectivism establishes total control of the government officials instead of the capitalist control and it creates such a situation in which the labourers can improve their own plight. It means that the laborers cannot achieve self-government in industries. In

this way. Guild socialism is a via media, between syndicalism and collectivism. It assimilates the qualities of the both and leaves out their drawbacks.

Fascism: The term Fascism has been derived from Italian word Fascio which means a bundle of wood. In ancient times the national symbol of Roman Empire was a bundle of wood and an axe. The bundle of the wood was the symbol of unity and axe was the symbol of strength. Therefore, in order to exhibit national unity. Mussolini used the word 'Fascio'.

Ideologies

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7.11 REVIEW QUESTIONS

1. Utilitarianism is primarily an ethical theory based upon the psychological theory known as Hedonism". Discuss.

or

What is the relationship between Utilitarianism and Individualism?

or

Do you regard "the greatest happiness of the greatest number" as a satisfactory principle of state activity?

or

State the fundamental point of Utilitarianism.

2. Discuss the Marxian conception of Society and State.

or

What is Communism? What can be said for and against it?

or

Marx is the first socialist whose work can be termed scientific. He not only sketched the kind of society be desired but spoke in detail of the stages through which it must evolve (Jaod). Discuss.

3. "Imperialism is the last stage of Capitalism" (Lenin). Discuss. "Leninism is the Marxism of the epoch of Imperialism". Discuss the essential principles of Marxism and show how Lenin has re-interpreted them.
4. Discuss the aims and policies of collectivism.
5. State briefly the basic principles of Marxism.
6. Differentiate between State Socialism and Communism.
7. Examine the arguments for and against State Socialism.
8. Write short notes on any two of the following:
(a) Syndicalism, (b) Guild Socialism, (c) Anarchsim, (d) Fascism.
9. Compare Communism and Fascism. Which of them is better in your Opinion?
10. "Guild Socialism is a half way house between Collectivism and Syndicalism."- Substantiate this statement.
11. Give a critical estimate of the theory of Anarchism. How does it differ from Communism?

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12. Although inspired by Marxism and Anarchism, Syndicalism is different from the both. Elucidate
13. “State is a necessary evil’. Discuss.
14. Discuss the views of the Individualists regarding the functions of state.
15. What are the factors which helped the growth of Modern Individualism? Differentiate between Modern Individualism and 19th century Individualism.

7.12 SUGGESTED READINGS

1. A.C.Kapoor - Principles of Political Science.
2. V.P.Joshi, - Political science.
3. E.Barker - The Politics of Aristotle.
4. G.H.Sabhine - Political Theory.
5. George.E.G. Catlin - Political Theory.
6. Houser and Stevenson - Political Science.
7. Pennock and Smith - Political Science – An Introduction.

Lesson 8

FORMS OF GOVERNMENT

Structure

- 8.0 Aims and Objectives
- 8.1 Introduction
- 8.2 Democracy
 - 8.2.1 Concepts of Democracy and its Development
 - 8.2.2 Conditions for Success of Democracy
 - 8.2.3 Kinds of Democracy
 - 8.2.4 Criticism
- 8.3 Unitary and Federal
 - 8.3.1 Unitary Government
 - 8.3.2 Federal Government
 - 8.3.3 Difference between Unitary and Federal form of Governments
- 8.4 Parliamentary Form of Government
- 8.5 Presidential Form of Government
 - 8.5.1 Difference between Parliamentary and Presidential forms of Government
- 8.6 Summary
- 8.7 Keywords
- 8.8 Review Question
- 8.9 Suggested Readings

8.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Understand the concept, meaning and definitions of democracy.
- Know about the advantages and disadvantages of democracy.
- Explain different kinds of democracy.
- Describe the Unitary and Federal Governments.
- Discuss the Features of Unitary and Federal Governments.

8.1 INTRODUCTION

The modern age is an age of democracy. All the modern states are following the democracy system. The contemporary world has developed a belief that through

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democracy is in practice, as a form of government, acquiring the support and acceptance of the majority of the people.

In political theory, democracy describes a small number of related forms of government and also a political philosophy. Even though there is no specific, universally accepted definition of 'democracy', there are two principles that any definition of democracy includes, equality and freedom. These principles are reflected by all citizens being equal before the law, and having equal access to power. Additionally, all citizens are able to enjoy legitimized freedoms and liberties, which are usually protected by a constitution. Governments have been classified on the basis of relationship between the political executive and the legislature. If the executive is immediately responsible to the legislature, is tenure and actions are subject to the approval of the parliamentary it is known as Parliamentary or cabinet Form of the government.

The form of Government in which there is complete separation between the executive and the legislature, the executive powers are vested in one single man who is not responsible for the legislature is known as Presidential Form of Government.

8.2 DEMOCRACY

The term is derived from the Greek '**demokratia**' means "popular government" which was coined from '**demos**' means "people" and '**kratia**' means "power", in the middle of the fifth-fourth century BC to denote the political systems then existing in some Greek city-states, notably Athens following a popular uprising in 508 BC.

Sartori defined it as a hypocrisy signifying nothing. Therefore, it will be a futile exercise if we endeavour to search for universally acceptable definition of democracy. Every political system likes to be called democracy. Even Hitler liked the National Socialist Government of Germany to be called as German Democratic Government. Democracy is made sacrosanct to day, no one ever wills to be termed as undemocratic. Roughly, democracy may be defined as a form of government in which the authority lies among all in the society not in a particular segment of the society. Some of the important definitions of democracy are as follows:

Definitions

Some of the definitions are given by the political prominent thinkers as discussed below:

1. **Gettell**, "Democracy is that form of the government in which the mass of the population possesses the right to share in the exercise of the sovereign power."
2. **Bryce, Lord**, "Democracy really means nothing more nor less than the rule of the whole people, expressing their sovereign will by their votes."
3. **Seeley**, "Democracy is a government in which everyone has a share."
4. **Hall**, "Democracy is that form of political organisation in which public opinion has control."
5. **Dicey, A.V.**, "Democracy is a form of government in which the governing body is a comparatively large fraction of the entire nation."
6. **Lincoln, Abraham**, the former president of America defined the democracy as "Democracy is a government of the people, by the people and for the people."
7. **Mayo**, "A democratic political system is one in which public policies are made, on a majority basis, by representatives subject to an effective political control at periodic elections which are conducted on the principle of political equality and under conditions of political freedom."

8. **Sartori**, “.....a democratic political system is one that makes the government responsive and accountable and its effectiveness depends first and foremost on the efficiency and skill of its leadership.”
9. **Lipset**, “Democracy may be denned as a political system which supplies regular constitutional opportunities for changing the government officials, and a social mechanism which permits the largest possible part of the population to influence the major decisions by choosing among contenders for public office.”

Origin

In 1574, from M.Fr. democratie, from M.L. democratia from Gk. demokratia, from demos “common people,” originally “district” + kratos “rule, strength”. Democratic for one of the two major U.S. political parties is 1829, though members of the Democratic-Republican party had been called Democrats since 1798; though colloquial abbrev. Demo dates to 1793.

8.2.1 Concept of Democracy and its Development

The history of democracy is spread over three thousand years. The earliest known history of democracy goes back to the Greek city states. In the Greek city states a system for people’s (Demos) participation in the government was devised. The people exercised control over the officials of the state by participating in political processes. They directly participated in the decision making and policy planning.

The citizens in the Greek city states were a privileged class. They were separate from the slaves and aliens in regard to the exercise of political rights. They were intimate and freely participated in the political discussions. They were republica in true sense of the term and were socially equal as there existed no higher or lower class among the citizens. Direct democracy was the accepted constitutional system in almost all the city states. According to Soltau, “The Greek city states were indeed democritic in the participation of all the citizens, not only in the election of officials but in the daily routine of administration and justice; they pushed their belief in equality to the extreme of filling many posts by drawing lots, on the assumption that one man was on the whole as good as another. But they only applied their principles to a small number of citizens excluding aliens and slaves; and no Greek philosopher ever accepted democracy as desirable; it was at best only less objectionable than tyranny”.

In the writings of Plato and Aristotle we find that democracy was a hated political system. Plato termed it as ‘the government of fools’ and Aristotle, in his classification of states depicted it as the perverted form of polity which ultimately results in the establishment of monarchy. Democracy, in the latter years, in the Greek city states became mobocracy. It rejected the individual worth.

The most significant stage in the development of the concept of democracy was the seventeenth century which was characterised by a conflict between the people and the king. The people resisted the arbitrary powers of the king and demanded more and more participation in the political processes. The Glorious Revolution (1688); the French Revolution (1689) and the American Revolution highlighted the popular aspirations like equality, popular sovereignty, liberty and fraternity. It now became a creed that the people are the source of all authority and that all men are created equal. From seventeenth century onwards, the history is the account of democratic states.

Features of Democracy

There are many features of democratic system. Those are discussed below

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1. Rule by Discussions
2. Rule by Majority
3. Rule as per the constitution
4. Protection of the rights of the Minorities
5. Responsible Government
6. Changing the power through elections as per the schedule

Advantages of Democracy: In monarchies and aristocracies the powers of the government are exercised in the interest of a particular class which is a ruling class. The common man is deprived of the right of participation in the political processes. Democracy was evolved to remove this defect of these systems. It provided for more participation of the people and accountability of the government to the people. Some of the important advantages of democracy are as follows:

1. **CO Welfare of all:** The representatives elected by the people for a definite period rule in a democracy. They are well aware of the aspirations of the people and know sufficiently well that their right to rule is directly dependent Upon people's mandate. Since the rulers in democracy are responsible to the people, they always endeavour to promote common interests and try to achieve common objectives.
2. **Most efficient Government:** According to Garner, "Popular election, popular control and popular responsibility, are more likely to ensure a greater degree of efficiency than other system of government". It is the only form of the government in which the responsibility of the rulers towards the ruled can be effectively ensured and enforced.
3. **Training School for Good Citizenship:** Democracy is not only a form of the government; it is always a state, social and economic system. Obviously, it imparts to the people administrative, political and social training. While in monarchy and aristocracy people are uninterested in political processes, in democracy the universal adult suffrage and popular control involve the people in the political processes. According to Bnrns, "All government is a method of education but the best education is self education therefore, the best government is self government which is democracy".
4. **It elevates Moral character:** The most important merit of democracy is that it elevates the character of man. With the provision of political rights it fills among men self-confidence and self reliance. Bryce says, "The manhood of the individual is dignified by the political enfranchisement and he is usually raised to a higher level of the sense of duty, which it throws upon him". John Stuart Mill says, "It promotes a better and higher form of national character than any other polity whatsoever".
5. **Source of Patriotism:** The elaborate political rights to the people in a democratic system encourage the people to identify themselves with the nation. Mill rightly says that, "democracy strengthens the love of country because citizens feel that the government is their own creation and the magistrates are their servants rather than masters". Laveley also affirms that the French people started loving France more in the post revolution era because of their participation in the government.
6. **It Minimizes Chances of Revolution:** Revolutions generally occur in a system which provides for no mechanism to replace the administrators, Democracy, on the contrary, respects the public opinion. Special attention is paid to the welfare of the people and everybody gets equal opportunity for self development. Electrons

are held periodically for the expression of accountability and for people's mandate. All the parties are given the right to project their objectives, programmes and plans. The government, if found wanting may be replaced. Gilchrist rightly says, "Popular government is a government by common consent from its very nature, therefore, it is not likely to be revolutionary".

7. **It Upholds the Principle of Equality:** Democracy is based on the principle of equality. It provides for equal rights irrespective of different social status of the individuals. In democracy everyone is equal before law and receives equal protection of law. Democracy is not confined to the political scheme only it extends to social and economic spheres also. Therefore, democracy presupposes absence of discrimination. However, equality in democracy would mean equal opportunities.
8. **Protects the Liberties of the People:** In democracy liberties are regarded as the inalienable rights of the individual. It believes that the people should be provided with freedom of association and freedom of assembly. These liberties are considered as essential for the development of human personality.
9. **Based on the Principle of rule of Law:** In democracy no body is treated above the law and everybody is equal before the law. Laws are not arbitrary commands; instead they are the reflection of social morality aimed at the development of human personality.
10. **Government is the representative of All:** In democracy majority has a right to rule but minorities have a right to say. The government is not a class government; it represents all. According to Lowell. "In a democracy no one complains that he is denied the opportunity of expressing his opinion".

Disadvantages of Democracy

The critics of democracy, like their counter-parts, are equally vocal in condemning this institution as an 'aristocracy of black guards', or that it carries towards death. They have criticised democracy on the following grounds:

1. **Lays More Emphasis on Quantity:** Democracy puts more emphasis on quantity than on quality. The democratic process of recognising that all men possess the same merit and intelligence is absurd. In this the votes are counted not weighed. An intelligent man with the experience of life time is equivalent to an ordinary manual worker mentally to the level of a dunce.
2. **Rule of Ignorance:** The Greek political thinkers like Plato and Aristotle regarded democracy as the most perverted form of the government in which the decisions are taken by the majority which is mostly constituted of fools. It is a rule of ignorance because wiser people are always in minority. Lecky is right when he says that democracy is "the government of the poorest, the most ignorant, most incapable who are necessarily the most numerous." Moreover, the democratic processes are so devised that they favour the demagogues, incompetent and amateurs. No wise-man would ever involve himself in the game of electoral politics. Obviously, the government is constituted of fools and wise men are isolated.
3. **It favours the Rich:** In democracy the institutions like political parties, legislatures and other groups require enormous funds for carrying out their functions. They survive on the donations by the rich class. Obviously, the administrators, press, and political parties become an instrument to promote the interests of the rich class at the expense of the poor. Therefore, an ordinary man can neither contest an election

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nor express his views against the system. Even the highest courts become like five star hotels where you have a right of entry provided you can pay for it.

4. **Government by Majority is a Myth:** The critics contend that democracy has ceased to be a government by majority. In a multi-party system there are generally multi cornered elections. As a result the candidate securing only 20 to 30 percent of the total votes cast is elected. Even the party commanding majority in the Parliament has the support of 30 to 40 percent of the votes. It means to say that democracy in practice is never a government by majority. That is why Cartyle terms it as the government by 'wind bags and charlatans'.
5. **Questionable Representation:** Territorial representation is universally accepted principle in almost all democracies. Territorial representation means that a representative represents all the classes of people living in an area. It is absurd and farcical as a representative can represent only his class or profession. He can not represent all classes in entirety.
6. **Equality is Abused:** In democracy equality implies that all men are equal and have equal rights to participate in the government. It is very unreal and unsound. Men are unequal in their intelligence and expertise. Therefore, participation of ordinary men instead of experts in the government proves detrimental to the interest of the society.
7. **It is a process of False Education:** It is contended by the critics that democracy imparts false education. The general election is the channel through which it educates the people. The process of elections, false propaganda, twisted lies, exaggerated facts and over blown incidences change the atmosphere with lies. People are hoodwinked by damagogues and charlatans. Therefore, democracy can not be regarded as the process of right education.
8. **Impedes Scientific Progress:** Masses are generally conservative and averse to novel experiments. They lack scientific temper and oppose any progressive idea. Therefore, democracy in its history has never been conducive to scientific and literary progress. According to Burns, "The civilization which a democracy produces is said to be banal, mediocre or dull."
9. **It is Unethical:** Theoretically democracy may appear as an ideal form of the government but in practice, it debases the masses. It helps unscrupulous politicians to acquire the position of power. It criminalises politics. The politicians are generally involved in vilification campaigns to sustain themselves in power.
10. **Liberty remains an Unachievable Objective:** It is said that democracy is characterised with individual liberty. It is wrong. Democracy never percolates down to the social and economic level; it remains confined to political level only. Liberty, in the absence of social and economic equality remains an unachievable objective.

8.2.2 Conditions for Success of Democracy

The success of democracy depends on favourable social conditions. If the society is unjust and unequal, there is an erosion of moral values; democracy will not be a success. In fact the demerits of democracy are the short comings of the people who participate in the political processes. Therefore, social reform and establishment of certain values in the society is necessary for the success of democracy. Apart from this a conducive environment for the development of human personality is also necessary. Following are the necessary conditions for the success of democracy.

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1. **High Moral Character:** High moral character of the people is indispensable factor for the success of democracy. According to Hearnshaw, "The democratic principle is essentially religious in character." It means that democracy is based in the high moral character of the people. The citizens are expected to be honest and dutiful. They should have the moral courage to resist the temptations offered by the unscrupulous politicians.
2. **Proper Education:** Democratic government is based on public opinion. Therefore, educated and vigilant public is of imperative necessity for the success of democracy. Education means that the people should have the capacity to use their discretion in electing the representatives and identifying the needs of the country. In the words of Mahatma Gandhi, "Democracy is not a state in which people act like sheep, the public is to be alert".
3. **Economic Equality:** Mere declaration of equality does not create political equality in the society. For political equality economic equality is a precondition. According to G.D.H. Cole, "Political liberty in the absence of economic equality is a mere myth." A poor man can not be expected to exercise his political rights sincerely because he is, most of the time, busy in making provision for his necessities. He falls an easy prey to petty temptations offered by the rich. He sells his vote. Therefore, economic equality is necessary for the success of democracy.
4. **Civil Liberties:** Freedom of thought and expression, freedom of press and freedom to form association are the important rights in democracy. Without them democracy can not exist.
5. **Written Constitution and Democratic Traditions:** The written constitution with inviolable fundamental rights and defined governmental powers is a necessary condition for the success of democracy. It is necessary because a common man gets the information about his rights and duties. He becomes aware of his political obligations. Observance of certain democratic traditions like respect of party in opposition, speaker and judges is very necessary.
6. **Social Equality:** The social system should be based on justice and equality. There should be no discrimination on the bases of race, region, religion, caste and sex. According to Hearnshaw, "It demands equality both of a privileged nobility or a benefited clergy on the one side and an oppressed industrial proletariat or an enslaved peasantry on the other."
7. **Local Self Government:** In order to make democracy a success democratic institutions should also be established at local level. Local self governments generate interest among the common people regarding the issues of public importance. They also provide for basic training to the people and the leaders. According to Lord Bryce, "The best school of democracy and the best guarantee for its success is the practice of local self government."
8. **Wise Leadership:** The success of democracy depends greatly on the quality of leadership it is able to provide. The leaders in democracy must be men of sound judgment, unimpeachable character and out standing initiative. The people should have faith on such leaders and at the same time beware of personality.
9. **Free Press:** This is the most important condition because the free press creates an enlightened public opinion, highlights the wrong policies of the government and communicates the demands of the people to the government. Therefore, the press must be free. It should not be partisan, yellow and should not be controlled by the

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big business.

10. Sound and Strong Political Parties: Representative democracy functions through the political parties. They play a very important role. They are a link between the people and the government. They also perform the function of interest aggregation and articulation. Therefore, the political parties should be formed on the sound ideology rather than on religion, caste and region. They should not be much in number and must have the ability to provide for a strong opposition.

8.2.3 Kinds of Democracy

As a form of government, there are two types of democracies. They are: (1) Direct Democracy (2) Indirect Democracy

I. Direct Democracy : Direct democracy, classically termed pure democracy, comprises a form of democracy and theory of civics wherein sovereignty is lodged in the assembly of all citizens who choose to participate. Depending on the particular system, this assembly might pass executive motions, make laws, elect and dismiss officials, and conduct trials.

Direct democracy stands in contrast to representative democracy, where sovereignty is exercised by a subset of the people, usually on the basis of election. Deliberative democracy incorporates elements of both direct democracy and representative democracy.

Many countries that are representative democracies allow for three forms of political action that provide limited direct democracy: initiative, referendum (plebiscite) and recall. Referendums can include the ability to hold a binding referendum on whether a given law should be rejected. This effectively grants the populace which holds suffrage a veto on government legislation. Initiatives, usually put forward by the populace, force the consideration of laws or amendments (usually by a subsequent referendum), without the consent of the elected officials, or even in opposition to the will of said officials. Recalls give people the right to remove elected officials from office before the end of their term, although this is very rare in modern democracies.

In general, the term “direct democracy” usually refers to citizens making policy and law decisions in person, without going through representatives and legislatures. The classic example of this is the New England Town meeting where anyone from the town who wants to show up to debate and vote on town policy can do so. Until recently, this worked for scores of communities, but low attendance at many modern town meetings has raised questions about whether they are truly democratic.

More recent direct democracy proposals tend to focus on voting schemes (usually high tech) that would allow widespread, virtually continual voting by millions of citizens on whatever proposals surfaced. While useful in building up a buffet of voting methodologies for possible use in other contexts, the lack of organized public deliberation about the issues in question makes such proposals look more like opinion polls than exercises of citizenship. Wise solutions to public problems won’t likely come off the top of a hundred million heads.

When the people themselves directly express their will on public affairs, the type of government is called pure or direct democracy. According to Hearnshaw, “A democratic form of government in the strict sense of the term is one in which the community as a whole directly or immediately without agents or representatives, performs the function of sovereignty”. A democracy is direct when the citizens themselves take part in the

affairs of the state, meet together in their general assemblies, pass laws, take steps to execute them, and formulate the will of the community on all questions referred to them, instead of leaving all such activities to be performed by their elected representatives.

The following methods were prescribed in direct democracy enabling the people to play their role properly

- 1) Referendum
- 2) Initiative
- 3) Plebiscite
- 4) Recall

1. Referendum: Literally, the term referendum means 'refer to.' It is a device through which the verdict of the people is sought on any issue constitutional or ordinary. According to Munro, "It is a device where by any law which has been enacted by the legislature may be withheld from going into force until it has been submitted to the people and has been accepted by them at polls." Referendum is of two types (i) compulsory or obligatory (ii) optional.

- i) Compulsory Referendum:** When referendum is necessary for the specific type of laws, it is known as compulsory referendum. In Switzerland and Australia it is applied to all constitutional amendments.
- ii) Optional Referendum:** When the law passed by the legislature is placed before the people on the demand of specified number of voters or Cantons it is known as optional referendum.

Advantages: Referendum as an instrument of direct democracy has the following characteristics

- i) It upholds the sovereignty of the people.
- ii) It provides a safeguard against the despotism of a majority party.
- iii) It reduces the influence of political parties in the democratic processes.
- iv) It imparts highest type of political education to the masses.
- v) People feel more involved and morally bound to obey the laws of the state.
- vi) Referendum "helps the legislature to keep in touch with the people at other time than at general elections and in some respects a better touch, for it gives the voters an opportunity of declaring their views on serious issues apart from the destructive or distorting influence of party spirit."

Disadvantages: Referendum has many serious disadvantages; some of them are as follows

- i) Referendum relegates legislature to the secondary status as people start having the final say in the legislation.
- ii) Referendum places in the hands of the people a power which they are not qualified to exercise in an intelligent manner.
- iii) It does not reflect the public views because frequent referendums are counter productive. People stop taking interest and avoid going to polling booths.
- iv) Referendum causes unnecessary delay in the passing of laws and their execution. In the words of Strong, "If used too frequently it could cause such delay in the promulgation of laws at. might deprive society of the benefits, they were designed to bestow, or permit the perpetuation of the evils, they were intended to remove."

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- v) It accentuates the evils of party system.
- 2. **Initiative:** While referendum is negative, it is a right of vote of the people on a bill passed by the legislature, the initiative on the other hand, is a positive right. It empowers the voters to propose legislation themselves. In initiative a fixed number of voters proposes to the legislature to make a specific type of law. The legislature prepares the draft of the bill and it is again placed before the people in due course. Initiative is of two types: Formulated and Unformulated.
 - i) **Formulated Initiative:** It is a fully prepared bill. In this case the legislature is bound to accept the bill or place it before the people for decision.
 - ii) **Unformulated Initiative:** In such type of initiative the people propose general demands not drafted in a bill. If the legislature approves the demands it drafts the bill. Such demands are known as unformulated initiative.
- 3. **Plebiscite:** This method was first used by Napoleon in the year 1804. Plebiscite means ascertaining public opinion on certain important aspects. This is not applicable to the laws and the constitution. Peoples verdict is sought answer on certain public problems and policies of the government.
- 4. **Recall:** Recall means to call back. Recall is a direct democratic device which empowers the people to call back any elected representative who has failed and is found incompetent. In the words of Leacock. "The system means that all persons who hold office, must do so only so long as their tenure of office is sanctioned by the people; at any time, when the majority of voters desire it, the office holder is removed from his function." The device of recall has following advantages:
 - a) **Advantages**
 - i) Recall is a device which enables citizens to exercise control over the legislature. It is the expression of people's sovereignty.
 - ii) Recall lays a restraining influence on the elected representatives. It restrains them from abusing their authority.
 - iii) The legislators and other elected officers are checked against the temptation of corruption. They realise that their one wrong act can result in their recall.
Sometimes some unscrupulous politicians get elected. They continue for full tenure in the representative democracy but in Direct democracy such undesirable elements are weeded out.
 - b) **Disadvantages:** Recall has the following Disadvantages:
 - i) Sometimes an honest legislator who does not relent before the vested interests is eased out of the legislature by the system of recall.
 - ii) The elected officers are always scared of recall as they know that their actions may displease some persons who may conspire to their recall. Obviously, the administration becomes lax and progressive measures can not be adopted by it.
 - iii) The elected officers are so demoralised that they fail to take an independent judgment fearing recall.
 - iv) The device of recall has a demoralising influence on the judiciary. The judges may become servile and may be compelled to deliver perverse judgement.
 - v) Some capitalists or other powerful sections may conspire for the recall of an honest legislator due to personal grudge.

- vi) The device of recall reduces the representatives to the status of delegates having no will of their own.

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II. Indirect Democracy

Indirect democracy sounds like it might be an exact synonym for representative democracy, but usually it is not. Instead, it is representative democracy taken a step further. With indirect democracy the voters elect representatives who in turn elect representatives who then make the actual decisions.

Today most Americans do not think well of indirect democracy. It just does not seem very democratic to us. In practice also, it has not usually worked very well. It has been too vulnerable to corruption or to control from the top.

In the modern age, the size of the states has become very big. The population is also very large and diverse. It is not possible for the population to assemble at one place to decide the affairs of the state. Moreover, the population is constituted of different, sometimes antagonistic classes who never cooperate. Therefore, democracy today is indirect or representative. In this system the will of the state is formulated and expressed not directly by the people themselves, but by their representatives to whom they delegate the power of discussion and decision making. Such a type of democracy rests on the principle that, though sovereignty belongs to the people, it is their representatives who exercise it. The representatives are elected by the people at periodical elections for a fixed tenure. They are responsible to the people who may oust them in the elections if they find them incompetent.

In a representative democracy the ultimate source of authority remains with the people. According to Mill, "Representative democracy is one in which the whole people or some numerous portion of them exercise the governing power through deputies periodically elected by them". Hobhons says, "Democracy means or may mean, two things which though allied in idea, are not necessarily found together in practice, viz., (i) direct participation of the mass of ordinary citizens in the public life of the community, (ii) ultimate popular sovereignty". According to Willoughby, "A representative government is that form of government which results where a legally sovereign electorate, instead of itself attempting to act as the directing head of the machinery of government, brings into existence an organ, or organs to represent and act for it in this capacity". The main characteristics of representative democracy are the following: (i) It is representative form of the government, (ii) The sovereignty is vested in the people, (iii) The people do not have direct share in government, (iv) They only control government through periodic elections, (v) The government is accountable to the people. For a representative government it is not necessary that all its functionaries are elected by the people. It is sufficient if the legislature is elected because the principle of representative government does not necessarily demand the election of the judges and the executive officials. It only requires that all adult citizens have a right to vote and right to be elected, periodical elections are held and freedom of speech, expression and association is granted to all without any discrimination.

8.2.4 Criticism

Economists since Milton Friedman have strongly criticized the efficiency of democracy. They base this on their premise of the irrational voter. Their argument is that voters are highly uninformed about many political issues, especially relating to economics, and have a strong bias about the few issues on which they are fairly knowledgeable.

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- 1) **Mob rule:** Plato's the Republic presents a critical view of democracy through the narration of Socrates: "Democracy, which is a charming form of government, full of variety and disorder, and dispensing a sort of equality to equals and unequaled alike.
- 2) **Moral decay:** Traditional Asian cultures, in particular that of Confucian and Islamic thought, believe that democracy results in the people's distrust and disrespect of governments or religious sanctity. The distrust and disrespect pervades to all parts of society whenever and wherever there is seniority and juniority, for example between a parent and a child, a teacher and a student.
- 3) **Political instability:** More recently, democracy is criticised for not offering enough political stability. As governments are frequently elected on and off there tends to be frequent changes in the policies of democratic countries both domestically and internationally.
- 4) **Slow governmental response:** Democratic institutions work on consensus to decide an issue, which usually takes longer than a unilateral decision.
- 5) **Vote Buying:** This is a simple form of appealing to the short term interests of the voters. This tactic has been known to be heavily used in north and north-east region of Thailand. Another form is commonly called Pork barrel where local areas or political sectors are given special benefits but whose costs are spread among all taxpayers.

8.3 UNITARY AND FEDERAL

On the basis of the distribution of powers between the Central government and the State governments, the governments are classified into two types: Unitary government and Federal government. In the same way, on the basis of the variation in powers of the executive, the governments are divided into two namely: Parliamentary form of government and Presidential form of government. These four types of governments can be explained in the following way.

Definitions

Some of the definitions are given below

- 1) According to Finer, the unitary state is one in which all authority and powers are lodged in single centre, whose will agents are legally omnipotent over the state area.
- 2) C.F. Strong defined the Unitary Government as, "A Unitary Government in one organised under a single centre government, that is to say whatever powers are possessed by the various districts with in the area administered as a whole by the central government.

8.3.1 Unitary Government

On the basis of the distribution of powers between the central and State governments, governments can be classified as unitary and federal. In the unitary government, the entire power of the government is vested with the central government only. Even though the central government holds complete power, for a proper implementation of the activities of the government some of the powers are delegated to the local governments at regional level. The Central government can withdraw such powers at any time. The central government has complete freedom either to increase or reduce the quantum of powers

given to the local governments at regional level. The local governments at the regional level are created only for administrative convenience; but they are not creatures of the constitution. These local governments at regional level do not have any independent status. They exercise their powers remaining subservient to the central government.

Features of Unitary Government

The unitary government has the following features

1. In the unitary government, there will be only one powerful Central government. The central legislature enjoys highest legislative power.
2. The local regional governments may exist or may not exist. Their existence depends upon the central government. They represent the Central government; but seldom have any independent status.
3. The people elect the Central government either directly or indirectly. The local regional governments are constituted by the central government. But in some cases the people elect the local regional governments by themselves.
4. The State will have only one flexible constitution either in a written or unwritten form.
5. The citizens have single citizenship.
6. There will be a unified or integrated judiciary for the entire State.
7. The Central government only has the complete right to amend the constitution.

Advantages

1. **Powerful Government:** As all the powers are vested with the Central government. Unitary government can have a stable and integrated rule. It can face the anti-social elements and chaos in the State.
2. **Efficient Rule:** There is no scope for cropping up of differences between the central and State governments. As all the regional or State governments strictly adhere to the instructions of the central government, there is scope for an efficient rule.
3. **Uniformity in Administration:** As the entire country is under the rule of a single government, only one type of administration and laws will be in force throughout the country. As such there is every scope for the development of all regions in the same way. There cannot be regional differences and inequalities.
4. **Less Expenditure:** As the government has to be constituted at the central level only and as there is no need for independent local regional governments, the expenditure on the formation of the government and running the government will be less.
5. **Quick Decisions:** As there is only one government for the entire State, there will be no delay in taking decisions. Quick decisions can be arrived at in case of exigencies to solve the problems.
6. **Single Citizenship:** All the citizens in the country will have single citizenship. It promotes unity among the citizens. There is more scope for national integration, unity and solidarity.
7. **Useful for Small Countries:** This form of a government is suitable to the small countries with limited population and less area.

Disadvantages

1. **Scope for Dictatorship:** As all the powers are vested with the Central government only, the administration may adopt dictatorial tendencies.

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2. **More stress on central government:** As there is no distribution of powers between the Central and State governments, only the Central government has to discharge all the functions. As a result, there is a scope for more stress on central government leading to negligence and delay,
3. **Growth of inefficiency:** As the local regional governments do not have much independence and as they have to depend upon the central government, the people lose political initiative at local levels. As a result, the governments cannot function efficiently.
4. **Not suitable for big countries:** Unitary government is not suitable to countries with large population, large territory, different cultures and religions for promoting, unity in diversity.
5. **Irresponsibility:** The Central government is not responsible to anybody. No other unit can dictate the Central government. As such, there is every scope for the Central government to behave irresponsibly.

8.3.2 Federal Government

The form of government in which the powers of the government and between the Central Government and the State governments, communicationally, is called as a federal government. The English word 'Federation' originated from the Latin word "Foedus" Foedus means agreement. Hence, it can be understood that a federation forms due to an agreement. Federation can form in two ways

1. Some small countries, which are economically and militarily weak, in a single geographical fold unite to become a single state for the common purposes, surrendering their sovereignty to it.
2. A big unitary State may be divided into different provinces for the administrative convenience. To achieve unity in diversity, the powers of the State will be distributed between the Central and the provincial governments by constitutional means giving rise to a federation.

Meaning and Definition

In Federal Government system, there will be two governments, one is central government and second one is state governments. These governments are created and administered by the written constitution.

These two governments will be obtained the powers and functions through written constitutions. The following different definitions were given by the various political thinkers as shown below.

- 1) "A Federal State is nothing but a political contrivance intended to reconcile national unity with the maintenance of State rights." - A.V. Dicey
- 2) "Federation is an association of States that forms a new ones". - Hamilton
- 3) "A federation is a form where in the central and State governments take decisions in their respective spheres and function independently as a result of the distribution of power between the regional governments and central governments."
- K.C. Where

Features of Federal Government

1. Governments at Two Levels

In the federation, governments exist at the central and the State levels. There is a

central government for the whole country with separate governments at the States. They function in their respective spheres of power.

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2. Division of Power

In a federation, the power will be divided between the Central and the State governments. The central government holds control on such matters like defence, foreign affairs, posts and telegraphs, transportation which have national significance. The matters with local significance like education, agriculture, health, irrigation are with the States. But the division of powers cannot be similar or identical in all the federations.

3. Written Constitution

In the federal system the central and State government systems are decided and defined by a written constitution.

4. Rigid Constitution

Generally, the constitutions in the federation cannot be amended easily. The central government or State governments cannot amend the constitution unilaterally.

5. Supremacy of the Constitution

In a federal system, constitution is the highest form of law. It is the basis for constituting the central and State governments and assigning their powers. Both the central and the State governments exercise their power within the ambit of the constitution.

6. Independent Judiciary

There is a scope for the difference of opinion at times in a federation due to the presence of two governments. There exists an independent judiciary with vast powers to protect the supremacy of the constitution and to solve the problems between governments in a federation.

7. Special Representation to the States in Central Legislature: In a federation, there is bicameralism at the national level. Equal representation is provided to all the states in the upper house of the central legislature in order to protect the interests of small States and prevent the domination of big states over them.

8. Dual Citizenship: In the federal states, the citizens have dual citizenship one at the national level and the other at the state level.

Besides the above features, in some of the federations, there is a scope for dual constitutions, right to separate from the federation and scope to participate in the amendment to the constitution etc.

Advantages

1. Achievement of Unity in Diversity

The federal government co-ordinates the issues of national integrity and liberty of regional governments. Federal system is much useful to the big countries with different races, religions communities and languages. Powerful Central government protects the sovereignty of a federal government and also regional integrity. It helps as a tool to achieve unity in diversity.

2. Prevents Dictatorship

The Central and State governments rule independently. Hence, there is no scope

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for them to behave with a dictatorial tendency. The constitutionalised government, decentralisation of power and democratic measures seldom give scope to dictatorial trends in federation.

3. Lesser Burden on the Centre

Due to the division of powers, the Central and State governments can discharge their functions efficiently. As the regional problems are solved by the provincial governments, the Central government can concentrate on important aspects. The burden of the centre will be lessened to that extent.

4. Scope for New Experiments

In this system, there is much scope to launch new experiments in the economic, political and administrative spheres. Development can be achieved in socio-economic spheres with special interest by adopting such type of techniques suitable to the varying conditions of different places. There is scope in the federation to extend a modality of solution in one region to the other regions in the context of such or similar or identical problems.

5. Political Training to Citizens

There is much scope for the citizens to get training in political activity in a federation. There is scope for them to participate in the political activities of the provinces and deliberate in that context which in turn helps the people to become responsible good citizens.

6. Helpful to Welfare State

Large number of the States, gives much scope for global unrest due to militarism. The formation of federations by unification promotes peace. That is why, most of the scholars think that federation paves way for a Welfare State.

Disadvantages

1. Scope for Central-State disputes

In the federal system, there is very little scope for the States and government at the centre to move on the same track. Disputes may often arise between these two units. There is also a scope for different political parties coming into power in the Centre and States. Political disputes crop up due to mutual criticism by rival political parties for their own ends. As a result, the federation may cause harm to national unity.

2. Expensive

The formation of a federation is very difficult and expensive. It is not so easy as in a unitary State. It is a complex problem to divide the powers between the Central and State governments. Similar political institutions are to be established at the State and Central level. It may not improve efficiency in administration but it certainly leads to increase in expenditure.

3. Lack of uniformity in Administration:

The State governments have independent status and special powers in a federal system. They develop the laws and administrative pattern as per their local needs. That is why the laws and administrative pattern differ from State to State. As a result, there cannot be a uniformity in administration.

4. Promotes Regionalism

The federal system promotes fanatic regionalism among the people and the leaders. The people of different States fight for their regional interests. The State governments

give priority to their problems and neglect the national interests. Disputes between Centre and States may give rise to agitations demanding separation from Federation thus destroying national integration.

5. Anti-Developmental

All the federal States will have rigid constitutions, in general. They can be amended only with the bilateral acceptance of the State and Central governments. At times, the State governments may not accept the constitutional amendment. As a result, the administration may not change as per the changing needs. That is why, some scholars view federation as anti-developmental.

6. Irresponsibility

In a federal system, concurrent powers of legislation are given to both the Central and State governments on certain items. It creates a competition and misunderstanding between the Central and State governments. It is difficult to identify the responsibility for such deadlock. The Central and State governments criticise each other.

7. Not good for small Countries

Federal system is not suitable for countries which are economically backward and also which have less population and less territory. Small countries cannot bear the expenses of this system.

Despite many drawbacks federal system is considered to be the best system for big countries with large population, different races, religions and languages.

8.3.3 Differences between Unitary - Federal Forms of Government

The differences between the unitary and federal forms can be detailed in the following schedule.

Unitary Government	Federal Government
1.This has one government at the central level.	1. There are two types of governments : one at the central or national level and one at the State or regional level.
2. Due to one government, there is no distribution of powers. All powers are vested with the Central government.	2. Powers are distributed between the central and State governments as per the constitution.
3. As there is no distribution of powers. There may or may not be a written constitution.	3. There must be a written constitution.
4. Central government constitutes the regional governments and hence they are obedient to the centre.	4.Regional governments function independently as they are formed by the constitution.
5. The powers of the local governments can be enhanced or reduced by the Central governments.	5. The powers of the local government cannot be enhanced or reduced by the central government as they are formed by the constitution.

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6. The constitution can be amended only by the central government.	6. Both the Central and State governments participate in the process of constitutional amendments.
7. Unicameralism or bicameralism can be at the national level.	7. There must be bicameralism at the national level. The upper houses are meant for giving representation to States.
8. There can be only one legislature for the entire country. There are no provincial legislatures.	8. There are separate legislatures for the central and State governments.
9. There is only one citizenship and the citizens are loyal to only one government.	9. There is generally dual citizenship
10. There is only one constitution.	10. There are two constitutions.
11. The role of judiciary is limited. There need not be separate judiciary.	11. The role for judiciary is paramount and there is a separate judiciary.
12. The formation of government is simple.	12. The formation of government is complex.
13. More scope for unity and integrity.	13. Equal scope for unity and Diversity.
14. No disputes between the Centre and States as all power is vested with the central government.	14. Scope for disputes between Central and State governments due to the division of powers.
15. Scope for dictatorship due to the centralisation of powers.	15. Limited scope for dictatorship due to division of powers between the Central and the State governments.
16. Uniformity in administration due to single government.	16. Less scope for uniformity in administration due to two types of government.
17. This is useful for small States with less territory and people.	17. This is useful for big countries with geographical and demographic diversity.
18. Easy to amend the constitution.	18. Not easy to amend the constitution.
19. More stability and integrity.	19. Less stability and integrity.

8.4 PARLIAMENTARY FORM OF GOVERNMENT

The governments can be classified as parliamentary and presidential forms based on their relations between legislature and executive.

A parliamentary system is a system of government wherein the ministers of the executive branch are drawn from the legislature, and are accountable to that body such that the executive and legislature branches are intervened in such a system, the head of the government is both *defacto* chief-executive and chief-legislature.

Parliamentary form of government depends upon the co-ordination of the powers of both the legislature and executive. The presidential government depends upon the separation of the powers of the legislature and executive. In the presidential form of government the executive is not constituted by the legislature and it is neither responsible to the legislature nor functions under its control.

In the parliamentary form of government, there is a close relation between the legislature and the executive. The executive emanates from the legislature and responsible to it. Hence, this type of a government is called as 'cabinet government' and 'responsible government'

Features: Some national presidents are figure head "Heads of code, like constitutional monarchs, and not active executives of heads of government". In contrast, a full fledged presidential system, a president is chosen by the people to be the head of the executive branch.

Presidents, in presidential form of governments always active participate in the political process, though the extent of their relative power may be influenced by the political makeup of the legislature and whether their supporters or opponents have the dominant position therein.

1. **Two types of executive:** In parliamentary government, there are two types of executive. 1. Nominal executive and 2. Real executive. The king of Britain or the President of India are nominal executives. The Prime Minister with his council of ministers is the real executive. The place of the head of the State is nominal. All the governmental activity takes place in his name for legal purposes. The government under the Prime minister runs the day-to-day administration in reality.
2. **Ministers are members in legislature:** All the members of the council of ministers must be the members of legislature (Parliament). Actually the executive originates from the legislature. Ministers who are not members of the legislature, must become its members within a stipulated period. The ministers actively participate in the deliberations of the legislature. Generally the leader of the party which has absolute majority by itself in the legislature or the person who can muster the support of majority of members of the legislature in the case of a multiparty system, is appointed as the Prime Minister. All the other members of the council of ministers are appointed by the head of the State on the advice of the Prime Minister.
3. **All ministers belong to a single political party:** Generally, all the members of the Council of ministers belong to a single political party. They have similar political opinions and ideals. They run the government as a team. But now-a-days, coalition governments are formed.
4. **Collective responsibility of the council of ministers:** The council of ministers collectively stands responsible to the lower house of parliament which is the popular chamber for its political decisions, discussions, administration, success and failures. By collective responsibility, it is meant that, if the lower house of the parliament opposes the decisions of the council of ministers, it has to resign. In the same way if the lower house of parliament passes no-confidence motion or votes the important decisions of the council of ministers, it has to submit its resignation.

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5. No specific tenure for power to the council of ministers: There is no specific tenure of office for the council of ministers. It can continue to be in power as long as it enjoys the confidence of the lower house of parliament. The ministers have to resign when the council loses its confidence. In the same way, they can continue in power as long as the majority in the lower house of parliament supports. The council has to resign if the majority withdraws the support.

6. Leadership of the Prime Minister: The Head of the State appoints the leader of the majority party in the lower house of the legislature as the Prime Minister and on his advice, the other members of the council of Ministers.

The council of ministers work under the leadership of the Prime Minister alone has the authority to select his ministers; to distribute or change their portfolios and to dismiss them. The Head of the State has to accept the decisions of the Prime Minister in this regard.

Advantages

- 1. Co-ordination between the Legislature and the Executive:** There is co-operation and co-ordination between the legislature and the executive. Executive is a part of legislature both are under the control of the majority party. As such, the ministers frame the laws as per the opinion of the legislators. It means the legislators accept the bills proposed by the ministers. As a result, there is a less scope for disputes and conflicts between the two sections.
- 2. Less Scope for Dictatorship:** The council of ministers is responsible directly to the legislature and indirectly to the people. The legislature can control the council of ministers through questions and resolutions. The council of ministers can be removed from its office, through no-confidence motion in case of need. As such, there is very little scope for the government to be irresponsible and dictatorial in its rule.
- 3. Scope for Decentralisation of Power:** Parliamentary form promotes decentralisation of power. In this method, the executive power cannot be vested with anybody. The powers are distributed among the ministers.
- 4. Easy to have an Alternative Government:** There is no scope for political revolutions. Any changes can be easily introduced in the government. If the council of ministers is removed through the no-confidence motion, the opposition parties will be ready to form the government. If the opposition fails to form the government there is every scope to form a new government by conducting mid-term poll.
- 5. Wide Representation:** There is sufficient and suitable representation to the members of different sections and regions of the country in the council of ministers. The national spirit and national unity can develop among the people as representation is provided in the government to the members of all sections, regions and languages.
- 6. Political Dynamism:** Political consciousness develops among the people in a parliamentary system. The common people can also develop knowledge of political activity due to the discussions in the legislature on different programmes undertaken by the government. The people can understand the defects of the ruling party due to the criticism of the opposition. It improves the knowledge of the political activity among the people.

Disadvantages

- 1. Against the Theory of Separation of Powers:** This form is against the theory of

separation of powers. The ministers have membership in both the legislature and the executive and control both the organs. There is complete co-operation and understanding between these two. As the council of ministers is a part of legislature, the theory of separation of powers is undermined.

2. **Unstable Government:** There is no guarantee that a government can survive its tenure. This situation is more prevalent in countries with multi-party system. It is so because the councils of ministers depend upon the support of the legislators. So the differences in the supporting parties also decide the tenure. The government can be in power as long as it enjoys the confidence of the parliament. Defections from the ruling party to other parties may prove fatal to the government. That is why, there is no stability to the government.
3. **Dictatorship of the Council of Ministers:** The council of ministers may pave way to dictatorship. The council of ministers with majority in the legislature can exercise all powers. The scholars like Hewart and Ramsay Muir opined that countries adopting parliamentary form of government would give more scope for dictatorship of the cabinet.
4. **Difficult to form Council of Ministers:** It is not easy to form council of ministers. The Prime minister while selecting his ministers has to satisfy all the sections of the people taking into consideration the factors like caste, religion, language, region, administrative efficiency and obedience to the party.
5. **Not Good for Emergencies:** The decisions will be delayed as the executive powers are distributed among the ministers. Due to differences among the ministers, decisions cannot be taken unanimously. This type of council of ministers cannot be efficient to face the problems arising in emergencies.
6. **Priority to Party Interest:** Parliamentary government is basically party based. It uses governmental power keeping the interests of the party always in view. The problems of the country are analysed in terms of the party manifesto and solutions are suggested accordingly. The government always tries to keep up its majority in the parliament. For this purpose it encourages defections from other parties.

8.5 PRESIDENTIAL FORM OF GOVERNMENT

A presidential system is a system of government where an executive branch exists and presides separately from the legislature, to which it is not accountable and which cannot, in normal circumstances, dismiss it. Presidential government is based on separation of the legislative and the executive powers

Features

1. **Independence of legislature and executive:** In the presidential form of government the legislature and the executive are two independent units. Executive is not a part of the legislature.
2. **President is the real executive:** The President is the chief executive. In this method, there are no classifications like real executive and nominal executive. The President is the real executive. He exercises all the powers directly or through his secretaries.
3. **Specific tenure of the President:** The president is elected by the people directly or indirectly for a specific period. Only under some specific situations the president can be removed from office by impeachment. He cannot otherwise be removed from his position before the completion of his tenure.

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4. Appointment of Secretaries: For running the administration, the president can appoint his secretaries. They are not called ministers. They are all the followers of the president but not his equals. They can continue in power as long as the president believes them.

Advantages

1. Less Scope for Dictatorship: In presidential form, all the organs of the government are independent. They exercise mutual control. No organ can intervene in the affairs of the other organs. As such there is no scope for strengthening dictatorial trends.

2. Stable Government: The chief executive *i.e.*, the president is elected for a given time. His tenure is not dependent upon the whims and fancies of the legislature. Hence, he can continue in power till the end of his tenure. As the governments do not change often there can be a stable government.

3. No delay in Action: As the executive authority is centralised in a single person, he can take decisions quickly. There can not be any delay in solving the problems of the people as he can quickly take a decision without consulting his secretaries or the legislature.

4. Promotes Efficiency: The President rules with the help of the secretaries and advisers who are experienced and efficient. These persons do not have any ties with the legislature. They are not representatives of any constituency and hence they have no need to concentrate on the problems of constituencies. They devote their complete time in the administration. Hence, efficiency can be promoted.

5. Responsible Government: The president is responsible to the people. He owns complete responsibility for any lapse. He seldom transfers his responsibility to the others.

6. Suitable for Emergencies: The presidential form is suitable for emergencies. The president can face any untoward situation efficiently. He need not seek the approval of the legislature or the advice of his secretaries. He runs the administration keeping in view the welfare of the country.

Disadvantages

1. Scope for Disputes: As the legislature and executive are separated, there is often scope for disputes between the two.

2. Irresponsibility: There is scope for the president to rule irresponsibly. He is not responsible to the legislature. He ignores the criticisms of the opposition. Some times the country has to follow the directives of the president.

3. No Representation to Different Sections: There cannot be sufficient representation in the administration to the people of all sections and areas. As the president appoints only those whom he likes in different cadres, there is a scope for neglecting many. The secretaries may be appointed on the basis of obedience without giving prominence to experience and efficiency. In such a situation, there is scope for inefficient rule.

4. Public Opinion is not Reflected: There is no significance for legislature. All the discussions in legislature can be dry as the president or his secretaries are not members of the legislature and so they do not participate in its debates. As a result the discussions in legislature cannot have much significance and may not reflect public opinion.

5. Difficult to Remove Inefficient Presidents: As the president is elected for a fixed tenure, despite his immorality and inefficiency he cannot be easily replaced by another individual.

6. Anti-developmental Constitution: Generally presidential government is associated

with the rigid constitution. Hence it will be very much difficult to amend the constitution as per the changing needs and it will be anti-developmental in result.

8.5.1 Differences between Parliamentary-Presidential Form of Governments

The differences between the parliamentary and presidential governments are detailed in the following table forms

Parliamentary Government	Presidential Government
1. There are two executives: Nominal and real.	1. There is only one executive: It functions as both nominal and real.
2. The executive is a part of legislature. They must be members of legislature and take part in its deliberations. A non-member must become a member in given time.	2. The executive is not a part of legislature. They are not members of legislature and need not take part in its deliberations. Executive and legislature are independent.
3. Generally members of the council of ministers belong to a single party. They believe in the same ideology and hold the same views.	3. The Secretaries of the president need not be members of a single party. They may differ one another in ideology and aims.
4. The head of the State and head of the government are different. The king in Britain and President in India are heads of the State. The Prime Minister is the head of government.	4. Head of the State and head of the government are one and the same.
5. No distribution of power between the organs of government: Legislature, executive and judiciary. Power is undivided.	5. Distribution of power between the organs of governments viz., legislature, executive and judiciary takes place. Each organ is independent.

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5. No distribution of power between the organs of government: Legislature, executive and judiciary. Power is undivided.	5. Distribution of power between the organs of governments viz., legislature, executive and judiciary takes place. Each organ is independent.
6. Ministers are responsible to the head of the State in theory and in practice to the legislature collectively.	6. Ministers are responsible to the president; but not to the legislature. They can continue in power as long as the president believes them.
7. The tenure of their office is not fixed. They can be removed before the tenure by a no - confidence motion.	7. The tenure of the executive is fixed. They cannot be removed before the tenure. It is possible to remove the president only through impeachment.
8. Ministers have autonomy in their departments to take decisions.	8. The secretaries do not have autonomy to take decisions.
9. Representation to all sections and regions in the administration.	9. No representation to all section: and regions.
10. Discussions in legislatures are educative; promoting political consciousness among people.	10. Discussions in legislatures are dry and do not improve political consciousness of the people.
11. Less scope for disputes between the legislature and the executive due to cooperation and co-ordination.	11. Scope for conflicts between the legislature and the executive due to division of powers.
12. This is an unstable government,	12. This is a stable government.
13. Not suitable for emergencies. There is scope for difference of opinion among ministers	13. Very much suitable for emergencies as the decisions can be arrived at quickly.
14. Priority for party interests only can be seen. Ministers work for narrow party interests.	14. The president gives significance to national interests and is not pressurised by party interests.

8.6 SUMMARY

From the times of Plato to the end of eighteenth century democracy was most provocative and hated concept. Plato and Aristotle believed that it was the most perverted form of the government. From the beginning of nineteenth century only it gained some respectability which went on increasing. To day it enchants, fascinates every body, and is considered as a key political ideal. It is the most sought after political and social ideal.

There are two kinds of democracy such as direct democracy and indirect democracy which are more popular in ancient Greek as well as modern period. In the democratic system, the people of the nation will be elects their representatives by the election method. This is more popularised system at the global level.

In the modern world, the governments are classified based on the distribution of powers between central government and state governments. The powers are distributed as per the written constitution among the governments. The success of democracy depends upon the political education of people. The parliamentary form of government has more channels for importing political education to the people while the presidential form lacks all of them. In a parliamentary system, the deliberations in the legislature are lively. The parliamentary form of government is more popular than the presidential form of government. Only in the USA, and some Latin American countries the find the presidential system of government. In the rest of countries particularly in the newly emergent nations of Asia and Africa are the parliamentary form of government is popular. It is popular because, it is more democratic, responsible and flexible.

8.7 KEYWORDS

- **Democracy:** The modern age is an age of democracy. All the modern states are following the democracy system. The contemporary world as developed a belief that through democracy is in practice, as a form of government, acquiring the support and acceptance of the majority of the people.
- **Direct Democracy:** The people will elects directly their representatives by using their adult franchise vote in democratic system of government.
- **Indirect Democracy:** The people will elects indirectly their representatives by using their adult franchise vote in democratic system of government.
- **Recall:** Recall means call back. Peoples representatives who elected by the people, if they felt any corruption or misbehaviour, they will be removed by the people. Now it is in practice at Switzerland which is in practice direct democracy.
- **Plebiscite:** Some of the policies and issues prepared by the people and submitted to the government for made the laws by the government. The draft must be signed at least 50 people. It is more successful in Switzerland.
- **Federal Government:** Etymologically, the term federation is derived from a Latin word 'foedus', meaning treaty or agreement. A federation comes in to existence when two or more hitherto independent states agree to form a new state surrendering their sovereignty to the central government.
- **Unitary Government:** In Unitary Government, the entire power of the government is vested with the central government only. Even though the central government holds complete power, for a proper implementation of the activities

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of the government some of the powers are delegated to the local governments at regional level. The Central government can withdraw such powers at any time.

8.8 REVIEW QUESTIONS

Essay Type Questions

1. Define Democracy and discuss its Advantages and Disadvantages.
2. What is Direct Democracy? Discuss the various methods of Direct Democracy?
3. Explain the Features of Democracy?
4. Define the Unitary Government. Discuss its features, Advantages and Disadvantages.
5. What is Federal Government? Explain its Advantages and Disadvantages.
6. Define the meaning of Parliamentary Form of Government.
7. Discuss the Advantages and Disadvantages of Presidential form of Government

Short Type Questions

1. What is meant by Democracy?
2. What is meant by Indirect Democracy?
3. What is meant by Unitary Government?
4. What is meant by Federal Government?
5. Definitions of Federal Government?
6. Characteristics of Unitary Government?
7. Explain Parliamentary system.
8. Explain President system.
9. Describe features of Presidential form of Government.

8.9 SUGGESTED READINGS

1. Kapoor, A.C. – Principles of Political Science
2. Dhal, R.A. – Modern Political Analysis
- 3.. Mishra, K.K. – Political Theory
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5. Joshi, V.P. – Unified Course in Political Science
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POLITICAL SCIENCE CONCEPTS, THEORIES AND INSTITUTIONS

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Lesson - 10

Organs of Government

- a) Legislature:** i. Unicameral and Bi-cameral
ii. Powers and Functions
- b) Executive :** i. Powers and Functions.
- c) Judiciary :** i. Powers and Functions
ii. Independence of Judiciary and Judicial Review.

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UNIT -V

Lesson 9

THEORY OF SEPARATION OF POWERS

Structure

- 9.0 Aims and Objectives
- 9.1 Introduction
- 9.2 Meaning
- 9.3 History of the Theory
- 9.4 Importance of the Theory
- 9.5 Theory of Separation of Powers—Montesquieu
- 9.6 Arguments in Favour of Separation of Powers
- 9.7 Criticism of the Theory
- 9.8 Summary
- 9.9 Keywords
- 9.10 Review Question
- 9.11 Suggested Readings

9.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Understand the theory of Separation of Powers
- Explain the importance of the Separation of Powers
- Know the Arguments in Favour of Separation of Powers.

9.1 INTRODUCTION

The government has three organs such as Legislature, Executive and Judiciary. What type of relationship among these organs of the government should be is a question that has vexed almost all the thinkers of the past and present. Different thinkers have suggested different theories of their relationship. Montesquieu's theory is the most important among them all.

'The Theory of Separation of Powers' is explained by Montesquieu in his famous book 'Spirit of Laws'. This theory is based on the assumption that power corrupts and absolute power corrupts absolutely. The concentration of all powers in a single person or institution paves the way for absolutism. According to Madison, "The accumulation of all powers legislative, executive and judicial in the same hands whether of one, a few or many and whether hereditary, self appointed or elective, may justly be pronounced the very definition of tyranny." Therefore, it is necessary that there should be separation of powers. The legislature should enact the laws, the executive should implement and the judiciary should adjudicate on the basis of the prevalent laws. Montesquieu has emphasised that concentrated power is dangerous and leads to despotism. It can be avoided by

separating these organs so that one may operate as a balance against another and thus, power should be check on power.

9.2 MEANING

The separation of powers also known as trias politica, is a model for the governance of democratic states. The model was first developed in ancient Greece and came into widespread use by the Roman Republic as part of the uncoded Constitution of the Roman Republic. Under this model, the state is divided into branches or estates, each with separate and independent powers and areas of responsibility. The normal division of estates is into an executive, a legislature and a judiciary.

The opposite of separation of powers is the fusion of powers, often a feature of parliamentary democracies. In this form the executive, which often consists of a prime minister and cabinet ("government"), is drawn from the legislature (parliament). This is the principle of responsible government. Although the legislative and executive branches are connected in parliamentary systems, there is often an independent judiciary. Also, the government's role in the parliament does not give them unlimited legislative influence.

9.3 HISTORY OF THE THEORY

Though the Theory of separation of powers has been rationally explained by Montesquieu, but the basic features of the theory are not new. Its origin can be traced back to Aristotle. Aristotle had described three branches of government-the deliberative, the executive and judicial. Aristotle described only their personnel and functions. He did not elaborate the theory of separation of powers. Various political philosophers, like Marsiglio of Padua gave some attention to the theory but it had no meaning to Political Science at that time because the question of political liberty was not at all urgent. In sixteenth century, the French philosopher Jean Bodin had suggested that the king should not act at the same time as law give and magistrate. The leaders of the Glorious Revolution had also said that the power making laws and the powers to execute them should not be in the same person or the same assembly as it paves the way for tyranny. John Locke's "Civil Government" contains some traces of the Theory of Separation of Powers. According to Locke there existed three powers, legislative and federative. By federative power he meant the power to conduct foreign affairs. While unity between executive and federative powers is inevitable but union of legislative and executive powers should be avoided. It should never be permitted.

9.4 IMPORTANCE OF THE THEORY

Critics have questioned the validity of the theory of separation of powers on many grounds, nevertheless there are some important elements in the theory. They are

- i) The criticism of Montesquieu's theory is the result of wrong interpretation of the theory. Montesquieu, never supported complete separation of powers; he only drew attention to the dangers of concentration of powers and to the necessity of providing adequate safeguards to secure individual liberty.
- ii) The theory of separation of powers can be rejected as unimportant as it is a device to secure individual liberty and check the possibility of a tyranny.
- iii) Theory of separation of powers is vital for the prevalence of the rule of law and independence of judiciary.
- iv) Theory of separation of powers is also important for the efficiency of the administration. When a department is involved in carrying out a specific type of

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task, it increases efficiency and specialisation.

- v) Montesquieu's theory was responsible for inspiring the French Revolution and Declaration of American independence. Both the revolutions have strengthened democracy.

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9.5 THEORY OF SEPARATION OF POWERS-MONTESQUIEU

In the tyrant ruling time of Louis XIV, all the three powers were combined in his person, it is words were law. He himself was over and above law. People were denied the individual and civil rights. There was nothing like political liberty. Montesquieu happened to visit England. He was tremendously influenced by the spirit of freedom, independence of judiciary etc. Montesquieu found that the main cause of spirit of freedom in Britain was 'Separation of Powers'. To Montesquieu it was a device to create a limited government, to make the government safe for the governed. Montesquieu expounded the theory of separation of powers in his famous book 'Spirit of Laws'. There he says, "When the legislative and executive powers are united in the same person or in the same body of magistrates, there can be no liberty because apprehension may arise, lest the same monarch or senate should tyrannical laws, and execute them in a tyrannical manner". Again there is no liberty if the judicial power be not separated from the legislative, the life and liberty of the subject would be exposed to arbitrary control, for the judge would then be the legislator. Were it joined to the executive power, the judge might behave with violence and oppression. There would be an end of everything, were the same man or the same body to exercise those three powers, that of enacting laws, that of executing the public resolutions, and of trying the cases of individuals."

Montesquieu explained that whoever has the absolute or unrestrained power would certainly abuse it. In such a situation there would be no liberty. If the legislative and executive powers are combined in one man or in a body of persons there would be no liberty because in that case the same man becomes the maker and executor of Laws. If the legislative and judicial powers are combined the legislator would become a judge. If the executive powers are combined with the judicial, the same agency would become the prosecutor and the judge. If all the powers are concentrated in one single hand there would be end of everything.

Montesquieu contemplated a limited separation of powers not complete separation of powers because complete separation of powers was not feasible and practical. He rather suggested modification of concentration of power. Montesquieu suggested that each organ of the government must have the power to check the other and thus create a balance. Blackstone has expressed the same view in his famous book Commentaries on the 'Laws of England'. He said, "Whenever the right of making and enforcing the law is vested in the same man or one and the same body of men, there can be no public liberty." The Magistrate may enact tyrannical laws and execute them in a tyrannical manner since he is possessed in his quality of dispenser of justice with all the power which he as legislator thinks proper to give himself where it (the judicial power) joined with the legislative, the life, liberty and property of the subject would be in the hands of arbitrary judges whose decisions would be regulated by their opinions and not by any fundamental principles of law which though legislators may depart from yet the judges are bound to observe were it joined with the executive this union might be an over balance of the legislative.

9.6 THE POSITIVENESS IN FAVOUR OF SEPARATION OF POWERS

Following are the arguments in favour of the theory of separation of powers

1. **Securing the Individual Liberty:** It is an admitted phenomenon that ‘power corrupts and absolute power corrupts absolutely’. If power is unchecked and allowed to concentrate it becomes a danger to the individual liberty. Therefore, concentration of powers should be checked or proper safeguards should be devised to prevent any abuse.
2. **Separation of Executive and Legislature:** In order to avoid tyranny or the enactment of arbitrary laws and harsh execution separation between executive and legislature is necessary.
3. **To Maintain Independence of Judiciary:** The theory of separation of powers is conceived to maintain the independence and impartiality of the judiciary. The assumption of judicial functions either by the executive or legislature is brought with danger as the administrator or legislator becomes the judge also is mischievous proposition.
4. **Every Organ of the Government requires different sets of People:** The executive and judicial functions require persons of different temperament and a quality. A judge ought to be cool-headed, cautious and impartial. A legislator has to be sociable and capable of feeling the pulse of the electorate and an administrator is required to be tough and capable of making quick decisions. Efficiency therefore, requires separation of powers.

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9.7 CRITICISM

Though the theory of separation of powers has influenced different political systems greatly but logically it can be established that the theory is unsound and unmaintainable. It is not the cornerstone of liberty. Following are the main points of criticism of Montesquieu’s theory of separation of powers:

1. Historically Untrue: According to Montesquieu the theory of separation of powers was expounded on the basis of British constitutional system of those times. The critics hold that Montesquieu had failed to assess the British political system correctly. The British constitutional system was never based on the theory of separation of powers. Since the times of Montesquieu the British constitutional system has been parliamentary and the basic attribute of such a system is close coordination between the legislature and executive. Concentration of responsibility instead of separation of powers is the hallmark of the British constitutional system. In fact, Montesquieu has failed in investigating the responsible factors for the essence of liberty. Liberty in Britain is not secure by separation of powers. It is safe and secure because of the British attitude towards the government and existence of rule of law.

2. Impracticable Theory: The government is an ‘organic unity’. The organs of the government are interdependent like different organs of a human body. Therefore, a complete and rigid separation between organs of the government is not possible.

Gettell rightly says. Government consists of a group of organs with differentiated functions but with a common task and their harmonious cooperation is essential to success. A strict line of separation can not be drawn between the several departments”.

Complete separation amounts to the tyranny of each organ which is not desirable. The existence of three sovereigns at the same time can not administer the state successfully. The idea of complete separation is intriguing. Therefore, the separation of powers, in spite of the best efforts, remains to be an impracticable ideal.

Impracticability of the theory of separation of powers becomes quite obvious when we observe the functioning of the American constitutional system. The framers of the American constitution were tremendously influenced by this theory but in the U.S.A.

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too complete separation between these organs has remained elusive. Congress, the federal legislature exercises control over presidential powers of executive appointments and treaties apart from the enactment of laws. It is also empowered to impeach president and the judges of the Supreme Court in case they over-step their jurisdiction. Thus the legislature (Congress) discharges the executive and judicial functions also. The President the executive head has the power of veto in regard to the congressional bills submitted for his assent. He has also the power of appointing the judges of the Supreme Court and right to pardon, reprieve and amnesty. Thus the president who is the executive head performs the legislative and judicial functions also. The American Supreme Court in like manner, is empowered to review the validity of the laws passed by the congress. If it finds them ultravires, it is empowered to declare them null and void. Thus the application of theory of separation of powers has not been possible even in the United States of America considered a classical example of application of the theory of separation of powers.

Today the functions of the government are of mixed type. The judiciary lays down precedences while adjudicating. These precedences have the status of a law. In order to handle a situation of emergent nature, the executive promulgates ordinances. They are as good as laws. In modern times, the scope of delegated legislation has increased tremendously. It has given immense power of rule making to the legislature.

Further, the industrialisation, economic planning and welfare state concept have made the application of separation of powers entirely difficult. The growth of political parties and existence of fascist political systems have further eroded the theory.

3. Separation of Powers is Unjust: Application of the theory of separation of powers is not only difficult but is unjust also. The government is like a living organism. Legislature, executive and Judiciary are its biological organs.

If the limbs of a living creature are completely separated or there remains no coordination among them, the living being would be as bad as dead. In the same manner, complete separation between the organs of the government would lead to dead-locks.

For the success of administration, coordination between legislature and executive is very necessary. Though the power of making laws is vested in the legislature, but the legislature is overworked. It fails to appreciate the complexities of administration and the practical difficulties which confound an administrator while executing the laws. Therefore, it becomes absolutely necessary that the legislature cooperates with the executive. The legislature has a direct communication through its members with the people in general. It represents the public opinion. The executive has to receive directions from the legislature to make the administration dedicated to the welfare of the people.

If the theory is strictly observed, it will do away with the efficiency and impartiality of the judiciary. It will imply that the judges are neither to be appointed by the executive nor by legislature; they will be elected by the people directly. The elected judges will certainly be incompetent damagogues of easy virtues. Moreover, an irresponsible executive is the best definition of tyranny. As Ogg had observed that the most important condition of a responsible government is control of legislature over the executive. In the absence of this responsibility democracy can not succeed.

4. Traditional Triad of Powers is Irrelevant today: Modern writers on government and constitutions feel that the traditional division of government in three organs is irrelevant and meaningless. We can not understand the functions of the government with the help of these three institutions because the legislature performs the executive as well as judicial functions apart from the legislative function. The same is true about the executive

and judiciary also. Therefore, the modern writers have adopted functional basis instead of structural to understand the governmental activities.

5. Definition of the area of Activity of Organs is difficult: According to Laski, it is not possible to define the area of these three organs in such a manner that each remains independent and supreme in its allotted territory. For each of the three departments separate elections and tenure will be required. The executive and the judiciary will have to apply the laws passed by the legislature. Therefore, there will be no guarantee of individual liberty.

6. Inequality in the Powers of the Three Organs: The theory of separation of powers is based on the assumption that all the three organs of the government are equal in power and influence. This is not correct assumption. Among the executive, judiciary and legislature, the legislature has a higher and more important status. The executive and judiciary apply the laws passed by the legislature and they have to run the administration on the guidelines specified in the legislative resolutions. According to Laski, "The powers both of the executive and judiciary find their limit in the declared will of the legislative organ". Therefore, the theory appears to be incorrect in its basic assumptions; hence unworkable.

7. Lack of Leadership: In modern age an able, competent and strong leadership is required to handle the complexities of administration but the separation of powers divides the leadership of executive and legislature. It is the greatest short-coming of the theory in practice.

8. Separation of Powers is not Necessary for Liberty: It is a misconception, that separation of powers is necessary for liberty. In modern times the system of rule of law and a constitutional declaration of rights are more important for the liberty in a state. Moreover, liberty consists in eternal vigilance not in the theory of separation of powers.

9.8 SUMMARY

Theory of separation of powers is propounded by the French philosopher Montesquieu. He proposed his theory in his work entitled "**The Spirit of Laws**". Montesquieu focussed on mainly powers. He strongly recommended that the three organs of government i.e. Legislature, Executive and Judiciary should be enjoyed their powers separately without intervention of each branch of government as per the constitution. So, the democracy will be successful. Presently, the United States of America is following this kind of separation of powers system.

The government has three organs—Legislature, Executive and Judiciary. What type of relationship among these organs of the government should be? is a question that has vexed almost all the thinkers of the past and present. This theory is based on the assumption that power corrupts and absolute power corrupts absolutely. The concentration of all powers in a single person or institution paves the way for absolutism.

Montesquieu has emphasised that concentrated power is dangerous and leads to despotism. It can be avoided by separating these organs so that one may operate as a balance against another and thus, power should be check on power.

9.9 KEYWORDS

- **Separation of Powers:** The separation of powers, also known as trias politica, is a model for the governance of democratic states. The model was first developed in ancient Greece and came into widespread use by the Roman Republic as part of

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the uncodified Constitution of the Roman Republic. Under this model, the state is divided into branches or estates, each with separate and independent powers and areas of responsibility. The normal division of estates is into an executive, a legislature, and a judiciary.

- **Montesquieu is a French Philosopher.** He proposed the Theory of Separation of Powers. He proposed his theory in his book 'The Spirit of Laws' which was published in 1215. The main aim of the theory is that the powers must be independent among the government organs such as Legislature, Executive and Judiciary. Any organ should not be interfere in an other organ of government it shows that the independent status of the organ of government. Then the democracy will be success and the people of the nation will be enjoyed liberty, equality and fraternity. This theory is most popularised in the world especially in USA.
- **Spirit of Laws:** When the legislative and executive powers are united in the same person or in the same body of Magistrates, there can be no liberty because apprehension may arise lest same monarch or senate should enact tyrannical laws and executive them in the tyrannical man. Again there is no liberty if the judicial power is not separated from the legislative and executive were it joined with legislative the life and liberty of the subject would be exposed to arbitrary control, for the judge would then be legislator were it joined to the executive power, the judge might behave with violence and oppression.

9.10 QUESTIONS FOR DISCUSSION

Essay Type Questions

1. Explain the Theory of Separation of Powers?
2. Critically analyse the theory of separation of powers?
3. What is the theory of separation of powers? Explain its importance.

Short Type Questions

4. Montesquieu
 5. Separation of powers
 6. The Spirit of Laws
-

9.11 SUGGESTED READINGS

1. Acharya, K.R. : A Textbook of Political Science
2. Aggarwal, R.C. : Principles of Political Science
3. Aggarwal, N.N. : Principles of Political Science
4. Amal Roy : Political Theory –Ideas and Institutions
5. Asservadam : Political Theory
6. Joshi, V.P. : Unified Course in Political Science

Lesson 10

ORGANS OF GOVERNMENT

Structure

- 10.0 Aims and Objectives
- 10.1 Introduction
- 10.2 Legislature
 - 10.2.1 Structure of Legislature
 - 10.2.2 Committee System
 - 10.2.2.1 Types of Committees
 - 10.2.3 Functions of Legislature
 - 10.2.3.1 Decline of Importance of Legislature
- 10.3 Executive
 - 10.3.1 Types of Executive
 - 10.3.2 Functions and Powers of Executive
 - 10.3.3 Growth and Significance of Executive
 - 10.3.4 Role of Executives in Modern States
- 10.4 Judiciary
 - 10.4.1 Structure of Judiciary
 - 10.4.2 Functions of Judiciary
 - 10.4.3 Judicial Review
 - 10.4.4 Rule of Law
 - 10.4.5 Role of Judiciary in Democracy
 - 10.4.6 Independence of Democracy
- 10.5 Summary
- 10.6 Keywords
- 10.7 Review Questions
- 10.8 Suggested Readings

10.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Describe types of organs of Government.
- Explain the Structure and Functions of Legislature.
- Understanding about the committee system.
- Explain the Structure and Functions of Executive and Judiciary.

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10.1 INTRODUCTION

A **legislature** is a type of deliberative assembly with the power to pass, amend and repeal laws. The law created by a legislature is called legislation or statutory law. Legislatures are known by many names, the most common being parliament and congress, although these terms also have more specific meanings. In parliamentary systems of government, the legislature is formally supreme and appoints a member from its house as the prime minister which acts as the executive. In separation of powers doctrine, the legislature in a presidential system is considered a power branch which is coequal to and independent of the both the judiciary and the executive. In addition to enacting laws, legislatures usually have exclusive authority to raise taxes and adopt the budget and other money bills.

The primary components of a legislature are one or more *chambers* or *houses*: assemblies that debate and vote upon bills. A legislature with only one house is called unicameral. A bicameral legislature possesses two separate chambers, usually described as an upper house and a lower house, which often differ in duties, powers, and the methods used for the selection of members. Much rarer have been tricameral legislatures; the most recent existed in the waning years of white-minority rule in South Africa.

In most parliamentary systems, the lower house is the more powerful house while the upper house is merely a chamber of advice or review. However, in presidential systems, the powers of the two houses are often similar or equal. In federations, it is typical for the upper house to represent the component states; the same applies to the supranational legislature of the European Union. For this purpose, the upper house may either contain the delegates of state governments, as is the case in the European Union and in Germany and was the case in the United States before 1913, or be elected according to a formula that grants equal representation to states with smaller populations, as is the case in Australia and the modern United States.

Generally, the power exercised by any government is of three types: 1) Legislative Power; 2) Executive Power and 3) Judicial Power. The State can enact by the legislative power. This is done by the legislature. Executive power is to implement the laws. This is done by the executive. The courts of law examine and decide the constitutional validity of the laws enacted by the legislature and also the executive actions, when they are challenged before them. This is called judicial power.

If these three organs of the government-legislature, executive and judiciary, function independently, there will be no scope for misuse of power. This is called as the theory of separation of powers. This theory was proposed by Montesquieu, the French theorist.

10.2 LEGISLATURE

Legislature is generally of two parts: (1) Upper House (2) Lower House. Of all the organs of government the legislature acquired the most prominent place. The legislature in the democratic government provides equilibrium to thoughts, discussions and different opinions. They represent the opinions and interests of different sections. The method of representation has developed considerably during the modern times. The method of representation to the people in legislature varies from country to country. The country is divided into geographical constituencies in the method of territorial representation. The

people of the respective constituencies elect their representatives to the legislature. Representation is provided to all the sections in proportional representation system. There are other methods of election like transferable vote system and list system. By and large, throughout the world the method of territorial representation is in vogue.

10.2.1 Structure of the Legislature

The structure of the legislature is not uniform in all the countries. The major problem in this context is whether to have unilateralism or bicameralism. In unilateralism, the legislature consists of a single house. On the other hand in bicameralism, the legislature is divided into two houses. Most of the countries have bicameral legislature.

I. Bi-Cameral Legislature

S. No.	Name of the Country	Upper House	Lower House	Name of the Legislature
1	England	House of Lords	House of commons	Parliament
2	United States of America	Senate	House of Representatives	Congress
3	India	Rajyasabha	Lok Sabha	Union Parliament
4	Former U.S.S.R.	Soviet of Nationalities.	Soviet of Union	Supreme Soviet
5	Switzerland	Council of States	National Council	Federal Assembly
6	Canada	Senate	House of commons	Parliament

The structure of the upper house varies from country to country. The following are the principles generally followed to form the Upper House in different countries.

1. In some countries, the membership of the Upper House is hereditary.
2. In some countries, the members of the Upper House are appointed by the executive for a specific period.
3. In some countries, the members of the Upper House are elected by the people.
4. In some countries, the members of the Upper House are indirectly elected.

In the federal States, the members of the Upper House are elected from the component States. These members represent their respective States in the Central Government.

The structure of the lower house is similar in almost all the countries. The people directly elect the members of the lower house through universal franchise. The representatives directly elected by the people are given great prominence. The structure and particulars of the lower house in some countries is indicated in the following table.

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Name of the Country	Name of the Lower House	Number of the members	Tenure	Dissolution	Minimum Age of Contesting
England	House of commons	630	5 years	Before the tenure	21 years
France	National assembly	627	5 years	Before the tenure	23 years
U.S.A.	House of representatives	438	2 years	Not before the tenure	25 years
Switzerland	National council	196	4 years	Not before the tenure.	21 years
India	Lok Sabha	543	5 years	Before the tenure.	25 years

II. Unicameralism Legislature

Whether the legislature should have a single house or two houses is a moot point. Some argue in favour of unicameralism and some others support bicameralism. Bicameral legislature gives more scope to enact carefully. The hasty decisions of the lower house will be checked by the Upper House. In unicameralism, the legislature may become tyrannical. Hence, it is argued that bicameralism is more beneficial. But, there are certain advantages and disadvantages in both bicameralism and unicameralism.

Advantages

1. The upper house can control the activity of the lower house.
2. The hasty acts made in the lower house can be made more purposeful through long discussions. The upper house gives additional security to legislation.
3. There is a scope to provide representation to all sections in the Upper house.
4. The Upper house can provide representation to the intellectuals and social servants and their services can be made use of. It protects the liberty of the individuals and the interests of the minorities.

Disadvantages

1. One house is sufficient to express the public opinion. Unicameralism is simple and clear.
2. The Upper house cannot come in the way of sweeping powers of the lower house. Bicameralism leads to delay and more expenditure. It is undemocratic to provide representation to special categories of people in the name of the house.

10.2.2 Committee System

The most vexing problem that confounds the legislatures is to create an institutional device for the best legislation. The legislators are today over burdened with the legislative work. The fear of bad legislation due to haste also looms large. To resolve that twin problem committee system evolved in Britain. New committee system as universal prevalence.

10.2.2.1 Types of Committees

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There are three main types of committees

1. Standing Committee
2. Select Committee
3. Joint Committee
4. Sub Committees
5. Delegated Legislation

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1. **Standing Committee:** Standing Committees are permanent panels identified as such in chamber rules. Because they have legislative jurisdiction, standing committees consider bills and issues and recommend measures for consideration by their respective chambers. They also have oversight responsibility to monitor agencies, programs, and activities within their jurisdictions, and in some cases in areas that cut across committee jurisdictions.

Most standing committees recommend funding levels—authorizations—for government operations and for new and existing programs. A few have other functions. For example, the Appropriations Committees recommend legislation to provide budget authority for federal agencies and programs. The Budget Committees establish aggregate levels for total spending and revenue that serve as guidelines for the work of the authorizing and appropriating panels.

2. **Select Committee:** Select or special committees are established generally by a separate resolution of the chamber, sometimes to conduct investigations and studies, and, on other occasions, also to consider measures. Often, select committees examine emerging issues that don't fit clearly within existing standing committee jurisdictions, or which cut across jurisdictional boundaries. A select committee may be permanent or temporary. Instead of Select, the Senate sometimes uses the term special committee
3. **Joint Committee:** Joint committees are permanent panels that include members from both chambers, which generally conduct studies or perform housekeeping tasks rather than consider measures. For instance, the Joint Committee on Printing oversees the functions of the Government Printing Office and general printing procedures of the federal government. The chairmanship of joint committees usually alternates between the House and Senate. A conference committee is a temporary joint committee formed to resolve differences between competing House and Senate versions of a measure. Conference committees draft compromises between the positions of the two chambers, which are then submitted to the full House and Senate for approval.
4. **Sub Committees:** Subcommittees are formed by most committees to share specific tasks within the jurisdiction of the full committee. Subcommittees are responsible to, and work within the guidelines established by, their parent committees. In particular, standing committees usually create subcommittees with legislative jurisdiction to consider and report bills. They may assign their subcommittees such specific tasks as the initial consideration of measures and oversight of laws and programs in the subcommittees' areas.

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5. **Delegated Legislation:** This may be defined as the system of legislation in which broad outlines of a laws are determined by the legislature and the work of making by laws is transferred to the subordinate agencies. Though the power of making laws is the executive right of the legislature but unfamiliarity with the operational part of the law and paucity of time compels the legislature the delegate the power of making laws to the subordinate authority which is, most cases, the executive

10.2.3 Functions of Legislature

The basic function of the legislature people. The legislature in modern times to enact laws as per the will of the bargaining certain administrative and judicial duties besides forming the laws. The functions of the legislature also depend upon the form of the government. The role of the legislature is limited in a presidential form of government. But, it has an extensive role in the parliamentary government. The functions of the legislature can be analysed under different heads like: Legislative functions, Executive functions, Financial functions, Judicial functions, Constitutional functions and other functions.

1. **Legislative Functions:** To frame the laws is the basic function of the legislature. It is the important duty of the legislature to pass laws as per the will of the people. The legislature has powers to frame new laws and also to change, revise or cancel the laws which are outdated. The legislature not only makes laws but also conducts detailed discussions and consultations on different subjects. The legislature discusses extensively every bill before it becomes law.
2. **Functions to Control Executive:** In the parliamentary government, the council of ministers is responsible to the legislature. The legislature exercises control on the council of ministers in dealing with the problems cropping up in the country, and their solutions through different resolutions and questions. It can also pull down the government through a no confidence motion if such a need arises.
3. **Financial Functions:** The financial functions of the legislature are of much importance in democratic countries. The legislature has to approve the income and expenditure under different heads shown in the budget. The legislature can decide the amount of expenditure under different heads. Levying new taxes or abolishing already existing taxes can be taken up with the consent of the legislature only.
4. **Judicial Functions:** The legislature, especially the upper house performs some judicial functions. The House of Lords in England functions as the highest court of justice. In U.S.A. and India, the legislature has to try impeachment cases against the president or the Justices of Supreme Court and High Courts. Some times the legislature conducts enquiry through separate committees on the allegations against the government. The legislature has the authority to punish anybody who commits breach of privileges of members and those who violate the rules of the house.
5. **Constitutional Functions:** The legislature has the right to amend the constitution besides framing the laws. It can amend the constitution as per the needs and requirements of the country which change from time to time.
6. **Other Functions:** Besides the above functions, the legislature has some more functions like, accepting or rejecting the ordinances declared by the government; electing the Speaker, appointing necessary committees to enquire into the lapses

of the government and to formulate rules and procedures of the legislative business.

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10.2.3.1 Decline of the Importance of the Legislature

The political thinkers opine that the legislature, which has wide powers theoretically is losing its significance gradually in the democratic countries. There are many reasons for this. The executive acquired a lot of constitutional and legal powers to achieve comprehensive Socio-economic development. The legislature has to depend on the executive as it does not possess even the fundamental capacity to understand the novel measures introduced in the administrative system due to advancement of science and technology.

Since the highest political offices are filled in through direct elections, the government gained importance by directly influencing the people. It could develop direct relations with the people lessening the importance of the legislature. Another reason for the reduction of the importance of the legislature is delegated legislation. The legislature, possess a law in a skeleton form and delegates power to the executive to fill in the details of it in the shape of rules and regulations. This is called 'delegated Legislation'. This power is used by the executive to implement plans and welfare schemes.

The political thinkers are worried about the fact that the significance of the legislature is further reduced due to certain reasons like lack of a powerful opposition, less duration of the sessions of the parliament, the irresponsible behaviour of the ruling party and also the misbehaviour of the legislators.

10.3 EXECUTIVE

In the study of political science the executive branch of government has sole authority and responsibility for the daily administration of the state bureaucracy. The division of power into separate branches of government is central to the democratic idea of the separation of powers.

In many countries the term "government" connotes only the executive branch. However, this ambiguity fails to differentiate between despotic and democratic forms of government. In authoritarian systems the executive branch ceases to exist since there is no other branch with which to share separate but equal governmental powers.

The executive is the next important organ in the government. The Head of the State and the council of ministers under the leadership of prime minister is called as the executive. Some scholars take into account the permanent employees also as a part of the executive. In the opinion of Garner, *"In a broad and collective sense the executive organ embraces the aggregate or totality of all the functionaries which are concerned with the execution of the will of the State as that will has been formulated and expressed in terms of law"*. Legislature frames laws. The executive implements all the laws and policies passed by the legislature That is why the executive is identified with government in modern times. Broadly speaking, the executive has three parts: 1) the head of the State, 2) the Council of ministers and 3) the employees.

10.3.1 Types of Executive

The executive is found to be of eight types: Nominal, Real, Singular Plural, Parliamentary,

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Presidential, Hereditary and Elective.

1. **Nominal Executive:** He is the head of the State for nominal purpose:. The king in Britain, the President in India are the best examples.
2. **Real Executive:** All the powers of the executive are vested with a single person. He is the head of the State and government in countries like U.S.A. On the other hand the prime minister acts as the head of the government in countries like India and Britain.
3. **Single Executive:** All the powers are vested with a single person as in U.S.A.
4. **Plural Executive:** All the powers are vested with more than one person like the council of ministers. Federal council in Switzerland, Presidium in former U.S.S.R. etc. This system is found in States with parliamentary form of government and some past federations with a variation.
5. **Parliamentary Executive:** The executive is a part of the parliament and is responsible to H as in India.
6. **Presidential Executive:** All the power is vested with the president. Neither he is the member of the legislature nor he is responsible to it.
7. **Hereditary Executive:** In this case, the head of the State inherits that position from the parent as in the case of property. In this method, he continues to be the head of the State through out his life.
8. **Elective Executive:** In this method, the executive is elected either directly or indirectly. He can continue in power only for a given period of time.

The name of the Head of the State varies from State to State. He is called as the king in England and President in India and United States of America. The powers of the Head of the State are not identical in all States. There is a vast difference in the powers and duties of the president in India and United States of America.

The appointment of the Head of the State is also in dissimilar pattern. The following major four methods are in vogue.

1. **Inheritance Pattern:** The Head of the State acquires that position through inheritance. He continues through out his life in that position.
2. **Direct method:** The Head of the State is elected by the people for a stipulated period.
3. **Indirect method:** The Head of the State is elected for a given period through an judicial college.
4. **Election through legislature:** The Head of the State is elected by the nation legislature.

The Head of the State will have different powers and functions. The entire administration is run in his name. The duties of the Head of the State include implementation of laws, appointment of employees, issuing necessary regulations for rule, issuing ordinances temporarily times of emergency and to formulate and implement the national and the international policies in different spheres.

The other important unit in executive, after the Head of the State, is the council of

ministers. It is of three types: 1. Presidential council of ministers 2. Parliamentary council of ministers 3. Multi party council of ministers (Coalition Ministry).

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The third part in the executive is the employees. They are generally selected to discharge different functions on the basis of their personal abilities and skills. Generally, the employees are un-biased and neutral towards the political affairs. They are loyal to the ruling political party in spite of their personal inclinations.

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10.3.2 Powers and Functions of the Executive

The executive enjoys vast powers and performs many functions in modern states. It is the government-in-action. It is the supreme policy-making body. It is the key of governmental machinery. It is gaining importance, from time to time. Garner and Strong listed out the following powers and functions of the executive.

1. **Administration:** The main task of the executive is administration of the state. For this purpose, it appoints the personnel in various departments. It makes rules regarding supervision, direction, control, promotion, transfer, emoluments and training of the personnel. It sets up new departments and organizations to meet the growing needs of people.
2. **Legislation:** The executive in some countries summons and prorogues the meetings of legislature. It can also dissolve the lower house of legislature. It nominates the members of legislature. It issues ordinances when legislature is not in session. It permits the legislators to introduce money bills. It also initiates and pilots bills in the legislature and causes the passage of said bills.
3. **Delegated Legislation:** One of the causes for the growing importance of the executive is delegated legislation. Under this, executive is authorized by legislature to fill up the gaps and the details in the laws framed by the legislature. While the major policy frame is enacted by the legislature, the filling up of other items is entrusted to the executive.
4. **Financial Administration:** Executive also discharges some financial functions. It prepares the annual financial statement, that is, the budget and presents it to the legislature. Subject to the approval of the legislature, the executive imposes and collects taxes and appropriates the proceeds for various programs. It looks after the affairs of the financial institutions in the country. It can borrow loans from the people and institutions in and abroad. It takes steps for getting the public accounts properly audited. The whole gamut of financial administration is vested in the executive.
5. **Military Administration:** The chief executive acts as the supreme commander of the defense forces. In that capacity he commissions and dismisses the military personnel. The executive can declare war or concludes peace. It safeguards the sovereignty, independence, unity and integrity of the nation. The management of army and the command of the armed forces are some of the functions of the executive.
6. **Organisation of Judiciary:** The executive appoints the judges of the higher courts and the Supreme Court. It ensures dispensation of justice. It has the power to remove judges basing on an address of the legislature. It grants pardon, reprieves

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or remissions the punishments. It also appoints the commission of enquiry and organizes specially constituted courts in consultation with the judiciary.

7. **Diplomacy:** The executive maintains friendly relations with various countries. It appoints the diplomats to head its embassies in other countries. It receives the credentials of the ambassadors of foreign countries in the country. It participates in various international forums like the United Nations, GATT (General Agreement on Trade and Tariff), SAARC (South Asian Association of Re-Agreement on Trade and Tariff), SAARC (South Asian Association of Regional Cooperation), NAAM (Non-Aligned Association Meet) etc. It recognizes the foreign states or snaps relations with unfriendly states. It signs the treaties with foreign states in matters of commerce, trade, education, telecommunications, culture etc.
8. **General Administration:** The executive looks after the administration of the diversified programs and activities in the modern states. From womb to tomb, the executive pervades its influence in the life of the citizens. Its functions include the management of the matters relating to education, employment, economic upliftment, environment, emergency relief, health, social security, transport and communications, law and order, disaster mitigation, rehabilitation, price control, international relations etc. It also confers honors and titles on the persons who render laudable service in different fields of public life. In brief, executive is the life-breath of the whole governmental functioning.

10.3.3 Growth of the Significance of the Executive

In the modern times, the scope of powers and functions of the executive is gradually increasing. The ushering in of democratic governments by decaying monarchies and growing importance of new values in political life broadened the scope of the government. The government has to protect the interests of all the sections of the society. The people also often look at the executive for their benefits. As a result, the significance of the executive is gradually increasing. The following reasons have been contributing for this process.

1. **Idea of Welfare State:** It is found that the welfare activities are gradually increasing. Consequently industries, production, distribution, social security, labour welfare, education and health have come within the purview of the executive. The scope of the executive is expanding in discharging these functions efficiently.
2. **Industrialisation:** The expansion of industrialisation increased the role of the executive. The executive plays a key role in nationalising the primary and heavy industries and maintaining the nationalised industries, thus widening the scope of the executive.
3. **Delegated Legislation:** It is the prerogative of the legislature to enact laws. But the legislature passes laws in skeleton form only as it does not possess the required expertise and time to give them a complete shape. The duty of providing details of laws in the form of rules and regulation is cast upon the executive. This function of the executive is called Delegated or Secondary legislation. This is, in effect, quasi-legislation. Gradually, in this way the scope of the government is increasing. This has led to the widening of its responsibilities.

4. **Activities of the Political Parties:** As the political parties are functioning for the narrow interests of their parties at the cost of national interests, the executive has the responsibility to save national interests.
5. **Planning:** All the States now a days are embarking on planned development. It is the duty of the executive to draw and implement plans for development from the regional to the national levels. This has widened the scope of executive powers.

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10.3.4 Role of the Executive in Modern States

In modern states executive plays a significant and dominant role. It has vast powers and innumerable functions. Its powers and functions are expanding from day-to-day. Education, employment, health, environment, communications, science and technology, welfare, law and order etc., are some spheres in which the executive owes much responsibility. We cannot imagine the working and existence of government in the absence of executive. Several factors like industrial revolution, two World Wars, urbanisation, population growth, welfare state, inflation, poverty etc., are responsible for the increase in the functions of the executive.

Until the Second World War, the executive functions were limited to responsibilities only. But due to the changes in the social, economic and political conditions, executive was forced to undertake many socio-economic welfare programs. It formulates and implements policies for removing poverty, economic inequalities, concentration of economic power, social evils and unemployment. It has to eradicate poverty, ill health, ignorance and unemployment. It has to ensure proper supply of essential commodities, drinking water and electricity. It has to safeguard the independence, integrity and sovereignty of nation from internal revolts and external aggressions by maintaining well trained police and military personnel. It has to create harmonious conditions for promoting agriculture, industry, trade, business, commerce, communications and technology. It has to check inflation and scarcity of essential commodities. It has to prepare a sound budget for achieving the goals of economic planning and development. It has to nationalize vital means of production for achieving social justice and economic equality. It has to implement the programs of labor, women and child welfare. It is in this context that Earnest Barker described the executive as a multi-functioning organ.

10.4 JUDICIARY

The judiciary is the system of courts which interprets and applies the law in the name of the sovereign or state. The judiciary also provides a mechanism for the resolution of disputes. Under the doctrine of the separation of powers, the judiciary generally does not make law, but rather interprets law and applies it to the facts of each case. This branch of government is often tasked with ensuring equal justice under law. It usually consists of a court of final appeal (called the “supreme court” or “constitutional court”), together with lower courts. The judicial branch has the power to change laws.

Meaning

The term “**judiciary**” is also used to refer collectively to the personnel, such as judges, magistrates and other adjudicators, who form the core of a judiciary, as well as the staffs who keep the system running smoothly.

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The judiciary is the third important organ of the government. Legislature enacts the laws. The executive implements them. But it is the judiciary which decides the constitutional validity of these laws both in theory and practice. The judiciary keeps the democratic government within the constitutional limits. The judiciary also has to protect the law abiding citizens and punish the criminals. According to **Lord Bryce**, *“the welfare of the country and the efficiency of the government are based on providing justice to the people in an un-biased way”*.

History

After the French Revolution, lawmakers prohibited any interpretation of law by judges, and the legislature was the only body permitted to interpret the law; this prohibition was later overturned by the Code Napoleon.

In France, along with other countries that Napoleon had conquered, or where there was a reception of the Civil Code approach, judges once again assumed an important role, like their English counterparts. In civil law jurisdictions at present, judges interpret the law to about the same extent as in common law jurisdictions though it may be acknowledged in theory in a different manner than in the common law tradition which directly recognizes the limited power of judges to make law. For instance, in France, the jurisprudence constant of the Court of Cassation or the Council of State is equivalent in practice with case law.

In theory, in the French civil law tradition, a judge does not make new law; he or she merely interprets the intents of “the Legislator.” The role of interpretation is traditionally approached more conservatively in civil law jurisdictions than in common law jurisdictions. When the law fails to deal with a situation, doctrinal writers and not judges call for legislative reform, though these legal scholars sometimes influence judicial decision-making.

Importance of the Judiciary

In the monarchy, only one person is vested with the legislative, executive and judicial powers. Many times this led to tyranny. Gradually, the theory to separate these three powers and vest them in three different institutions came into practice. It is strongly believed that the separation of powers can protect the liberty and independence of the individuals. It has become a political convention to separate judiciary from the legislative and the executive. Thus the legislature and the executive cannot misuse their power as per their wishes.

The judiciary is based on certain basic principles. Every citizen must be law abiding. The justice must be based on laws. A person is punishable only when he violates or transgresses the law. All citizens are equal before law. The courts of law protect all equally. In the federal States, judiciary safeguards the constitution. Some of the important functions of the judiciary are interpreting the constitution, defining the scope of the departmental powers and to solve the disputes of law. The judiciary appoints its concerned officers. In some cases where there is ambiguity of laws the judiciary explains their meaning and spirit. Such explanations give scope to frame new laws. The lawyers while arguing in the cases before them cite the judgements of the courts as precedents. The judgements of courts become a part and parcel of law. The judiciary solves the disputes not only between the citizens but also between the government and the citizens and awards punishment to the guilty after due trial.

10.4.1 Structure of Judiciary

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The structure of the judiciary is not similar in all the countries. In England, the House of Lords is the highest court of justice. A legal committee of this house with nine members functions as the highest court of justice. In some countries, the legislature elects the judges. In Switzerland, the legislature elects the judges for a given tenure. In the former Union of Soviet Socialist Republics (U.S.S.R.) the people used to elect the judges of the Supreme Court. This method was in practice in some cantons of Switzerland and France. Napoleon abolished this method in France.

In the United States of America, the judges are appointed by the President. These appointments are to be ratified by the Senate. But, they can be removed only through impeachment by the legislature. There is no time tenure for the judges in the United States of America. They can be in their position throughout their life.

In India, the President appoints the judges. The constitution has specified the rules and regulations and qualifications for their appointment. The judges can continue till the end of the tenure. Only the Parliament can remove them through impeachment. The House of Lords in England is the highest court of justice for civil and criminal disputes. The Supreme Court is the highest court in India and United States of America.

Independence of the Judiciary: To ensure independence and impartiality of the Judiciary it should have no relation with the legislature and the executive. Those two must not intervene in the functions of judiciary. The independence of judiciary will be protected when the judges are appointed without any political bias. The judges must be efficient, talented, effective, creative and duly qualified. The conditions of job must be attractive to keep the judges independent. They must have sufficient protection both in the period of their service and after retirement. They must not join in any service after retirement. There must be a rule that the judges must not join in any government service after their retirement. Only then they will not succumb to any inducement.

There must be no criticism on the judgements. These are all the measures that can ensure the independent behaviour of the judiciary in discharging its functions.

10.4.2 Functions of Judiciary

A proper rule based on justice is the foundation for democracy. The judiciary has to discharge many functions besides dispensing justice. The basic functions can be detailed as:

1. **Dispensing Justice:** It has to solve the disputes between the citizens, the citizens and the government and different governments. It punishes the criminals after due trial.
2. **Protection of Civil rights:** The courts of law protect the fundamental rights given to the citizens by the constitution. The citizens can approach the court of law when their fundamental rights are violated. The courts issue writs for enforcement of these rights. The citizens can obtain stay orders from courts in advance when they apprehend violation of their rights. In order to protect the rights of the individuals, the courts of law can issue writs like Habeas Corpus, Mandamus, Prohibition etc.
3. **Constitutional Protection:** The Judiciary safeguards the constitution in the

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democratic countries. The Judiciary annuls the unconstitutional decisions of the legislature and the executive. By interpreting the constitution and laws it reviews the laws of the legislature and the actions of the executive and strikes down unconstitutional measures. This authority of the judiciary is called as 'Judicial Review'.

4. **Protection of equilibrium in Federal System:** Judiciary plays a key role in the federal system. The courts of law solve the disputes between the provinces and the central government and also between one province and another. It supervises to see that neither the central government nor the provinces cross constitutional limits. It solves the disputes between the central and provincial governments that arise due to matters relating to the division and distribution of powers.
5. **Advisory Functions:** The highest court of justice provides advice to the head of the State on request. For instance in India, the President takes the advice of the Supreme Court on certain problems of constitutional applications.
6. **Appellate Jurisdiction:** The highest court of justice has to provide justice on the appeals made against the judgements of the lower courts. At times, it ratifies the judgements given in the lower courts and some other times, such judgements are reversed.
7. **Protection of records:** The judiciary has to preserve all the cases along with their judgements. These records will help lawyers and judges in the trial of similar cases in future.
8. **Providing service regulations:** The courts of justice prescribe service regulations of employees working in courts of law.
9. **Functioning as the Head of State:** In some countries and under certain conditions, as identified in India, the Chief Justice of the Supreme Court can function as acting Head of the State when there is no Vice-President in office.
10. **Safeguards of Judiciary:** The Judiciary must not depend upon the legislature and the executive if it is to discharge its functions without fear and favour. The judiciary has to protect its independence from legislative and executive pressures. The conditions mentioned below contribute towards that end.
 1. Laws must conform with moral and customary principles which are traditionally practised.
 2. The principles of law must be stable.
 3. One type of punishment must be awarded for crimes of the same type.
 4. A criminal must undergo punishment only once.
 5. The courts of law must be free from political influence.
 6. All are to be treated equal before law.
 7. Any criminal must have the opportunity to appeal to the higher courts of law.

10.4.3 Judicial Review

Judicial Review means reviewing the laws made by the legislatures. The laws of the legislatures (parliament, assemblies, Councils, Parishades etc.) must not be

unconstitutional. The courts of law can nullify all laws which are unconstitutional. This is the Judicial Review. The Judicial Review is not limited only to laws. It is applicable to all the activities of the executive at different levels of central, State and local government institutions. Every State will have a constitution. It is its basic law and all the laws must be within the limits of the constitution. The constitution provides the courts of law with the right to see that all laws and activities conform to the constitution. Judicial Review is not found in all the countries.

The Judicial Review first originated in United States of America in the context of the judgement given by the Supreme Court in the Marbury-Madison dispute in the beginning of the nineteenth century. The courts of law follow different theories, principles and views in reviewing the constitutional viability of the laws. The Judicial Review is based on the following theories which can be studied in detail in higher classes.

1. Theory of the efficiency of law
2. Theory of separation of powers.
3. Theory of constitutional dynamism.
4. Theory of activity.
5. Theory of decision by experience.
6. Theory of constitutional development.

Of late, there is a question regarding applicability of the Judicial Review to constitutional amendments. All the constitutional amendments, which are made by the legislature can be reviewed by the courts of law unless the constitutional amendment itself specifically States to the contrary. It is the parliament which can decide the scope of judicial review. But in recent times there is a controversy over the powers of parliament in this regard i.e. whether the parliament can exempt the constitutional amendments from Judicial Review.

10.4.4 Rule of Law

Rule of Law is one of the important features of the democratic States. Rule of Law indicates that the law is supreme. The government is commanded not by the individuals but only by the law. The individual must be subservient to law. All the activities of the government must have the recognition of law.

As per the Rule of Law, any individual is punishable only in case of violation of law. It must be proved in the court of law that a person 'violated a law. Then only, he can be punished.

All are equal before law. The law provides protection equally to all. There is no discrimination on the basis of status like rich, poor, officers, citizens etc., in providing protection. The laws are equally applicable to all. There cannot be liberty or independence in a society without the supremacy of law. A society devoid of liberty and independence cannot be democratic.

But there are certain factors which hinder the proper implementation of the Rule of Law. They are: 1) The increasing measures of the Welfare State are contributing for enhancement of the power of the bureaucrats. The common citizens do not have it. 2) With the increased delegated legislation, many discriminatory powers are acquired by

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the officers. The delegated legislation though meant for easy implementation of laws, is often misused. As a result, the ordinary citizens are losing opportunities to have their rights protected in the courts of law. 3) Administrative adjudication limits the scope of the courts of law. Administrative tribunals are given authority to deliver judgements. These tribunals do not follow the modalities of the courts of law. Hence, the rule of law becomes limited in practice. 4) one cannot see in practice, the application of the theory that all are equal before law. The poor cannot have socio-economic capacity to approach the court of law to get the protection of their rights. Only the rich can have easy access to the courts of law. More over, it is very much costly to get the services of the advocates. 5) Liberty cannot be provided only through decisions of the courts of law. The constitutional law provides fundamental rights to the people. For instance the British parliament provided basic rights through the acts like Magna Carta, Bill of Rights and Petition Rights, there by promoting liberty and freedom of the citizens. 6) The Rule of Law alone cannot give liberty to the people. The people themselves must have the desire, interest, perseverance and persistent effort to achieve it. It is often not possible for others to fight for the rights of the poor.

10.4.5 Role of Judiciary in Democracy

Judiciary plays a significant role in democracy. The success of democracy depends on the efficiency of the judiciary. Judiciary maintains balance in the relations between the government and the people. It protects the people's rights and freedom against the despotism of the government. It invalidates the acts and policies of the legislature and the executive when they are found unconstitutional. It upholds the rights of individuals against the arbitrary exercise of powers. It can call for any document or summon any officer or party in the process of hearing a case.

Judiciary is described as the third and last organ of the government. Lord Bryce opined that the welfare of the nation and the supremacy of the government largely depends on the provision of proper justice to the people. Judiciary can perform its functions properly when it is armed with the powers of independence and supremacy in its functioning. From Plato to Pandit Nehru, many scholars opposed concentration of executive and judicial powers in a single person or a body of persons. The ethical progress of a nation largely depends on the efficient administration of justice. Further, it is the moral backbone of a living nation. There have been occasional onslaughts on the judiciary by the other organs. It is highly unfortunate that there are several allegations against the sitting judges in respect of both private and public life. In fact, the moral and material prosperity of the people by and large depends on the proper and efficient organisation of judiciary free from the pressures and pulls from their legislative and executive branches. John Locke's warning holds good in this connection when he said: "Where law ends, tyranny begins." To conclude, in the words of Lord Bryce: "There is no better test of excellence of a government than the efficiency of its judicial system if the lamp of justice goes out in darkness, how great is the darkness?"

10.4.6 Independence of Judiciary

Independent judiciary is a prerequisite for the successful working of democracy. Provision of mere powers in the constitution is not enough for the efficient functioning of judiciary. Judges deliver judgments freely, impartially and fairly only when they are given

independence in their functioning. Independence of judiciary implies the provision of conditions favourable for the efficient functioning of the judges.

Organs of Government

Independence of judges may be secured by the following conditions:

1. Mode of appointment
2. Qualifications
3. Tenure of judges
4. Adequate salaries
5. Security of service
6. Removal of judges
7. Separation of judiciary.

Let us discuss these conditions.

I. Mode of appointment: Independence of judiciary in the first instance is secured by the method of appointing judges having highest expertise apart from personal integrity and ability. Three methods are followed in regard to the appointment of judges. They are:

- (a) Election by the people
- (b) Appointment by the executive, and
- (c) Election by the legislature.

The first method, that is, election by the people, is prevalent in some cantons of Switzerland and some states of America. But under this method, the judges may become puppets in the hands of the political leaders and people. They find it difficult to deliver justice in an impartial manner. The second method, that is, appointment by the executive, is prevalent in some countries like England and India. Judges nominated or appointed by the executive are not carried away by popular passions and political pressures. The third method that is, election of judges by the legislature, is prevalent in Switzerland. But this method violates the principle of separation of powers. It may lead to the election of party candidates as the judges. Moreover, incompetent and inefficient persons may become judges. Of the above three methods, the second method, that is, appointment of judges by the executive is relatively better.

2. Qualifications: Only those persons who possess proficiency in law, academics and personal integrity and non-sectarian outlook have to be appointed as judges. Then only people are confident about the proper functioning of the judiciary.

3. Tenure of Judges: The tenure of the judges shall neither be too long nor too short. A long tenure may tend the judges develop strong attachment with the places and persons and might have made them corrupt. As against this a short tenure creates uncertainty, partiality and lack of duty-sense. So the judges must have a reasonable tenure devoid of fear and insecurity.

4. Adequate Salaries: Reasonable and adequate salaries and allowances must be paid to the judges so that they will not be tempted to unethical pursuits to meet their ends. Payment of decent emoluments promotes courage, confidence, self-contentment and firmness among the judges. The salaries cannot be changed to their detriment

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during their tenure.

5. Security of Service: Independence of judiciary is also secured by creating favorable service conditions. Judges shall not be subjected to frequent transfers and harassment by the executive. Adequate pension shall be paid to them after the retirement. Social security measures shall be implemented for their welfare. Secretarial assistance shall be provided. It must be ensured that no pressure political or social shall be built against the judges for seeking favorable judgments. It must also be ensured that the judges enjoy higher status in public life and they deserve fairly higher remuneration to maintain reasonable standard of life.

6. Removal of Judges. Independence of judiciary is secured when judges are not removed on flimsy grounds. Judges should be allowed to discharge their obligations without the fear of removal. However, they shall be removed in exceptional conditions by the executive on the grounds of proved misbehavior or incapacity and on an address of the legislature.

7. Separation from Executive. Independence of judiciary is possible only when the functions of judiciary are separated from the executive and the legislature. Provision of judicial powers to legislature and executive will negate individual liberty and sow the seeds of dictatorship. That is why many states including India have separated judiciary from executive.

10.5 SUMMARY

The political power is divided among legislature, executive and judiciary. The legislature formulates and expresses the will of the state, executive enforces the laws and sees that infringement of the law takes place and judiciary determines whatever the laws are applicable in a particular case or not. Among these three organs of the government, legislature has superior place. Since it acts, laws and reflects the public opinion, the executive and judiciary become dependent on it.

10.6 KEYWORDS

- **Legislature:** Legislature is the first organ of the government. These members are elected by the people directly or indirectly for the tenure as mentioned in the constitution.
- **Executive:** It is the second organ of the government. It implements the programmes and policies which are enacted by the legislature.
- **Judiciary:** It is the third organ of the government which interprets laws and punishes the guilty for violating the law.
- **Judicial Review:** Judicial Review is the most significant power of the Supreme Court. It is the guardian of the constitution. Judicial review is a term to describe the power of the courts to declare acts of legislature or executive of no effect and consequently invalid if they are found in conflict with the constitution.
- **Rule of Law:** Rule of Law is one of the important features of the democratic States. Rule of Law indicates that the law is supreme. The government is commanded not by the individuals but only by the law. The individual must be

subservient to law. All the activities of the government must have the recognition of law.

Organs of Government

10.7 QUESTIONS FOR DISCUSSION

Essay Type Questions

- 1) Explain the structure of bicameralism and the functions of the legislature.
- 2) What is executive? What are its functions?
- 3) Discuss judiciary and its functions.

Short Type Questions

- 1) What are the reasons for the decline of the significance of legislature?
- 2) Discuss the reasons for the growth of importance of the executive.
- 3) Discuss judicial review.
- 4) Write about the rule of law.
- 5) How many organs of government are there? What are they?
- 6) What is meant by plural executive?
- 7) What is independence of the judiciary?

10.8 SUGGESTED READINGS

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2. Aggarwal, R.C. – Principles of Political Science
3. Johari, J.C. – Comparative Politics
4. Joshi, V.P.- Unified Course in Political Science
5. Kapoor, A.C. – Principles of Political Science
6. Panth, S.C. – Modern Governments: Theory and Practice.
7. Sharan, P. – Political theory and Institution
8. Sharan, P. – Comparative Studies of Modern Governments .

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BASIC CONCEPTS AND PERSPECTIVES

I - BA(Sociology) / I - Semester

As per Choice Based Credit System (CBCS)



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Definition of Sociology – Nature and Scope of Sociology –Origins and development of Sociology – Founding fathers and their contributions: Auguste Comte, Herbert Spencer, Karl Marx, Emile Durkheim and Max Weber –Sociology and other social sciences – Sociology in India – Importance of Sociology.

2. Human Society and Culture

Human society, Definition, characteristics and functions – Individual and society- Culture and Personality- Heredity and Environment.

3. Structure of Human Society

Social groups and its major types – Community – Association – Institution – Status and Role – Norms, Values and Customs – Power and Authority- Concepts of State, Nation and Society and their differences.

4. Basic Social Institutions

Marriage, Family and Kinship, Religion, Economy, Education, Polity and Law

5. Socialization and Social Control

Concept of Socialization – Theories of development of ‘Self’ of G.H. Mead, C.H. Cooley and Sigmund Freud – Agencies of Socialization: Family, School, Religion, Peer group, Community and Government- Social Control: Concepts of Anomie, Deviance and Social Control – Means of Social Control: Formal and Informal means.

6. Social Stratification

Social Differentiation – Social Stratification: Theories of social stratification; Functional and Conflict theories – Dimensions of Social Stratification; Class, Caste, Power and Gender.

7. Social Interaction and Processes

Social Interaction – Social Processes: Cooperation, Competition, Conflict, Accommodation and Assimilation – Social Disorganization

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Unit 1

INTRODUCTION TO SOCIOLOGY

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 - 1.5.3.2 Elementary forms of Religious life
 - 1.5.4 Karal Marx: Theory of class and Dialectic materialism
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1.0 AIMS AND OBJECTIVES

At the end of this unit you will be able to understand:

- Definition of Sociology.
- Origin and development of Sociology.
- Sociology in relation to other sciences.
- Importance of Sociology

1.1 INTRODUCTION

Sociology is the study of society. It is a social science a term with which it is sometimes synonymous which uses various methods of empirical investigation and critical analysis to develop and refine a body of knowledge about human social activity. For many sociologists, the goal is to apply findings directly to the pursuit of social welfare, while others seek purely academic or intellectual knowledge. Subject matter ranges from the micro level of the individual agency and interaction to the macro level of systems and groups social structures.

Sociology is both topically and methodologically a very broad discipline. Its traditional focuses have included social stratification, social class, social mobility, religion, secularisation, law, deviance, medical sociology and sociological social psychology. As all spheres of human activity are sculpted by social structure and individual agency, sociology has gradually expanded its focus to further subjects, such as health, military and penal institutions, the Internet, and even the role of social activity in the development of scientific knowledge.

The range of social scientific methods has also broadly expanded. Social researchers draw upon a variety of qualitative and quantitative techniques. The linguistic and cultural turns of the mid-twentieth century led to increasingly interpretative, hermeneutic, and philosophic approaches to the analysis of society. Conversely, recent decades have seen the rise of new analytically, mathematically and computationally rigorous techniques, such as agent-based modeling and social network analysis. Sociology should not be confused with various general social studies courses which bear no relation to classical social theory and social science research methodology.

1.1.1 Development of Sociology

France the birth place of Sociology 19th century is very important from the point of view of the birth, growth and development of various branches of social sciences and social thought. The credit for all this goes to concept of the man as a social being or the day, it was accepted that, "Man is a social animal", several philosophers and social thinkers started thinking in that direction and as a result of this new branches of knowledge saw their birth and development. Auguste Comte laid the foundation of sociology and he was the first to use the term "Sociology" for his research and study. While defining Sociology, Auguste Comte has said that, "Sociology combines other social sciences in one thread and also determines their mutual relationship."

Ladder of Social Sciences: Auguste Comte constructed his ladder of the social sciences and placed Sociology at the top. In regard to Sociology he has made the following observations;

1. Sociology is the comprehensive science.
2. Its co-ordination of various social sciences.
3. Sociology should be used for social reconstruction.

Comte The father of study of the society in a scientific manner:

It was Auguste Comte who for the first time attempted at scientific study of the society. The result of this study was sociology, that is why is called father of Sociology. Comte urged

that science could be effectively studied without competent knowledge of all the sciences but to study each of them in order. This is Comte's dictum to the students of sociology.

Classification of Sociology according to Comte-Comte has classified Sociology under the following two heads:

1. Social statics.
2. Social dynamics.

1. Social Statics: This branch of sociology includes all those things for its study that are responsible for the stability and organisation in the society.

2. Social Dynamics: Society is not only static but also dynamic. It moves forward. All those factors that are responsible for the progress, development and marching ahead of society are included for study and the branch of the sociology is called "Social Dynamics".

In other words Social Dynamics define all those factors and causes that are responsible for social change and social dis-organisation.

Sociology as a Science of Social Reconstruction

One of the causes for Sociology being given the highest place in the series of the Social Sciences by Auguste-Comte was that it was a science that could be used for social reconstruction. It could be used for social reconstruction and that is why Comte gave it the importance that he has put down in his works.

Development of Sociology in Europe and America

After its birth in France, Sociology saw its development in Europe as well as in America. In the 19th century, European countries like England and Germany were the centers of knowledge and study. On the other hand in those days America was coming to its own. It had won its freedom from British Empire. Thoughts of the French Revolution had influenced American people very much and they were very much anxious to bring about development of their country. As a result of all this Sociology developed in European as well as in American countries, it would be worthwhile to study the development of sociology in different countries of Europe and America.

Stages of the Development of Sociology

History or the development of Sociology can be, for the convenience for the study, divided into various stages. Generally these stages are classified into the following categories:

1. First stage of development of Sociology: This may be called the old or the ancient stage. Even in the olden days thinkers and Sociologists made study of the social relations. There are very valuable books wherein the study of the social relationship has been made. In India thinkers like Manu, Vrahaspati, Brikhu and others have made a study of the social relationship and it is contained in their works. Ancient Indian works give an idea of classification of the society. Various social institutions such as joint family, village panchayat and social customs and traditions like Sanskar, Karma etc. All this knowledge is a part of Indian Social Order, Indian religion and Indian Philosophy. Manu Smriti, Arth Shastra and works of Vrahaspati, Yajnavalka etc., are important contributions to the development of sociology. Indian works that describe the word sanskar and social organs show that in this country there was a high order of consciousness about social institutions. These works show that the knowledge about the society had reached a high stage.

Contribution of Plato to the Development of Sociology

The famous work of Plato 427-347 B.C., called the Republic has recognized as an important work of sociology. Many of the conclusions of republic in regard to the social institutions are very modern in concept. It is a known fact that various social factors and forces, influence condition and determine the social life of a man. In this respect Plato has propounded a theory which could be called very modern and his contribution to the development of sociology is quite valuable.

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Aristotle and his contribution of the field of Sociology: “Ethics” and Politics are important works of Aristotle that represent a landmark in the development of sociology. Aristotle has said that man is basically social animal and he wants to live with other persons. He has said that religion and philosophy are important aspects of the social thought and in this respect he was very near to Indian thinkers and philosophy.

Other thinkers and their contribution to the development of Sociology: Plato and Aristotle led the path of the development of sociology. After them, many social thinkers have discussed the social institutions like customs and traditions, family life, individual and his relationship with society, crime, punishment etc. Important amongst the thinkers of this field were Lucretious (96-55 BC) Cicero (104-43 BC) Marcus and Arcunus (120-180 AD) St. Augustine (54-430 BC) etc., were the important thinkers who have in their works discussed various aspects of religion, politics, philosophy etc. This process of development continued towards the end of 12th century and the beginning of the first half of the 13th century. Up to this time no definite scientific method had developed in regard to sociology. It was after this period that development of scientific lines started taking place.

2. Second stage of development of Sociology: This stage as we have already seen began towards the end of the half of the 13th century. Up to this period, the thoughts about social institutions and other sociological aspects were intermingled with philosophy, religion, theology, politics etc., but in the latter half of the 13th century, of new era of the scientific exposition of the sociological theories started. Now religion and reason and logic were considered as the basis of the analysis of the social phenomena. Attempt was made to study the social phenomena on the principle of the cause and effect relationship. Contribution of Thomas Aquinas and Dante is very valuable in this field. These two thinkers tried to study the change forces or the change of the social phenomena on the basis of cause and effect relationship. It gave the scientific methodology of sociology, hazy beginning.

In the 15th century the scientific method of sociology saw its categorical beginning. Now the field of sociology and natural science had become separate from one another. In the 17th century James Harrington tried to present a economic interpretation of the history. Thinkers like St. Augustine. Thomas Hobbes, John Locke, Montesquieu etc., discussed the various aspects of the society in an original manner. Works of these social thinkers encouraged and helped the developed sociological principles to a very great extent. In spite of it, it cannot be said that the works of these thinkers were satisfactory from the sociological point of view. Most of these thinkers instead of discussing the society “as it is, tried to present the picture of the society” as it should be. In other words, the discussion was more normative. The credit for laying the foundation of the scientific analysis of social phenomena, goes to famous French social thinker Auguste Comte. It is with his works that sociology developed as an independent science or a social science.

3. Third stage of the development of Sociology: The uncertain development of the sociology continued more or less up to the 19th century. In 19th century a definite trend towards scientific analysis of the social phenomena took its proper shape Most of the thinkers of the 19th century, concentrated their attention on economic problem and economic institutions. Although a scientific method about the study of the social phenomena had developed, yet no clear cut distinction was made between social phenomena and economized phenomena. James Stuart Mill was trying to develop a science which would work as a mirror of the society and discuss all the social and economic aspects. But the credit for giving sociology an independent name and also for giving a definite shape goes to Auguste Comte. He was of the view that social phenomena should be studied separately, under a separate branch of study and to it he gave the name of “sociology”. He for the first time used the term sociology for that branch of their knowledge that studied social phenomena and social problems in an independent manner that is why he is called father of sociology.

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John Stuart Herbert Spenser developed this branch of knowledge in England. After them, Charles Breath, Hobhouse, Hobson, Westermarck, Ginsbarg etc., propounded their theories about social phenomena. Like England, sociology saw its development in other countries of the world as well. In France Emile Durkheim, Montaine, Trade etc., tried to give it a new shape and form. In Jerman, Toimies Bonweise, Hegel, Marx, Simmel etc., tried so develop the subject matter of sociology on scientific lines. America is another country which made very rich contribution to the development of sociology. Giddings, Sumner, Ward, Ross, Park and Burgess, Sorokin, Maclver, Ogburn, Nimkoff, Lundberg, Parsons etc., are the important names who have contributed a lot to she development of sociology on scientific lines.

Study of sociology as a subject with the development of sociology, as a branch of knowl- edge and as a subject of study, it also found a place on the syllabus of the institution of higher learning. It was for the first time that sociology was given a place in the Yale University of America in the year 1875 in the curriculum of that University. After that in the year 1889, it found place as a subject of study in the Universities of France, then in 1920 it was recognized as a subject of study in Poland, in 1924 in Egypt, in 1947 in Sweden, in 1947 in Ceylon and 1954 in Rangoon University of Burma In Australia and Malaysia, sociology has studied along with other subjects as was done in India till two decades back.

Development of sociology in the 20th Century: In the 20th century, sociology saw the development in a very specific and particular direction. Now, social institutions and social process came to be studied under the subject matter of sociology. Thinkers like A. Small, C.J. Galpin, and others made very valuable contribution in this direction. Cooley was the first to propound the theory of primary and secondary groups.

Park and Burgess made a study of the demographic and formal institutions of the organ arise. Similarly G. Tarde and P. A. Ross made a study of the imitative aspect of social life. Thomas-Nancy made study of the tendencies and values in the field of sociology. In short they set a new place of the study which gave more scientific shape to sociology.

Contribution of George Simmel to the Field of Sociology: George Simmel is one of those persons, who tried to get sociology an independent place as a science. He and his followers are the chief exponents of “formal sociology”.

Max Weber and his Contribution to the Field of Sociology

Max Weber was of the view that methodology of social sciences cannot be applied to natural sciences. It is not possible to study the social phenomena unless the social events are classi- fied under certain categories on the basis of certain principles of classification. He did not agree with the view that there was a specialized field of sociology. On the other hand, he said individual and society, and the social interactions 4th general are the subject matter of the study of sociology The-theory of social-actions propounded by Max Weber has been suppor- ted and further analysis by Parsons, Murdock etc.

Tonbee and the Development of Sociology

Professor A J. Tonbee tried to analyse the civilization and culture in the geographical and biological background. He put forward the theory of preparing a man to face the challenges posed by geographical, biological and social circumstances. According to Tonbee, these changes are helpful in maintaining one against the adverse circumstances. Civilization and culture are results of these challenges. According to present sociologists, Pitrim Sorokin’s theories of social and culture dynamics has made a very valuable contribution to the develop- ment of sociology.

Development of Sociology in India

We have already seen socio-logy is to be found in the earliest works of his country. In fact, even the earliest Indian thinkers have started analyzing the social phenomena and that is why the studies of sociology are to be found even in the earliest works of this country. The present day sociology or the sociology as we see today developed after the 19th century and studies

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of that sociology in India started very late. For the first time it was given a place as a subject of study but that too as subsidiary or subject of secondary importance in the Bombay University. In 1923 Andhra University gave sociology a place in its curriculum. After Independence, sociology gained its due place, as an independent subject in the curriculum in the University of Bombay, Lucknow, Agra, Gujarat, Karnataka, Mysore, Nagpur, Osmania. Patna, Delhi, Gorakhpur and Kanpur etc. Now it is taught as an independent subject almost in all the universities of the country. Recently it has also been recognized as a subject for different competitive examinations.

We have already seen that sociology in its present form found place in India quite late. The credit for it goes to the growing trend of the western education in this country. Formal sociological studies were confined to the caste system, the family system or the joint family, panchayati system etc. Various Indian as well as foreign social thinkers made very valuable contribution in this field. Important names that needed to be mentioned in this context, are those Dr. Radha Kamal Mukherji, Dr. D. P. Mukharji, Dr. B. S. Hakerwal, Dr. R. N. Saxena Dr. D. N. Majumdar, Professor A. K. Saran, Huttan, Blunt, N. K. Dutta, Kapapia, Srinivas, P. N. Prabhu, A. R. Desai etc.

Sociology is a growing science in this country also. It is growing as it is growing in other countries. Contemporary sociological trends: Sociology is a growing science. It is marching ahead every day as an independent branch of knowledge or science. Spencer, Marks, Durkheim, Weber, Simmel, Tonnies had established it as a general science. The synthetic method propounded by them has given referential system of sociology. But present day sociology has now become quite different from its original form. The difference between the former trends of sociology and the modern trends may be studied under the following heads:

- (1) **Greater importance to methods of research:** In the ancient or original form of sociology, research methodology did not occupy a important place as it has been today. The modern sociology gives greater importance to research method because it is trying to grow.
- (2) **Study of Micro and Macro sociological problems:** The present day sociology is not confined to study of general sociological problems, ft studies Micro as well as Macro sociological problems. It means that all sorts of sociological problems form the subject matter of the study of the sociology.
- (3) **Method of study:** Present day sociology follows principles of revision, classification, verification, etc., that was used by sociologists of the olden days. From this point of view there is not much difference between sociology of the past and the present.
- (4) **Collective research:** Sociological research today has assumed a collective form, original collective research was not given such an important place as is being givers today.
- (5) **Analytical methods of generalized concepts:** The modern sociology gives important place to analytical principles and formulae. It also gives place to generalization of the concepts. As a result of these new trends of this community, the sociology have grown in this field. All these trends show that sociology is giving to the collective principles.

1.2 DEFINITION NATURE AND SCOPE OF SOCIOLOGY

1.2.1 Definition

‘Sociology’ which had once been treated as social philosophy, or the philosophy of the history, emerged as an independent social science in 19th century. Auguste Comte, a Frenchman, is traditionally considered to be the father of sociology. Comte is accredited with the coining of the term sociology (in 1839). “Sociology” is composed of two words: socius, meaning companion or associate; and ‘logos’, meaning science or study. The etymological meaning of “sociology” is thus the science of society. John Stuart Mill, another social thinker and philosopher of the 19th century, the word ethology for this new science. Herbert Spencer developed his systematic study of society and adopted the word “sociology” in his works. With the

contributions of Spencer and others it (sociology) became the permanent name of the new science.

The question ‘what is sociology’ is indeed, a question pertaining to the definition of sociology. No student can rightfully be expected to enter on a field of study which is totally undefined or unbounded. At the same time, it is not an easy task to set some fixed limits to a field of study. It is true in the case of sociology. Hence it is difficult to give a brief and a comprehensive definition of sociology.

Sociology has been defined in a number of ways by different sociologists. No single definition has yet been accepted as completely satisfactory. In fact, there are lot of definitions of sociology as there are sociologists. For our purpose of study a few definitions may be cited here.

1. Auguste Comte, the founding father of sociology, defines sociology as the science of social phenomena “subject to natural and invariable laws, the discovery of which is the object of investigation”.
2. Kingsley Davis says that “Sociology is a general science of society”.
3. Harry M. Johnson opines that “sociology is the science that deals with social groups”.
4. Emile Durkheim: “Science of social institutions”.
5. Park regards sociology as “the science of collective behavior”.
6. Small defines sociology as “the science of social relationships”.
7. Marshall Jones defines sociology as “the study of man-in-relationship-to-men”.
8. Ogburn and Nimkoff : “Sociology is the scientific study of social life”.
9. Franklin Henry Giddings defines sociology as “the science of social phenomena”.
10. Henry Fairchild: “Sociology is the study of man and his human environment in their relations to each other”.
11. Max Weber defines sociology as “the science which attempts the interpretative understanding of social action in order thereby to arrive at a casual explanation of its course and effects”.
12. Alex Inkeles says, “Sociology is the study of systems of social action and of their inter-relations”.
13. Kimball Young and Raymond W. Mack say, “Sociology is the scientific study of social aspect of human life”.
14. Morris Ginsberg: of the various definitions of sociology the one given by Morris Ginsberg seems to be more satisfactory and comprehensive. He defines sociology in the following way: “In the broadest sense, sociology is the study of human interactions and inter-relations, their conditions and consequences”.

A careful examination of various definitions cited above, makes it evident that sociologists differ in their opinion about definition of sociology. Their divergent views about the definition of sociology only reveal their distinct approaches to its study. However, the common idea underlying all the definitions mentioned above is that sociology is concerned with man, his social relations and his society.

1.2.2 Nature of Sociology

Sociology, as a branch of knowledge, has its own unique characteristics. It is different from other sciences in certain respects. An analysis of its internal logical characteristics helps one to understand what kind of science it is. The following are the main characteristics of Sociology as enlisted by Robert Bierstedt in his book “The Social Order”.

Sociology is an Independent Science

Sociology has now emerged into an independent science. It is not treated and studied as a branch of any other science like philosophy or political philosophy or history. As in independent science it has its own field of study, boundary and method.

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Sociology is a Social Science and not a Physical Science

Sociology belongs to the family of social sciences and not to the family of physical sciences. As a social science it concentrates its attention on man, his social behaviour, social activities and social life. As a member of the family of social sciences it is intimately related to other social sciences like history, political science, economics, psychology, anthropology etc. The fact that Sociology deals with the Social universe distinguishes it from astronomy, physics, chemistry, geology, mathematics and other physical sciences.

Sociology is a Categorical and not a Normative Discipline

Sociology “confines itself to statements about, what is not, what should be or ought to be”. “As a science, Sociology is necessarily silent about questions of value. It does not make any kind of value-judgments. Its approach is neither moral nor immoral but amoral. It is ethically neutral. It cannot decide the directions in which Sociology ought to go. It makes no recommendations on matters of social policy or legislation or program. But it does not mean that sociological knowledge is useless and serves no purpose. It only means that Sociology as a discipline cannot deal with problems of good evil, right and wrong, and moral or immoral.

Sociology is a Pure Science and not an Applied Science

A distinction is often made between pure sciences and applied sciences. The main aim of pure sciences is the acquisition of knowledge and it is not bothered whether the acquired knowledge is useful or can be put to use. On the other hand, the aim of applied science is to apply the acquired knowledge into life and to put it to use. Each pure science may have its own applied field. For example, physics is a pure science and engineering is its applied field. Similarly the pure sciences such as economics, political science, history, etc., have their applied fields like business, politics, and journalism respectively. Sociology as a pure science has its applied field such as administration, diplomacy, social work etc. Each pure science may have more than one application.

Sociology is a pure science, because the immediate aim of Sociology is the acquisition of knowledge about human society, not the utilization of that knowledge. Sociologists never determine questions of public policy and do not recommend legislators what laws should be passed or repealed. But the knowledge acquired by a sociologist is of great help to the administrator, the legislator, the diplomat, the teacher, the foreman, the supervisor, the social worker and the citizen. But sociologists themselves do not apply the knowledge to life and use, as a matter of their duty and profession.

Sociology is relatively an Abstract Science and not a Concrete Science

This does not mean that Sociology is an art and not a science. Nor does it mean, it is unnecessarily complicated and unduly difficult. It only means that Sociology is not interested in concrete manifestations of human events. It is more concerned with the form of human events and their patterns. For example, Sociology is not concerned with particular wars and revolutions but with war and revolution in general, as social phenomena, as types of social conflict. Similarly, Sociology does not confine itself to the study of this society or that particular society or social organization, or marriage, or religion, or group and so on. It is in this simple sense that Sociology is an abstract not a concrete science.

Sociology is a Generalising and not a Particularising or Individualising Science. Sociology tries to find out the general laws or principles about human interaction and association, about the nature, form, content and structure of human groups and societies. It does not study each and every event that takes place in society. It is not possible also. It tries to make generalisation on the basis of the study of some selected events. For example, a sociologist makes generalisation about the nature of secondary groups. He may conclude that secondary groups are comparatively bigger in size, less stable, not necessarily spatially limited, more specialised, and so on. This, he does, not by examining all the secondary groups but by observing and studying a few. Sociology is a General Science and not a Special Social Science.

There are two broad ways of approach to scientific knowledge. One, known as empiricism, is the approach that emphasizes experience and the facts that result from observation and experimentation. The other, known as rationalism, stresses reason and the theories that result from logical inference.

The empiricist collects facts, the rationalist co-ordinates and arranges them. Theories and facts are required in the construction of knowledge. In sociological inquiry both are significant. A theory unsubstantiated by hard, solid facts is nothing more than an opinion. Facts, by themselves, in their isolated character, are meaningless and useless. As Immanuel Kant said, “theories without facts are empty and facts without theories are blind”. All modern sciences, therefore avail themselves of both empirical and rational resources. Sociology is not an exception.

It is clear from the above that Sociology is an independent, a social, a categorical, a pure, an abstract, a generalizing, both a rational and an empirical and a general social science.

1.2.3 Scope of Sociology

Every science has its own areas of study or fields of inquiry. It becomes difficult for any one to study a science systematically unless its boundaries are demarcated and scope determined precisely. Unfortunately, there is no consensus on the part of sociologist with regard to the scope of Sociology. V.F. Calberton writes. “Since Sociology is so elastic a science, it is difficult to determine just where its boundaries begin and end, where Sociology becomes social psychology and where social psychology becomes Sociology, or where economic theory becomes sociological doctrine or biological theory becomes sociological theory something, which is impossible to decide”. However, there are two main schools of thought regarding the scope of Sociology: (1) The specialistic or formalistic school and (2) the synthetic school.

1. The Specialistic or Formalistic School

This school of thought is led by the German sociologist George Simmel. The other main advocates of this school are Vierkandt, Max Weber, Small, Von Wiese and Tonnies.

Simmel and others are of the opinion that Sociology is a pure and an independent science. As a pure science it has a limited scope. Sociology should confine itself to the study of certain aspects of human relationship only. Further, it should study only the ‘forms’ of social relationships but not their contents. Social relationship such as competition, sub-ordination, division of labour etc., are expressed in different fields of social life such as economic, political, religious, moral, artistic etc. Sociology should disentangle the forms of social relationships and study them in abstraction. Sociology as a specific social science describes, classifies and analyses the forms of social relationships.

Vierkandt says that Sociology concerns itself with the ultimate form of mental or psychic relationship which links men to one another in society. He maintains that in dealing with culture, Sociology should not concern itself with the actual contents of cultural evolution but it should confine itself to only the discovery of the fundamental forces of change and persistence. It should confine itself from making a historical study of concrete societies.

Max Weber opines that the aim of Sociology is to interpret or understand social behavior. But social behavior does not cover the whole field of human relations. He further says that Sociology should make an analysis and classification of types of social relationships.

Small insisted that Sociology has only a limited field. Von Wiese and Tonnies expressed more or less the same opinion.

Von Wiese’s view

According to Von Wiese, the scope of Sociology is the study of forms of social relationships. He has divided these social relationships into many kinds.

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Tonnies's view

Tonnies also has supported the formalistic school. He has differentiated between society and community on the basis of relationships.

He interpreted social processes quantitatively and gave a mathematical formula. According to him:

$$P = A \times S \quad P = \text{Social Processes} \quad A = \text{Attitude} \quad S = \text{Situation}$$

Attitude is made up of

$$A = N \times E \quad (N = \text{Basic social nature}) \quad (E = \text{Previous experience})$$

$$S = B \times A \quad (B = \text{Geographical conditions}) \quad (A = \text{attitude of the participants})$$

Thus, according to the formalistic school, Sociology studies one specific aspect of social relationships, i.e., their forms in their abstract nature, and not in any concrete situation. A comparison is drawn between the forms of social relationships and a bottle. A bottle may be either of plastic or any other material.

It may contain milk, water etc., but the contents of the bottle do not change the form of bottle. Similarly, the forms of social relationships do not change with the change with the change in the content of social relationships, for example, the study of competition a form of social relationship will not make any difference whether we study it in the political field or economic field. Sociology has been compared with Geometry. Just as Geometry studies about the forms of physical things triangular, rectangular, square or circular etc., similarly. Sociology studies about the forms of social relationships. The relation of Sociology to other social sciences is similar to the relation of Geometry with other natural sciences. The formalistic school has limited the scope of Sociology to the abstract study of the forms of social relationships.

Criticism

The views of the Formalistic School are widely criticized. Some critical remarks may be cited here:

Firstly, the formalistic school has unreasonably narrowed the field of Sociology. Sociology should study not only the general forms of social relationships but also their concrete contents.

Secondly, the distinction between the forms of social relations and their contents is not workable. Social forms can not be abstracted from the content at all, since social forms keep on changing when the contents change. Sorokin writes, "We may fill a glass with wine, water or sugar without changing its form, but I cannot conceive of a social institution whose form would not change when its members change".

Thirdly, Sociology is not the only science that studies the forms of social relationships. Other sciences also do that. The study of international law, for example, includes social relations like conflict, war, opposition, agreement, contract etc. Political Science, Economics also study social relationships.

Finally, the establishment of pure Sociology is impractical. No sociologist has been able to develop a pure Sociology so far. No science can be studied in complete isolation from the other sciences. In fact, today more emphasis is laid on inter-disciplinary approach.

2. The Synthetic School

The synthetic school of thought conceives of Sociology as a synthesis of the social sciences. It wants to make Sociology a general social science and not a pure or special social science. In fact, this school has made Sociology synoptic or encyclopedic in character. Durkheim, Hob House, Ginsberg and Sorokin have been that chief exponents of this school. The main argument of this school is that all parts of social life are intimately inter-related. Hence the study of one aspect is not sufficient to understand the entire phenomenon. Hence Sociology should

study social life as a whole. This opinion has contributed to the creation of a general and systematic Sociology.

Durkheim, one of the stalwarts of this school of thought, says that Sociology has three main divisions or fields of inquiry. They are as follows: Social Morphology, Social Physiology and General Sociology.

(i) Social Morphology: Social morphology studies the territorial basis of the life of people and also the problems of population such as volume and density, local distribution etc.

(ii) Social Physiology: Social physiology has different branches such as Sociology of religion, or morals, of law, of economic life and of language etc.

(iii) General Sociology: General Sociology can be regarded as the philosophical part of Sociology. It deals with the general character of the social facts. Its function is the formulation of general social laws.

Ginsberg, another advocate of the synthetic school, says that the main task of Sociology can be categorized into four branches: Social Morphology, Social Control, Social Processes and Social Pathology.

(iv) Social Pathology: 'Social Pathology' studies social mal-adjustment and disturbances. It also includes studies on various social problems like poverty, beggary, unemployment, over-population, prostitution, crime etc.

1.3 IMPORTANCE OF THE STUDY OF SOCIOLOGY

Sociology is now developing into an independent and important science. It is that body of knowledge that studies the social relationship in systematized manner. Social relationship is very important for proper conduct of human life and that is why the study of sociology occupies an important place in the field of study. Sociology and its study adds to our knowledge about human relationship and helps in our adjustment with the environment. Through the study of sociology, it is possible to study various social problems. Human life is getting more and more complicated and that is why has come to occupy an important place. Study of sociology is not limited to one particular aspect of the society. It deals with social life in general. Through sociology, different discoveries about social relationship are made. All this goes to prove the study of sociology as valuable for every individual and society. Its importance may be studied under the following heads:

(1) Provides knowledge about the human society: Sociology does not study one special aspect of the society but being a social science it studies entire orbit of social relationship. In this manner it provides knowledge about the whole human society.

(2) It is helpful in solving social problems: Society was not so complicated in its primitive days, but it has become very complicated today. As a result of these complications several problems crop up. Since sociology studies the serial relationship and the society in general, it helps in solving social problems. In fact, it provides us with scientific outlook for the solution of these social problems.

(3) Sociology is helpful in social adjustment: Social structure today is not only complicated but it is growing at a very fast speed. Through the study of sociology, we are able to acquire knowledge about the social environment. This knowledge is helpful in social adjustment. If the social adjustment does not takes place, a stage of cultural lag is reached and this leads to social disorganization. On the one band, increases social integration and on the other it adds to social adjustment.

(4) It helps in individual organization: Individual, being a unit of the society, occupies a very important place in the social set up. All the social organizations, whether big or small are based on the individual. If every individual is balanced, the social organization is bound to be balanced. Through the knowledge of sociology, it is possible for individuals to maintain their

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organization. Sociology provides knowledge about social behavior, social structure and other factors concerning individual and the society. Thus from the point of view of organization of the individual, sociology occupies an important place.

(5) It brings about stability of the family organizations: Family is the most important unit of the society if the family is properly organized the whole of the social set up shall be quite balanced. Through the knowledge of sociology, we are able to gain Information about the processes that lead to social disorganization. Thus with the knowledge of the sociology, it is to maintain a balanced and stable family organization.

(6) It adds to social welfare: In the modern age, social welfare has become very important objective of the society. Through social welfare only, it is possible to bring about a social set up in which every member shall get the basic needs and shall also be able to live respectable life. Through the knowledge of the society, it is possible to bring about the social welfare. Through this knowledge, a person interested in the social welfare can remove the factors that are responsible for social disorganization and once these factors have been removed, social welfare becomes possible and easy.

(7) Widens the range of social relationship: In the beginning, the social relationships were very simple. Now because of the complicated structure of the society, social relations have also become quite wide and complicated. Social relations now start from family and go up to the international field. Through the knowledge of sociology, was come to realize that there is one source of the origin and development and the human beings. Thus the knowledge of sociology-is helpful to a widening the range of social relationship. Present day social life is a very complicated affair and it is very difficult to select a occupation according to interest and aptitude. Sociology which provides knowledge about the society, helps in selection of the occupation according to interest and aptitude.

(8) It is useful for social planning: With the gradual awareness of the importance and necessity of planned action in all human efforts, the importance of sociology has correspondingly increased. Social planning cannot be taken up in isolation. It requires full awareness of the aims and correct anticipation of the results. Sociology by its study of man as a social being provides the right means for planned performances in human affairs. Its study can be useful in organizing and manipulating physical as well as human resources for the general prosperity and consequent human happiness.

1.3.1 Educational Importance of Sociology

So far we have talked about the importance of sociology as a social science. Apart from its social importance, the sociology has a educational value and importance. As a scientific study of social relationships, it adds to the field of knowledge. Marril and Eldredge, have defined the educational value and importance of the sociology under the following heads;

(1) Technical Importance: In social life, we use different terms pertaining to different aspects of the society. These terms have scientific connotation and meaning. A knowledge of sociology provides us exact knowledge about these technical terms, such as society, community, organization, social structure etc. The real connotation of these terms, adds to the scientific and technical knowledge of the students of sociology.

(2) Introductory Importance: If we want to study any aspect of the society, we shall have to depend upon sociology which provides detailed knowledge about the society and various social relationships. In other words it introduces us to various studies and branches of knowledge that study various aspects of the society.

(3) Informatory Importance: The knowledge of sociology provides different types of information that are helpful in social adjustment. Through sociology we are able to acquire knowledge about various factors that build up the personality of an individual and also various social institutions, groups and process. Sociology provides knowledge about human relations and every individual is part of this social relationship,

(4) Importance with regard to tolerance: Through the study of sociology, we are able to acquire knowledge about various traditions, customs, norms, and values of various social groups. These customs, traditions may be different from one another but basically they are one. It means that we may have customs and traditions that are different from the customs and traditions of other groups but they are as important to them as ours are for us. Through the knowledge of sociology we are able to acquire the spirit of tolerance and respect the traditions and values of other social groups.

(5) Cultural Importance: Through sociology, we are able to acquire knowledge about the cultural patterns of various groups. These cultural patterns influence and determine our social behavior. It is said that the culture distinguishes man from animal and through sociology we are able to acquire knowledge about the culture.

(6) Democratic Importance: Sociology studies the human society. In doing so, it rises above the limitation of caste, class, religion community etc. In this manner it encourages the spirit of equality and basic unit amongst different social groups. The knowledge about the society also helps us to acquire knowledge about capacities and capabilities. Thus it helps the strengthening, democratic trends and forces. It also helps the growth and development of democratic values and traditions.

1.3.2 Limitations of Sociology

So far we have studied the importance of the study of sociology. Sociology is important, no doubt but it suffers from certain weaknesses and limitations. The reality is that almost all the sciences, particularly the social sciences have certain limitations. The main limitations of sociology may be studied under the following heads:

(a) Sociology does not study those societies which do not belong to Man: Society is not limited to human beings. It transcends the limits of the human society and includes animals, birds etc. Sociology has nothing to do with the society, either of the animals or other creatures. It is concerned mainly with the human society. Sociology studies different aspects of the human society. It studies primitive societies as well. Sociology does not take any society outside the human society as its subject matter. Its study is confined to human society.

(b) It does not study all the societies together: It is not possible for any social science to study different societies or different aspects of the society together. Every society has its own cultural background, values, geographical conditions etc. Apart from it if any social science tries to study all the aspects of a society together from different societies together, it shall not be able to get the required exactness. It is not possible to apply the laws of a particular society in regard to other societies. Sociology keeps this thing in mind and, therefore, studies the society.

(c) It does not study all type of human behavior: The third limitation of sociology is that it does not study all types of human behaviors. Man behaves in different manners while doing different things and it is not possible to study all of them through one methodology. Sociology studies only those behaviors that influence the social relationship or social interactions.

(d) It does not study all types of groups: It is not possible for any social science to study all types of groups. Some of the groups have a clear structure and form, while others have vague structure and forms. Sociology studies only those types of groups that have clear structure and forms. It cannot study the groups that have a vague and undefined structure. Sociology has, therefore, the limitations that it does not study all types of groups.

(e) It does not study the normative form: Sociology is a social science. It has, therefore, to follow the principles and the methodology of the science. These principles and methodology of science include Observation, classification etc. It cannot adopt philosophical ideas as a method of study. Philosophy is a normative science, it studies a subject matter on the principle of what should be or what ought to be. But sociology studies. It believes in studying

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the society and social relationship as it is. It does not bother about the normative forms of the society that is why sociology does not give place to the philosophical ideas in the field of study.

(f) Sociology is not a total of all the social sciences: Sociology is the latest and developing science but it does not mean that it is a total of all that social sciences. Sociology thus takes help from other social sciences and this is true of different social sciences as well. It studies the society in a scientific manner. It is based on the principles and the laws of a particular science which form the scientific methodology of the study of society. In fact sociology is an independent social science and not a total of all the social sciences. This is what Martindale and Monachesi have remarked:

The pure sciences are concerned with the development and systematization of underlying principles. They put old principles to new tastes, they formulate new problems. They attempt to codify, and simplify existing principles. They are not concerned with the practical complication of their results," they are interested solely in extending the range of existing knowledge and applied science, however, his almost the exact opposite aim and intent; It is not concerned with theory except as theory is immediately useful For example Dr. is not primarily interested in the theory of disease or the principles that underlie diagnosis. People come to him with actual ill excepting to be cures and all his energies addressed to these problems, when a new drug is discovered by the theorist and experimental scientist, he is quick to try it, but unless he is a pure scientist at heart, he is probably not busy with experimental problems.

1.4 IMPORTANCE OF SOCIOLOGY

Sociology is important not only for one country or the other. It is the science of social relationship and so its study has importance for people of the different countries of the world. It is also important for India. It has special importance for this country because of the diversity of the culture of the country and also because of the fast developing society. Because of industrialization and other economic and political development that are taking place in this country, sociology has become more important for this land. Importance of sociology to India can be studied under the following heads.

(1) Helpful in Social Reconstruction: India is basically a land of villages. Its agricultural economy is undergoing changes, so that backwardness of the country may be removed. Various unhealthy customs and traditions are retarding the progress of the country. Knowledge about the sociology which studies the society in general is very helpful in social reconstruction. Through sociology we can acquire knowledge about the society as it exists and in that manner help the reconstruction of the social structure.

(2) Useful in solution of various Social Problems: India is suffering not only from economic backwardness but also from various types of social problems. The country is suffering from castism, corruption, social tensions, lower rate of illiteracy etc. These problems can be solved neither through economic development, nor through political methods. They have to be tackled at the social level by changing the social structure. Sociology is helpful in this field. It not only provides us with knowledge about the social problems but also helps us to solve these problems. For example the delinquency can be removed only when we handle it as a sociological problem. India needs this knowledge very badly.

(3) Helpful in Emotional Integration: We have already seen that India is a country of various types of diversity religious, linguistic, cultural etc. Through sociology we are not only able to acquire knowledge about these diversities but also help in the emotional integration. Through the knowledge of sociology, we are able to know about the values, views, traditions and customs of these diverse social groups and this scientific knowledge helps us to achieve emotional integration.

(4) Helpful and useful in welfare of the weaker sections and particularly the tribals:

According to census report, India even today has a large number of the tribals who are still in the primitive stage of culture and civilization. They live in forest and other places that are hardly habitable for human beings. The country has to develop these tribals shall have to be developed. Through sociology only it shall be possible for us to develop these tribals. Apart from these tribals, there are various weaker sections of the society. The development has to be done so that the country as a whole may develop. This can also be done only with the help of the knowledge provided by sociology which, as we all know is the scientific study of the society and Social relationship.

(5) Necessary for Labor Welfare: India is growing industrially. With the industrial development, the class of working man is also growing. Once there is industrialization, the problem of relationship between workers and the mill owners or factory owners also crops up. This tension has also to be resolved. Unless this tension is resolved industrial development shall not take place. Through sociology, we are able to acquire knowledge about the capitalists and the workers and this knowledge is helpful in labor welfare. The class of the laborers includes working women as a whole and their problems have also to be solved. These problems can be solved only through the knowledge of sociology.

(6) Helpful in Planning: India, as we have already seen, is a developing country. It has taken to planning. If planned development has to take place knowledge about the condition of the society has also to be acquired, through sociology only we are able to acquire knowledge of the society. With this knowledge, plans can be drawn in a scientific manner. With the industrialization and greater pressure of land, a new phenomenon of urbanization has also taken place. This creates the problems of urban planning. On one hand the rural economy has to be reconstructed and properly planned and on the other hand, the problem of urban planning is also to be tackled. Rural folk who migrate from the villages settle in down but they maintain their links with the rural areas. This creates new problem. Apart from it, industrialization, result into growth of towns and these towns have to be planned properly. It is a part of urban and the knowledge of sociology is helpful in this respect as well.

Sociology, to conclude is an important branch of knowledge which studies the society in a systematic-scientific and manner. It deals with the society in general and social relationship. It has importance for every country and society of the world. It is important because society is important. The following lines of George Simmel throw ample light on sociology which clarify its importance as well:

“Sociology asks what happens to man and by what rules they behave not in so far as they unfold their understandable individual existences in their totalities, but in so far as they form groups and are determined by their group existences because of interaction. It treats the history of marriage without analysing particular couples. The laws and the consequences of the class struggle, without dealing with the development of a particular strike. The topics of its researches certainly arise in a process of obstruction.”

1.5 FOUNDING FATHERS AND THEIR CONTRIBUTIONS

1.5.1 Auguste Comte

Auguste Comte, the French Philosopher, is traditionally considered the “Father of Sociology”. Comte who invented the term “Sociology” was the first man to distinguish the subject-matter of sociology from all the other sciences. He worked out in a series of books, a general approach to the study of society. Comte is regarded as the “Father of Sociology” not because of any significant contributions to the science as such, but because of the great influence he had upon it. It would be more appropriate to regard him as a philosopher of science rather than a sociologist. Comte introduced the word “sociology” for the first time in his famous book “Positive Philosophy” at about 1839. The term “Sociology” is derived from the Latin

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word Socius, meaning companion or associate, and the Greek word logos, meaning study or science. Thus, the etymological meaning of sociology is the science of society. He defined sociology as the science of social phenomena “subject to natural and invariable laws, the discovery of which is the object of investigation”.

Comte devoted his main efforts to an inquiry into the nature of human knowledge and tried to classify all knowledge and to analyze the methods of achieving it. He concentrated his efforts to determine the nature of human society and the laws and principles underlying its growth and development. He also labored to establish the methods to be employed in studying social phenomena. Comte believed that the sciences follow one another in a definite and logical order and that all inquiry goes through certain stages (namely, the theological, the metaphysical and the positive or scientific or empirical). Finally, they arrive at the last or scientific stage or as he called the positive stage. In the positive stage, objective observation is substituted for speculation. Social phenomena like physical phenomena, maintained, can be studied objectively by making use of the positive method. He thought that it was time for inquiries into social problems and social phenomena to enter into this last stage. So, he recommended that the study of society be called the science of society, i.e., ‘sociology’.

Comte proposed sociology to be studied in two main parts (i) the social static and (ii) the social dynamics. These two concepts represent a basic division in the subject-matter of sociology. The social static deals with the major institutions of society such as family, economy or polity. Sociology is conceived of as the study of inter-relations between such institutions. In the words of Comte, “the statically study of sociology consists the investigations of laws of action and reaction of different parts of the social system”. He argued that the parts of a society cannot be studied separately, “as if they had independent existence”. If Static’s examines how the parts of societies are interrelated, social dynamics focuses on whole societies as the unit of analysis and how they developed and changed through time. “We must remember that the laws of social dynamics are most recognizable when they relate to the largest societies”, he said. Comte was convinced that all societies moved through certain fixed stages of development and that progressed towards ever increasing perfection. He felt that the comparative study of societies as “wholes” was major subject for sociological analysis.

Law of Human Progress

In later life, Comte developed a ‘religion of humanity’ for positivist societies in order to fulfill the cohesive function once held by traditional worship. In 1849, he proposed a calendar reform called the ‘positivist calendar’. For close associate John Stuart Mill, it was possible to distinguish between a “good Comte” (the author of the Course in Positive Philosophy) and a “bad Comte” (the author of the secular-religious system). The system was unsuccessful but met with the publication of Darwin’s On the Origin of Species to influence the proliferation of various Secular Humanist organizations in the 19th century, especially through the work of secularists such as George Holyoake and Richard Congreve. Although Comte’s English followers, including George Eliot and Harriet Martineau, for the most part rejected the full gloomy panoply of his system, they liked the idea of a religion of humanity and his injunction to “vivre pour autrui”.

Three Stages

“The law is this that each of our leading conceptions, each branch of our knowledge, passes successively through three different theoretical conditions: the Theological, or fictitious the Metaphysical, or abstract; and the Scientific, or positive. Furthermore, if one were to subject them self to belligerent pterodactyl romanticism, it would result in a conspicuous disparity in the treatment of diligent giraffes who remain outside the sphere of a union.”

Comte

1. Theological Stage

(a) Fetishism	(b) Polytheism	(c) Monotheism

2. Metaphysical or Abstract Stage
3. Positive Stage

1. Theological or Fictitious Stage: According to Comte in this state, “All theoretical conceptions, whether general or special bear a supernatural impress.” This type of thinking is found among the primitive races and sometimes the thinking of children is also at this level. At this level of thinking there is a marked lack of logical and orderly thinking. The primitive man and children do not have the scientific outlook. Therefore, theological thinking is characterized by non-scientific or unscientific outlook. The main subject matter of theological thinking is natural events. The usual and unintelligible events of Nature tend man towards theological or fictitious interpretation of the events. Unable to discover the natural causes of the various happenings, the primitive man attributes them to imaginary or divine forces. The explanation of natural events in non-natural, divine or imaginary conditions is known as theological or fictitious thinking. For example, if we explain and understand the excess or deficiency of rain due to godly wrath, such a causal explanation would be in terms of theological or fictitious explanation; The theological thinking implies belief in an other-world wherein reside the divine forces which control the events in this world. Thus, it is clear that theological thinking implies a belief in divine and extra-terrestrial forces. Comte has classified the theological stage further into three loud stages. These are: (A) Fetishism, (B) Polytheism and (C) Monotheism.

(A) Fetishism: The first and primary stage in theological thinking is that of fetishism. Fetishism is a belief that there is some living spirit in the non-living objects. This is also known as animism. As the very term animism signifies it means that the so-called inanimate objects are not dead and lifeless but are informed by a living spirit. The examples of fetishistic thinking can be seen from the widespread belief among rural people in India that some deity resides in trees. They are therefore, seen to engage in the worship of trees etc.

(B) Polytheism: With the gradual development in human thinking there occurred a change in the form of thinking. The more evolved and developed a form other than that of fetishism is known as polytheism. At this stage man had classified gods as well as natural and human forces. Each natural or human force had a presiding deity. Each god had some definite function and his scope and area of action was determined.

(C) Monotheism: The last and most developed form of theological thinking is seen manifested in monotheism. As the very term monotheism implies, at this level of human thinking a belief in one God had replaced the earlier belief in many gods. The monotheistic thinking symbolizes the victory, of human intellect and reason over non-intellectual and irrational thinking. In monotheism it is believed that one God is supreme and that He is responsible for the maintenance of order and system in the world.

2. Metaphysical or Abstract State: The metaphysical or abstract thinking marks the second stage in the evolution of human thinking. According to Comte each successive stage is an improvement upon the earlier stage. With the gradual improvement in human thinking the human problems also become more complex and intricate. The theological thinking was not adequate to tackle these efficiently. The appearance of conflicting and opposite forces in the world presented problems which could not be successfully tackled by monotheism. It was difficult to believe that the same God was responsible for primordial creation as well as destruction. A personal and concrete God could not account for the simultaneous creation and annihilation. In order to resolve this intellectual puzzle or riddle, metaphysical thinking was invented. Under metaphysical thinking, belief in an abstract transcendental entity or Absolute replaces the belief in personal concrete God. Under metaphysical thinking it is believed that an abstract power or force guides and determines the events in the world. Metaphysical thinking discards belief in concrete God.

3. Scientific or Positive Stage: After theological and metaphysical thinking comes the stage known as scientific or positive stage. All metaphysical knowledge is based upon specu-

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lation and is at best inferential knowledge. There are no direct means to confirm the metaphysical knowledge. In the last analysis it is a matter of belief or temperament. The modern temper of man is such that it cannot remain satisfied with mere guesswork it craves for positive knowledge which can be scientifically confirmed. The positive or scientific knowledge is based upon facts, and these facts are gathered by observation and experience. The observation and classification of facts are the beginning of the scientific knowledge.

From the facts we generalize and draw conclusions. These conclusions, in turn, are subjected to verification and once verified these become established laws, which can be relieved upon in gathering and classifying the facts. The scientific thinking is thoroughly rational and in it there is no place for any belief or superstition. Auguste Comte is of the opinion that all human thinking, before reaching the stage of positivism, must have passed through the two earlier stages of theological and metaphysical thinking. Even in scientific thinking some traces of types are to be usually found.

The development that recognized as a three stage is considered as a result of development of thinking and accumulation of philosophical achievements, by M. I. Sanduk. The enormous accumulations of achievements of Theoretical Physics during the first three decades of the last century were behind Gaston Bachelard's declaration of his new scientific spirit or a new a philosophy of science (or a fourth stage). That regarding of a new philosophy of science was owing to the accumulation of new proposals of Quantum mechanics. Accordingly, for Sanduk, the new development in science applications led to philosophy of technology; so philosophy of technology may be the fourth stage of philosophy.

Comte's Positivism: Comte first described the epistemological perspective of positivism in *The Course in Positive Philosophy*, a series of texts published between 1830 and 1842. These texts were followed by the 1848 work, *A General View of Positivism* (published in English in 1865). The first three volumes of the *Course* dealt chiefly with the physical sciences already in existence (mathematics, astronomy, physics, chemistry, biology), whereas the latter two emphasised the inevitable coming of social science. Observing the circular dependence of theory and observation in science, and classifying the sciences in this way, Comte may be regarded as the first philosopher of science in the modern sense of the term. Comte was also the first to distinguish natural philosophy from science explicitly. For him, the physical sciences had necessarily to arrive first, before humanity could adequately channel its efforts into the most challenging and complex "Queen science" of human society itself. His view of Positivism would therefore set out to define, in more detail, the empirical goals of sociological method.

Comte offered an account of social evolution, proposing that society undergoes three phases in its quest for the truth according to a general 'law of three stages'. The idea bears some similarity to Marx's view that human society would progress toward a communist peak. This is perhaps unsurprising as both were profoundly influenced by the early Utopian socialist, Henri de Saint-Simon, who was at one time Comte's teacher and mentor. Both Comte and Marx intended to develop, scientifically, a new secular ideology in the wake of European secularization.

Comte's stages were (1) the theological, (2) the metaphysical, and (3) the positive. The Theological phase was seen from the perspective of 19th century France as preceding the Enlightenment, in which man's place in society and society's restrictions upon man were referenced to God. Man blindly believed in whatever he was taught by his ancestors. He believed in a supernatural power. Fetishism played a significant role during this time. By the "Metaphysical" phase, he referred not to the Metaphysics of Aristotle or other ancient Greek philosophers. Rather, the idea was rooted in the problems of French society subsequent to the revolution of 1789. This Metaphysical phase involved the justification of universal rights as being on a vauntedly higher plane than the authority of any human ruler to countermand, although said rights were not referenced to the sacred beyond mere metaphor. This stage is

known as the stage of investigation, because people started reasoning and questioning although no solid evidence was laid.

The stage of investigation was the beginning of a world that questioned authority and religion. In the Scientific phase, which came into being after the failure of the revolution and of Napoleon, people could find solutions to social problems and bring them into force despite the proclamations of human rights or prophecy of the will of God. Science started to answer questions in full stretch. In this regard he was similar to Karl Marx and Jeremy Bentham. For its time, this idea of a scientific phase was considered up-to-date, although from a later standpoint it is too derivative of classical physics and academic history. Comte's law of three stages was one of the first theories of social evolutionism.

The other universal law he called the "encyclopedic law." By combining these laws, Comte developed a systematic and hierarchical classification of all sciences, including inorganic physics (astronomy, earth science and chemistry) and organic physics (biology and, for the first time, physique social, later renamed sociologie). Independently from Emmanuel Joseph Sieyès's introduction of the term in 1780, Comte re-invented "sociologie," and introduced the term as a neologism, in 1838. Comte had earlier used the term "social physics," but that term had been appropriated by others, notably Adolphe Quetelet.

This idea of a special science not the humanities, not metaphysics for the social was prominent in the 19th century and not unique to Comte. It has recently been discovered that the term "sociology" a term considered coined by Comte had already been introduced in 1780, albeit with a different meaning, by the French essayist Emmanuel Joseph Sieyès (1748–1836). The ambitious many would say grandiose way that Comte conceived of this special science of the social, however, was unique. Comte saw this new science, sociology, as the last and greatest of all sciences, one which would include all other sciences and integrate and relate their findings into a cohesive whole. It has to be pointed out, however, that there was a seventh science, one even greater than sociology. Namely, Comte considered "Anthropology, or true science of Man the last gradation in the Grand Hierarchy of Abstract Science."



The motto *Ordem e Progresso* ("Order and Progress") in the flag of Brazil is inspired by Auguste Comte's motto of positivism: *L'amour pour principe et l'ordre pour base; le progres pour but* ("Love as a principle and order as the basis; Progress as the goal"). Several of those involved in the military coup d'état that deposed the monarchy and proclaimed Brazil a republic were followers of the ideas of Comte.

Comte's explanation of the Positive philosophy introduced the important relationship between theory, practice and human understanding of the world. On page 27 of the 1855 printing of Harriet Martineau's translation of *The Positive Philosophy of Auguste Comte*, we see his observation that, "If it is true that every theory must be based upon observed facts, it is equally true that facts can not be observed without the guidance of some theories. Without such guidance, our facts would be desultory and fruitless; we could not retain them: for the most part we could not even perceive them."

Comte is generally regarded as the first Western sociologist (Ibn Khaldun having preceded him in North Africa by nearly four centuries). Comte's emphasis on the interconnectedness of social elements was a forerunner of modern functionalism. Nevertheless, as with many others of Comte's time, certain elements of his work are now viewed as eccentric and unscientific, and his grand vision of sociology as the centerpiece of all the sciences has not come to fruition.

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His emphasis on a quantitative, mathematical basis for decision-making remains with us today. It is a foundation of the modern notion of Positivism, modern quantitative statistical analysis, and business decision-making. His description of the continuing cyclical relationship between theory and practice is seen in modern business systems of Total Quality Management and Continuous Quality Improvement where advocates describe a continuous cycle of theory and practice through the four-part cycle of plan, do, check, and act. Despite his advocacy of quantitative analysis, Comte saw a limit in its ability to help explain social phenomena.

The early sociology of Herbert Spencer came about broadly as a reaction to Comte; writing after various developments in evolutionary biology, Spencer attempted (in vain) to reformulate the discipline in what we might now describe as socially Darwinistic terms.

Comte's fame today owes in part to Emile Littré, who founded *The Positivist Review* in 1867. Debates continue to rage, however, as to how much Comte appropriated from the work of his mentor, Henri de Saint-Simon.

Auguste Comte Hierarchy of Sciences

Auguste Comte is usually credited as being the founder of sociology. Philosophizing about humans and society had, of course, long been a preoccupation of lay people and scholars alike, but it was Comte who advocated a "science of society" and coined the term sociology. And although Comte's work was soon to fall into neglect and obscurity and he was to live out his later years in frustration and bitterness, his work profoundly influenced social thought. I think it regrettable that few recognize this influence, even today. Yet, despite Comte's current obscurity, mark the emergence of the functionalist perspective with his work.

Like most French thinkers of his time, Comte was preoccupied with propagating order and harmony out of the chaos created by the French Revolution. He attacked the individualism of utilitarian doctrines so prominent in England and carried forward Rousseau's and Saint-Simon's desire to develop a "collective philosophy" one that would provide the principles for creating social consensus. In so doing, however, he articulated the principles of science as they should be applied to society.

Comte felt that human evolution in the 19th century had reached the "positive stage" in which empirical knowledge could be used to understand the social world and to create a better society. Comte thus became an advocate of the application of the scientific method to the study of society a strategy that, in deference to Comte, is still termed positivism in the social sciences. This application of the scientific method was to give birth to a new science, sociology.

Comte's entire intellectual life represented an attempt to legitimate sociology. His efforts on this score went so far as to construct a "hierarchy of the sciences," with sociology as the "queen" of the sciences. Although this hierarchy allowed Comte to assert the importance of sociology and thereby separate it from social philosophy, his most important tactic for legitimating sociology was to borrow terms and concepts from the highly respected biological sciences. Sociology was thus initiated and justified by appeals to the biological sciences a fact that will help explain why functionalism was sociology's first and, until the 1970's, most dominant theoretical orientation.

Comte saw the affinity between sociology and biology to reside in their common concern with organic bodies. This affinity led him to divide sociology into social "statics" or morphology, and "dynamics," or social growth and progress. But Comte was convinced that although "Biology has hitherto been the guide and preparation for Sociology. Sociology will in the future (provide) the ultimate systematization of Biology."

Comte visualized that with initial borrowing of concepts from biology, and later with the development of positivism in the social sciences, the principles of sociology would inform biology. Thus, sociology must first recognize the correspondence between the individual organism in biology and the social organism in sociology.

We have thus established a true correspondence between the Statistical Analysis of the Social Organism in Sociology, and that of the Individual Organism in Biology. If we take the best ascertained points in Biology, we may decompose structure anatomically into elements, tissues, and organs. We have the same things in the Social Organism; and may even use the same names.

Comte then began to make clear analogies between specific types of social structures and the biological concepts.

Social Organism as definitely composed of the families which are the true elements or cells, next the classes or castes which are its proper tissues, and lastly, of the cities and communes which are in real organs.

Most of Comte's organism analogies came in his later works, which were highly flawed, and so, Comte at this point, for he was much more than a simple-minded organicist. My main concern is, of course, with functionalism, but let me pause for a closer look at Comte's positivism, which contains the basic tenets of the abstract prepositional approach that outlined in the last chapter as well as a critique of both causal and functional analysis. Comte preferred the name social physics over the current name of our discipline-sociology. He wanted to mold sociology after Newtonian physics in which abstract theoretical principles are used to interpret empirical events. Contrary to many contemporary critics of positivism, who use the term positivism as an epithet for raw empiricism, Comte argued.

The next great hindrance to the use of observation is empiricism which is introduced into it by those who, in the name of impartiality, would interdict the use of any theory whatever no real observation of any kind of phenomena is possible, except as far as it is first directed, and finally interpreted, by some theory.

The first characteristic of Positive Philosophy is that it regards all phenomena as subject to invariable natural laws. Our business is, seeing how vain any research into what are called causes, whether first or final, to pursue an accurate discovery of these laws, with a view to reducing them to the smallest possible number.

In this passage, "final causes" is Comte's term for functions. We should not, he argued, analyze processes in terms of their consequences, nor should we search for their origins, as "first causes". Rather, our real business is to analyze accurately the circumstances of phenomena, and to connect them by the natural relations of succession and resemblance. The best illustration of this is the case-of the doctrine of Gravitation.

Thus, it fair to say that Comte's view of positivism rejected the functionalism and the more extreme organicism that was to emerge in the later decades of the 19th century. Indeed, Emile Durkheim was to "turn Comte on his head" and stress that the very essence of adequate scientific explanation was causal and functional analysis. We can only imagine how Comte would turn over in his grave if he had known what Durkheim did to his views. Yet, despite his eloquent advocacy for a social physics modeled after the natural sciences, Comte did reintroduce organic analogies into sociological inquiry, and he did see sociology as closely allied with the biological sciences. And so, we must conclude that it was with Comte that functional theory begins. In the period between Comte's decline and Durkheim's ascendance as the most forceful advocate of functionalism, Herbert Spencer was to codify functional analysis into a more explicit theoretical strategy. Let me now turn to a brief review of Spencer's contribution.

1.5.2 Herbert Spencer: Evolutionary Theory

Theory of Evolution

The most important contribution of Herbert Spencer to sociology, however, is the theory of evolution. "Evolution" he wrote, "is an integration of matter and concomitant dissipation of motion; during which the matter passes from an indefinite, incoherent homogeneity to a

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definite, coherent heterogeneity and during which the retained notion undergoes a parallel transformation.”

Basic laws of Evolution

Within this framework of universal evolution, Spencer developed his “three basic laws” and his “four secondary propositions” each building upon each and all upon the doctrine of evolution.

The Three Basic Laws are: (1) the law of persistence of force (some ultimate cause that transcends knowledge); (2) the law of the indestructibility of matter (disproved by modern physics); and (3) the Law of the continuity of motion (energy passes from one form to another but always persists). And the Four Secondary Propositions are: (1) persistence of the relationship between the force (uniformity of law), (2) transformation and equivalence of forces, (3) tendency of everything to move along the line of least resistance and greatest attraction, and (4) the principle of the alternation or rhythm of motion.

The following is the further explanation of these laws:

1. Energy or Force tends to Persist: According to the first law of energy there is no diminution or increase in the energy in the course of evolutionary change. The quantum of energy is persistent. It undergoes no change. The energy is the cause of evolution but is itself unaffected by the evolutionary process.

2. The matter is Indestructible: According to Spencer matter which is one form or aspect of energy is never destroyed. It may undergo formal changes but it cannot wither away or vanish from the world. The changes in the form of matter are responsible for the evolutionary process, but the fundamental nature of matter never changes. Therefore matter is indestructible.

3. Motion is Indestructible: The third primary law is the law of motion. Like matter, motion also is never destroyed. The motion is continuous and it is never wholly dissipated. There are, of course, changes in the form of motion. It is on account of these changes in form that there are stages in the evolutionary process.

Secondary Laws

Besides the above-mentioned three primary laws of physical evolution, Spencer has enumerated four secondary laws of evolution. These are:

1. Harmony of all Laws: According to Spencer there must be harmony among the various laws of evolution. No two laws should contradict each other.

2. Principle of Formal Changes and Uniformity: According to this law neither matter nor motion are ever completely destroyed. These undergo changes in form only. Of course even during formal change the quantum of matter or motion remains static.

3. Principle of Least Resistance or Great Attraction: According to this third law of evolution the direction of evolution is always towards the line of least resistance or greatest attraction.

4. Principle of Gradual Motion: For evolution motion is essential, it is not required that motion should be at one level all the time. It may speed up or slow down.

Biological Evolution

Spencer has discussed in detail various aspects of biological evolution. The biological theory of evolution of Spencer may be described thus: animal has to struggle to preserve its existence. The struggle for existence is not confined to any one aspect of life but pervades whole of life According to Spencer the strong are always victorious. Only strong creatures survive and evolve only strong make progress. The weak are gradually eliminated. It must be emphasized here that the term “strong” has been used here in a special sense. A strong creature is one who has the ability to adjust himself with the ever changing conditions of environment. A

creature unable to make adjustment with the changing circumstances is weak and is liable to perish. The weak are unable to cope with the circumstances, they can evolve and progress. The gradually mounting impact of adverse circumstances wears down the creatures in the long run and they perish. Herbert Spencer used same principle to propound his theory of social evolution.

“Sociology”, Spencer wrote in 1860, deals with general facts, structural and functional, as gathered from a survey of societies and their changes: in other words, the empirical generalizations that are arrived at by comparing the different societies, and successive phases of the same society.” Spencer utilized the principles of physical and biological evolution in order to elaborate and explain his theory of social evolution. The analysis of physical evolution convinced Spencer that the underlying principles of all evolution are two. These are that evolutionary movement is from simple to complex and homogeneous to heterogeneous. The evolution is always a movement from indefinite and incoherent situation to definite and coherent situation. Besides the underlying principles of physical evolution, namely, a movement from simple to complex and homogeneity to heterogeneity, Spencer also utilized the underlying principle of biological evolution, namely, only those creatures survive in the struggle for existence who are able to make effective adjustment with changing circumstances. Spencer utilized these two principles to propound his theory of social evolution. He put forward the theory that like physical evolution, in social evolution also there is a movement from simple to complex. The society is gradually moving from homogeneous structure to heterogenous structure.

Besides, socially is also moving from indefinite state to definite state. “The advance from the simple to the complex through a process of successive differentiations is seen alike in the earliest changes of the universe. It is seen in the geologic and climatic evolution of the earth; it is seen in the unfolding of every single organism on its surface it is seen in the evolution of humanity, whether contemplated in the civilized individual, or in the aggregate of races; it is seen in the evolution of society in respect alike of its political, its religious and its economic organization; and it is seen in the evolution of all those endless concrete and abstract products of human activity.”

Stages or Social evolution

Spencer’s theory of social evolution points out to two stages: The movement from simple societies to compound societies and secondly, change from militant to industrial society.

1. The Movement from Simple to Compound Societies

This evolutionary stage is seen in the following four types of societies in terms of evolutionary levels:

(i) Simple Society: This is the most primitive society without any complexities and consisting of several families,

(ii) Compound Society: While the simple society consists of families, many such societies make a compound society. This is clan society.

(iii) Doubly Compound Society: Through further aggregation of compound societies develops doubly compound society consisting of several clans compounded into tribes or tribal society.

(iv) Trebly compound society: In this society tribes are organized into nation states. This is the present form of the world.

2. Change from Military to industrial Society

The type of social structure, according to Herbert Spencer, depends on the relation of a society to other societies in its significant environment. While the military society is characterized by “compulsory cooperation” industrial society is based upon “voluntary cooperation.” Secondly, while the military society has a centralized government, the industrial society

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has a decentralized government. Thirdly, while the military society has economic autonomy it is not found in industrial society. The chief characteristic of military society is the domination of state over all social organisations. In the industrial state, on the other hand, the functions of the state are very much limited. Most of the societies of our time are industrial societies.

Herbert Spencer: Organic Analogy

Organism Concept of Society

Herbert Spencer came to sociology via biology. Therefore, he drew analogy between the society and the biological organism. "So completely is society organized on the same system as an individual", he argued, "that we may perceive something more than an analogy between them, the same definition of life applies to both (biological and social organism). Only when one sees that the transformation passed through during the growth, maturity and decay of a society, conforms to the same principles as do the transformation passed through by aggregates of all orders, inorganic and organic, is there reached the concept of sociology as a science."

Herbert Spencer believed that the social structure is a living organism it is made up of parts which can be distinguished but which cannot survive or exist except within the framework of society. Spencer wanted to explain clearly the nature of social structure by the help of this theory. Though in line with his theory Spencer considers society to be an individual writ large, he does not let the individuals lose their identity in society. Indeed he is an individualist and a firm advocate of the independence and rights of the individual. He only tried to point out certain striking similarities between the individual living organism and society on account of which the individual may be regarded as microcosmic society and society as macrocosmic individual. He said, "it is also characteristic of social bodies, as of living bodies, that while they increase in size they increase in structure. Like a low animal, the embryo of a high one has few distinguishable parts but while it is acquiring greater mass, its parts multiply and differentiate. It is thus with a society. At first the unlikeness among its groups of units are inconspicuous in number and degree; but as population augments, divisions and sub-divisions become more numerous and more decided. Further, in the social organism as in the individual organism, differentiation ceases only with that completion of the type which marks maturity and precedes decay."

Similarities between Social and Individual Organism

The similarities between the society and individual organism as drawn by Herbert Spencer are as follows:

1. Different from Inanimate Bodies: The first similarity between a living organism and society is their difference from inanimate bodies. None of them is inanimate. In inanimate there is no growth and development, but, on the other hand, there is continuous growth and development in both society and living organism. Thus, on account of their common difference from the inanimate bodies, society and living organism may be regarded to be similar.

2. Increase in Quantity leads to Change in Structure: The second similarity in society and living organism is that increase of quantity in both leads to change in their structure. According to Spencer as there is increase in the quantity of living organism there is change in its structure. The primitive living organism is a unicellular creature but with the increase in the cells, differentiation of organs results. At the higher levels of evolution the structure of the body becomes quite complex Similar is the case with society. In the beginning the structure of society is very simple. At this level each individual does all the work by himself and there is no differentiation of functions. Each man himself is a craftsman, hunter, sculptor etc. But with the quantitative increase in society the structure of society becomes more and more complex and there is increasing differentiation of functions in society. Like the organs of the society the functions in society become specialized.

3. Change in Structure leads to change in Functions: With the change in the structure, organs and communities there results a change in their functions. The functions become more and more specialized. This applies to the body of a living creature. With the changes in the structure of organs, there is change in its functions.

4. Differentiation as well as Harmony of Organs: While it is true that with the evolution there develops greater differentiation in the organs of society as also that of an individual, but side by side of this differentiation there is also harmony between various organs. Each organ is complementary to the other and not opposed. This holds true both in the body of a living organism and society.

5. Loss of an Organ does not necessarily result in the Loss of Organism: The society as well as the individual is an organism. It is a fact common to both that a loss of some organ does not necessarily result in the death of an organism. If one individual loses his hand it is not necessary that this may result in his death. Similarly, in society loss of a particular association does not necessarily mean death of the society.

6. Similar Processes and Methods of Organization: There is another similarity between the society and the living organism. According to Spencer as there are various systems, respiratory circulatory system etc., similarly there are various systems in the social organism responsible for its efficient functioning in society, transport system, production and distribution systems etc., fulfill their respective roles. Thus, Spencer has shown similarity between a living organism and the society. Differences between Social and Individual Organize.

Along with pointing the similarities between the individual organism and the society, Herbert Spencer spelled the differences between them. He said, "The parts of an animal form a concrete whole, but the parts of society form a whole which is discrete. While the living units composing the one are bound together in close contact, the living units composing the other are free, are not in contact, and are more or less widely dispersed." In other words, the organism is a concrete, integrated whole whereas society is a whole composed of discrete and dispersed elements. "In the biological organism consciousness is concentrated in a small part of the aggregate. In the social organism it is diffused throughout the aggregate all the units possess the capacity for happiness and misery, if not in equal degree, still in degrees that approximate. As, then, there is no social sensorium the welfare of the aggregate, considered apart from that of the units, is not an end to be sought. The society exists for the benefit of its members; not its members for the benefit of society."

Thus there are certain crucial differences between the society and a living organism which cannot be overlooked. These are:

1. The parts of Body are incapable of independent existence but Parts of Society can Exist Independently: Explaining the difference between a living organism and society, Spencer observes that whereas the various organs of the body are incapable of independent existence same is not the case with society. The various parts of society can exist independently. Whereas the limbs of body like hand, leg etc., cannot be conceived to exist outside of body there is no such difficulty in conceiving the independent existence of family, association etc., apart from society.

2. Difference regarding Centrality of Consciousness: There is another difference between the society and a living organism. The difference pertains to consciousness. In a living organism there is one central consciousness which is conscious of the whole body. There is no separate consciousness and thinking power in the various parts of the body. On the other hand, in society there is no central consciousness, only individual possesses consciousness.

3. Difference Regarding Dependence of Organs on Organism: Both the society and the individual are organisms. The organs of society are individuals, family, group etc., and the parts of body are its various organs. According to Spencer parts-of the body are dependent upon the body. Their existence is for the sake of body. On the other hand, in society its parts

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are more significant than the society. Indeed society exists for the good of its constituents. Spencer was a thinker, he had affinity with individualist philosophy, according to which the state and society exist for the good of the individual and not vice versa.

1.5.3 Durkheim E: Division of Labour, Suicide

The Social Order

Sociologists according to Durkheim must see objectivity. Sociology is neither metaphysical psychology nor subjectivist psychology. It may be defined as the science of institutions, their genesis and their functions. Fundamentally, it is the study of social facts. Its dominion is constituted by social facts. Therefore, Durkheim was concerned with the analysis of social order, its soirees, and causes of disorder, forces regulating or deregulating it. Social order, according to Durkheim, is a concrete system of contractual relations in which the market figured prominently. Durkheim criticized Herbert Spencer's account of social order in evolutionary terms.

Social order may be studied in two ways

substance and method. The substantive aspect of social order studies economic individualism. The method includes the rules of sociological method. Durkheim utilized scientific method for the study of labour, suicide and religion in social order. He neglected economic and psychological interpretation of society since, according to him, social facts are collective ways of acting, thinking and feeling that present the note-worthy property of existing outside the individual consciousness. Social facts are first and foremost: things which are social in nature. And, therefore, a science of the social facts is needed to correctly analyze them. There are four major characteristics of social facts: (1) they have distinctive social characteristics and determinants which are not amenable to explanation on either the biological or psychological level; (2) they are external to the individual; (3) they endure through time outlasting any set or group of individuals; and (4) they are, in Durkheim's own words, "endowed with coercive power, by virtue of which they impose themselves upon him, independent of his individual will."

Division of Labor

According to Durkheim, division of labour is not to be regarded as a mere luxury, desirable perhaps, but not indispensable to society. It is rather a condition of its very existence. It is that which assures the solidarity of the groups. It determines the essential traits of their constitution. It follows that, if such is really the function of the division of labour, it may be expected to have a moral character, because the needs of order, of harmony, of social solidarity generally are what one understands by moral needs.

Social life is derived from a double source, (a) from a similarity of minds, (b) from the division of labour. The individual is socialized in the first case because, not having his own individuality, he is confused along with his fellows, in the bosom of the same collectivity. In this case, because, even though he possesses a physiognomy and a temperament which distinguishes him from others, he is dependent upon these in the same measure in which he is distinguished from the society which results from the union of the two.

The division of labour gives birth to regulations and laws which determine the nature and relations of the divided functions, but the violation of which entails only punitive measure and not of an explanatory character. Every function which one individual exercises is invariably dependent upon functions exercised by others and forms with them a system of interdependent parts.

It follows that corresponding duties result from the nature of the task he chooses. Because one fills this or that domestic or social function, one is imprisoned in a net of obligations from which one does not have the right to free himself. There is especially one organ forward which our state of dependence is ever increasing. It is the state. The points at which we are

in contact with it are multiplying. So are the occasions in which it takes upon itself to recall us to a sense of common solidarity. Collectivism and individualism, the great currents in social life based on the like-mindedness and independent characteristics of unique attributes of the person, are not too different in structure. The segmentary structure of the society is more and more overlaid by the other, but without ever disappearing completely.

Rejection of Economic Definition

Durkheim rejects the economic definition of division of labour as a rational device contrived by men to increase the output of the collectivity. As Francis Abraham and John Henry Morgan put it, "To Durkheim social differentiation begins with the disintegration of mechanical solidarity and of segmental structure. Occupational specialization and multiplication of industrial activities are only an expression of a more general form of social differentiation which corresponds to the structure of society as a whole. Durkheim rejects the thesis of contractualists like Herbert Spencer, since the individuals, according to Durkheim were not free to enter into contracts with each other. It is wrong to assume that individuals were aware of their differences before social differentiation. Division of labour is also not due to hedonistic causes since men in primitive societies were no less happy than those in modern societies. Thus, according to Durkheim, division of labour varies in direct direction with the volume and density of societies and, if it progresses in a continuous manner in the course of social development, it is because societies become regularly denser and generally more voluminous."

Solidarity and Division of Labour

Societies with mechanical solidarity are segmental. "In Durkheim's terminology, a segment designates a social group into which individuals are tightly incorporated. But a segment is also a group locally situated, relatively isolated from others, which leads its own life. The segment is characterized by a mechanical solidarity, a solidarity of resemblance; but it is also characterised by separation from the outside world. The segment is self-sufficient, it has little communication with what is outside. By definition, so to speak, segmental organization is contradictory to those general phenomena of differentiation designated by the term organic solidarity." Thus differentiation, according to Durkheim, is not economic but social. In his study of division of labour, he discovered two essential ideas. Firstly, the societies with individuals having consciousness entirely external to itself, were first in historical process. Secondly, individual phenomena should be explained by collectivity and not vice-versa. The division of labour is a structure of the society as a whole of which economic division of labour is mere expression. It must be studied objectively. According to Durkheim the symptoms or expressions of collective consciousness are in legal phenomena, while the mechanical solidarity is expressed in repressive law. Mechanical solidarity is revealed in repressive sort of punishment. In organic solidarity, however, punishments are more reformatory.

Theory of Suicide

Durkheim, the eminent French sociologist, has made extremely minute and detailed study of the phenomenon of suicide. He has given his considered views and opinions in his world famous book on suicide. In this book he has given a fine sociological analysis of suicide which is based on the theory of sociologism or collective mind. In collectivism it is believed that each and every act of man is determined and influenced by the group for society. Indeed the individual acts are merely representative of the collective action and interaction. According to Durkheim the society is primary and the individual secondary therefore, society plays a primordial role and the individuals merely reflect or mirror those roles. Durkheim has studiously rejected the rival theories of psychologism etc., before propounding his theory of sociologism. In the words of Francis Abraham and John Henry Morgan, "Durkheim's central thesis is that suicide rate is a factual order, unified and definite, for, each society has a collective inclination towards suicide, a rate of self-homicide which is fairly constant for each society so long as the basic conditions of its existence remain the same."

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Statistical Analysis

Durkheim's book *Suicide* (1897) is cited as a monumental landmark of the synthesis of conceptual theory and empirical research. He used the method of statistical analysis displaying sociological realism. This method had two particular objectives in views:

1. To refute theories based on psychology, biology, genetics climatic and geographical factors.
2. To support with empirical evidence his own sociological explanation of suicide. Thus the phenomena of suicide demonstrate the function of sociological theory in empirical science.

Causes of Suicide

Durkheim rejected extra social factors in the causation of suicide. These extra social factors include heredity, climate, race and mental factors such as alienation and imitation. According to Durkheim, the causation of suicide should be referred to social structure and its ramifying functions. These may perform three functions: a) inducement b) perpetuation and c) aggravation of the suicide potential. The personal and psycho-analytical theories are similarly disposed of by Durkheim. As a matter of fact the psychological and personal factors are the resultant of social conditions and not vice versa. The indifferences, hostility, aggression and hatred are also the response to social conditions rather than being stimulator of social change.

In putting forward his views on suicide, Durkheim emphasizes the pivotal role that society plays in the life of the individuals. According to him, it is the social circumstances and the influence of the collective consciousness which are, in the main, responsible for the phenomenon of suicide. He says, "Suicide is an act which society disapproves of expiation." Durkheim also showed that all other views regarding suicide are, as a matter of fact, conditioned by the prevailing social conditions and mirror the collective consciousness. All the alleged causes of suicide except Durkheim's own view are revelatory of the inner conscious workings of the collective mind.

Some scholars have propounded the Geographical theory of suicide. According to them, the incidence of suicides rises in summer months of May-June when compared with the winter months of December-January but according to Durkheim though the stated facts are in order, that is, it is true that the number of suicides is higher in May-June in comparison with December-January, the weather conditions are not the true causes, they appear to be so to a superficial observer. But the real reason lies in the fact that inner social workings in individuals increase considerably in summer months. Therefore, it is not the heat but the social influences which account for suicides. Again, the psychological or sex factors alleged to be the causes of suicide have been explained by Durkheim on the basis of social conditioning. It is said that more men than women commit suicide. This is alleged to be due to sex difference but, according to Durkheim, the real cause is not the difference of sex between men and women but the fact that men are more responsive to social conditions. Similarly, a depressed man commits suicide not because of depression but due to heightened sensitivity to social conditions in a depressed man. In the words of Raymond Aron, "Durkheim's theory may be summarized as follows. Suicide is an individual phenomenon whose causes are essentially social. There are social forces suicidogenic impulses, to adopt Durkheim's expression-running through society, whose origin is not the individual but the collectivity, forces which are the real, the determining cause of suicide. Of course, says Durkheim, these suicidogenic impulses are not embodied in anyone individual taken at random. If certain individuals commit suicide, it is in all probability because they are predisposed to it by their psychological make-up, by nervous weakness or neurotic disturbances. But the same social circumstances which create the suicidogenic impulses create the psychological predisposition, because individuals living in modern society have refined and, consequently vulnerable sensibilities."

Types of Suicide

Durkheim has classified different types of suicide on the basis of different types of personalities of men. He has recognized following three to be the fundamental: 1. Egoistic, 2. Altruistic, 3. Anomic. The main reason behind all the different types of suicides is the same, namely, social break-down. A person commits suicide when there is disharmony and mal-adjustment between the personality of the individual and the social needs. When a person feels that he is a misfit in the society he feels impelled to commit suicide. Below we shall discuss briefly the different types of suicide.

1. Egoistic Suicide: The suicides committed by persons who are self-centered and to whom self-regard is the highest regard are called egoistic suicides. On account of their self-centeredness and lack of altruistic feelings, a sense of respect and regard for others, the egoistic persons are usually aloof and cut off from the main-stream of the society. They can never take whole hearted interest in social projects. An overwhelming sense of self-regarded needs and heightened sense of self-importance leads, to aloofness and indifferences and this grows into social alienation. This social alienation produces apathy. Being basically a gregarious animal, man is unable to cope with social alienation and feels impelled to commit suicide. For example, both Catholics and Protestants forbid suicide but the rate of suicide is far less among Catholics than Protestants without any regard to race and nationality. Thus, "The superiority of Protestantism with respect to suicide results from its being a less strongly integrated church than the Catholic Church." This is due to the fact that Catholic Church keeps its members more organized while Protestant Church gives more freedom, fosters free enquiry and circulates few common beliefs and practices. The suicide rate in England is less due to the fact, that Anglican Church is more powerfully integrated than other Protestant churches.

Durkheim has tried to explain the egoistic suicide by illustrating its nature by various examples. According to him those persons who have none or few emotional attachments are more suicide-prone than those who have strong attachments will always have a reason to live and can never experience the kind of apathy and vacuity felt by unattached individual. Generally, single male or female are more suicide-prone than married ones. Similarly, persons who are issueless commit suicide in greater number than persons who are fathers or mothers. This fact can be proved true in fields other than family. Durkheim hastened to prove that all suicides connected with war are basically due to social causes. He freely grants the observation that there is sudden rise in the incidence of suicide upon the cessation of hostilities; but according to him, it will be very superficial to see war as the cause of this change in the suicide rate. Actually, there is great cohesiveness in social relations during war and a sense of common purpose and goal unite people into well-knit social wholes. During war each person appears to be complementary to the other and co-operation is very real. But with stoppage of war all this is shattered. Soldiers who fought hand-in-hand are separated by wide distances. Nurses and soldiers whose romances flourished, all of a sudden everything comes to a dead stop. The social cohesion gives way to disharmony and discord. These social factors are the true causes of increase in suicide. Due to sudden disruption of routine in mutual relationship among soldiers some soldiers, too, commit suicide.

2. Altruistic Suicide: According to Durkheim the second type of suicide is altruistic suicide. Such suicides are committed by individuals having a peculiar type of personality. An altruistic suicide is a form of sacrifice in which a person puts an end to his life by some heroic means in order to promote or further the interest of the cause or idea dear to him. According to Durkheim, the persons committing altruistic suicide are those who attach great value and importance to the need and imperative of control. Compared to the value of society and its cause they consider their own personal life of no worth. For them the worth-whileness of their life lies in the maintenance and promotion of social forms of which they are shadows. Once such an outlook develops and takes firm hold of the man, such a person easily and

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willingly sacrifices his life for social causes, ends and purposes. As a matter of fact, such a person considers himself only a reflection of the society and, therefore, of no worth and value in himself. The ancient custom of Sati, in which a wife would willingly jump into the funeral pyre of her husband and thus end her life, is an example of altruistic suicide and can be explained as being due to rigorous social control acquiesced to.

Durkheim rejects the popular notion that military personnel's commit suicide due to the hardships of military life, the rigorous discipline and the comparative absence of liberty. He noted that there is a higher rate of suicide among officers than among soldiers in military though the life of the officers is much less hard than that of soldiers. Even the volunteers are more inclined to commit suicide than men drafted against their will. This shows that man is always ready to sacrifice his life for a great cause, principle or value.

As opposed to these obligatory altruistic suicides, there are optional varieties which do not require suicide but praise self-sacrifice or ultimate self-renunciation as a noble and praise-worthy act. Japanese Harakiri, self-immolation by Buddhist monks, self-homicide by army suicide squads and self-destruction in Nirvana under Brahminic influence illustrate other variants of altruistic suicide. In all these cases, the individual seeks "to strip himself of his personal being in order to be engulfed in something which he regards as his true essence-while the egoist is unhappy because he sees nothing real in the world but the individual, the intemperate altruist's sadness, on the contrary, springs from the individual's seeming wholly unreal to him. One is detached from life because seeing no goal to which he may attach himself, he feels himself, useless, and purposeless; the other because he has a goal but one outside this life, which henceforth seems merely an obstacle to him."

3. Anomic Suicide: According to Durkheim, the third type of suicide is anomic. This type of suicides are concerned with social disorganization and imbalance. At the time when society is in a crisis, the social relations are disturbed and even disrupted and at such periods and under the fluid and critical social conditions the personal and social ethics both become causalities. The values crumble and life becomes devoid of its guiding light. At such times the outlook of some persons suddenly undergoes critical change and results in dangerous developments. Durkheim has tried to illustrate this fact by giving examples from economic life. In critical periods there are sudden changes in the economic fortunes of people multi-millionaires may become pauper overnight. Due to loss of financial fortunes many persons commit suicide. Now the fact is that neither economic prosperity nor economic poverty themselves can be causes of suicide. A sudden change must be producing repercussion and having reverberations on the social relations and conditions and actually, it is these things which cause suicide and not the loss of economic possessions. What actually happens is that man's social relations, status, regard and dispositions are affected by his riches or lack of them. Now a multi-millionaire is used to a particular status. He is honored, respected and listened to by others. But if he loses his fortune, his social relations are disrupted. If the change is gradual one adjusts to it with ease but in case of sudden change no such adjustment is possible. Under these circumstances many people commit suicide. To a superficial observer the suicide is because of loss of fortune; but though there is loss of fortune, it is sudden and has social ties disrupted therefore, actually it is the social disruption that has caused suicide and not the loss of fortune. Durkheim writes, But when society is disturbed by some painful crisis or by beneficent but abrupt transitions, it is momentarily incapable of exercising this influence; thence come the sudden rises in the curve of suicides. In the case of economic disasters, indeed, something like declassification occurs which suddenly casts certain individuals into a lower state than their previous one. Then they must reduce their requirements, restrain their needs, and learn greater self-control. All the advantages of social influence are lost so far as they are concerned; their moral education has to be recommended. But society cannot adjust them instantaneously to this new life and teach them to practice the increased self-repression to which they are unaccustomed. So they are not adjusted to the condition forced on them,

and its very prospect is in tolerable hence the suffering which detaches them from a reduced existence even before they have made trial of it."

- 14 Anomie is a chronic state of affairs in the socio-economic change. Modern society faces anomie due to sudden economic and industrial crisis or sudden prosperity. There is no restraint on aspirations. Passions are less disciplined. Ambitions are over weaning. Race for unattainable goals continues to heighten anomie. As Durkheim points out "Economic progress has largely freed industrial relations from all regulation, and there is no moral strong enough to exercise control in the sphere of trade and industry. Furthermore, religion has lost most of its power. And government, instead of regulating economic life, has become its tool and servant."

Criticism

- 14 Durkheim has given importance only to social factors in suicide and tried to reduce other factors to social factors and thereby has tried to establish the exclusiveness of social factors in the etiology of suicide. But this is a one-sided view. If it is possible to reduce non-social factors, for example, if we say that Mr. A committed suicide not because his wife slept with his boss but because his social ties with his boss were disrupted, we can also say that disruption of social ties is due to the character of man because Mr. B under similar circumstance did not commit suicide but settled the score by sleeping with his boss's wife.

The following arguments maybe advanced against Durkheim's theory of suicide:

- 15 1. This theory is based upon incomplete and partial statistics dealing with only small numbers.
14 2. There is no reason to accept social cause as the only reason for suicide. As criminologists have pointed out, economic, psychological and even religious causes may lead to suicide.
14 3. The theory is based upon a very small sample of data concerning suicide.

1.5.3.1 Durkheim, E: Social Facts, Elementary forms of Religious life Social facts

Nature of Social Facts

- 3 Durkheim has defined sociology as a science of social facts. Social facts and events are the fundamental bases of his sociological thought. It is on the strength of these social facts that Durkheim has tried to show that sociology is not merely a theoretic discipline but is intimately connected with the practical facts of life. Social facts must be treated as "things", as empirical phenomena, not as concepts, "Things", Durkheim wrote in an extended passage in his The Rules of Sociological Method, "include all objects of knowledge that cannot be conceived by purely mental activity, those that require for their conception data from outside the mind, from observations and experiments, those which are built up from the more external and immediately accessible characteristics to the less visible and more profound,"

- 3 Therefore, social facts are not reducible to individual facts. According to Durkheim, "Social facts are inexplicable in terms of and irreducible to either psychological or physiological analysis." While the psychological or individual facts are concerned with impulses, emotions and habits are centrifugal. The social facts are centripetal. Distinguishing between psychological and social facts Durkheim said, "The former are elaborated in the individual consciousness and then tend to externalize them selves the latter are at first external to the individual, who they tend to fashion in their image from without."

Criticism of Psychological Explanation

- 3 Therefore, Durkheim has criticized the psychological explanation of the social facts. According to the psychological school of sociology social facts are mental. They try to explain the origin and development of social facts on the basis of psychological laws. But psychological behaviour is a consequence of inner social action and we cannot define a cause in terms of its effects. Similarly, Durkheim has also criticized the personalist definition of social facts, according to which social facts are the results of human will and desire.

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These can be satisfied according to needs. But Durkheim does not give much importance to personal needs. Social facts are the products of social conditions and these do not, in any way, depend upon human will and wishes. They manifest social conditions and not the needs of any individual. Therefore, they fulfill social needs and not personal needs. Durkheim has tried to explain the origin and development of social facts entirely in the context of social conditions.

Individual and Society

The so-called individual and personal needs are indeed themselves the effect of invisible conditions. Therefore, to think in terms of personal desires and needs is very superficial. Individuals can be the efficient causes and as such they can accelerate or slow down social action; but they are not the true causes. The true causes are always social. For example, over-population may induce men to limit their families by Planned Parenthood and this may ultimately check the rise in population. We may think that men have voluntarily checked the population but, as a matter of fact, the social fact of over-population and not family planning is the real cause of population control. How anybody acts in a society depends largely on social conditions. Whether one adjusts to social conditions or rebels against them depends also on social conditions. Therefore, ultimately man makes adjustment with the social conditions. Indeed, according to Durkheim, the moment a person comes in contact with society, he loses his individuality. Emphasizing the dominant importance of society. Durkheim says, "Society is not at all the illogical or logical incoherent and fantastic being which it has been too often considered. Quite on the contrary, the collective consciousness is the highest form of the psychic life, since it is consciousness of consciousness. Being placed outside of and above individual and local contingencies, it sees things only in their permanent and essential aspects, which it crystallizes into communicable ideas. Society sees farther and better than individuals."

Thus, man is himself only in and through society. If man were not a part of society, he would be an animal like the rest. Durkheim writes; "As Rousseau demonstrated a long time ago, if we take away from man everything he derives from society all that remains is a creature reduced to sensation and, more or less, indistinguishable from the animal. Without language, a thing social in the highest degree, general or abstract ideas are effectively impossible, and all higher mental functions, therefore, ineffectual. Left to himself, the individual would fall under the domination of physical forces. If he has been able to escape, to free himself of this domination and develop a personality, it is because he has found refuge in a force sui generis, a force which is powerful because it results from the coalition of all individual forces, but which is also intelligent and moral, and therefore, capable of neutralizing the unintelligent and amoral energies of nature. It is the collective force which has enabled theorists to demonstrate that man has a right to liberty. But whatever the value of such proofs, it is certain that this liberty has become a reality only in and through society."

Proper Domains of Society

One, therefore, has a category of facts with very distinctive characteristics. It consists of ways of acting, thinking and feeling, external to the individual and endowed with the power of coercion by reason of which they control him. These ways of thinking cannot be confused with biological phenomena, since they consist of representations and actions. They are different from psychological phenomena, which exist only in the individual consciousness and through it. They constitute a variety of phenomena, and it is to them exclusively that the term "social" ought to be applied. The term is apt because since their source is not in the individual, their substratum can be to other than society. Further, the term "social" applies to them exclusively, for it has a distinct meaning only if it designates exclusively the phenomena which are not included in anyone of the categories of facts that have already been established and classified otherwise. These ways of thinking and acting, therefore, constitute the proper domain of sociology.

Social Currents are not Social Facts

It should be pointed out that “social currents” are not to be mistaken for “social facts” for, they are not as crystallized in form as the latter, but have the same objectivity and the same ascendancy over the mind. An illustration is the current social education of children. Children are educated or subjected to the unremitting pressure of the social milieu which tends to fashion them in its own image and of which parents and teachers are merely the representatives and intermediaries.

Thus Durkheim considers society to be like an organism of which the various members are limbs, and the limbs cannot exist apart from the organism and whatever they do fulfils the needs of the total organism. In the same way individuals, by their actions, fulfill needs which are not personal but social. However, Durkheim does believe that “When the explanation of social phenomenon is undertaken we must seek separately the efficient cause which produces it and the function it fulfils.”

Two Features of Social Facts

1. Exteriority

Durkheim has described two fundamental features of social facts, namely, exteriority and constraint. These features are not born in the communal consciousness which is separate from individual thinking. We cannot observe them but we can feel their impact. We are all circumscribed by these social facts; they are more effective than the facts of individual consciousness.

Criticism of Sociologism

George E. G. Catlin and other critics have criticized the excessive sociologism of Durkheim. According to them the views of Durkheim are more grounded in his imagination than in hard facts. His definitions lack in lucidity and clarity and are quite confusing. They do not actually mean what they purport to. What does Durkheim mean by collective consciousness is beyond comprehension. An imperceptible fact cannot be used to define social facts. Durkheim got so absorbed in objectivistic sociology” that he completely lost sight of the actual facts and hard realities. George E.G. Catlin suggests that in place of social facts, ‘social constructs’ will be a more appropriate expression because the latter indicates the complexities of Asocial life. The second criticism advanced by Catlin is that social facts are fluid entities and to use the word ‘thing’ for them is inappropriate. Alcoholism, crime, marriage and suicide and their incidence and patterns are changing realities.

2. Constraint

The second characteristic of social facts is that they have constraining effect upon individuals. According to Durkheim social facts so condition human beings as to make them behave in a particular manner. This is the reason for the difference between the personal and collective behaviour of the individual. To justify his assertion Durkheim has cited the example of moral laws, penal system and the crowd behaviour. The laws make men behave in a particular manner. This is so because laws have to sanction of Government as well as a society. In a crowd also an individual feels constrained to behave in a particular manner. This is so because in a crowd the individual will is overwhelmed by the collective will. On account of subtle social pressure an individual follows the customs, traditions and ceremonies of a society in spite of his personal likes and dislikes. This can be seen in the institution of marriage, in the manner ceremonies are observed from generation to generation almost unaltered. According to Barnes, while the examples cited by Durkheim, to prove the strength of social pressure are substantially true, nonetheless there are social facts in which the element of compulsion is absent and the individual follows certain social norms voluntarily after due deliberation. There are also instances of defence of social customs by certain persons. According to Durkheim all social acts of an individual must be characterized by the element of constraint but in certain instances the element of compulsion is singularly missing. Barnes

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has cited some such instances; (1) If a Frenchman wishes to communicate he must use French; (2) A businessman must pay taxes and sell his goods at market price; (3) The means of transport and communication affect the culture and also the distribution of population; (4) Education constrains an individual to accept certain norms and truths; (5) Facts and fashions affect men to copy them. According to Barnes, Durkheim has tried to prove that in all the above cases there is an element of constraint and compulsion. But while this is true with regard to moral laws, crowd behaviour and legal system, it is, by no means, universally true. As a matter of fact, education does not affect everyone in one particular manner. Durkheim has overlooked the social facts in which the element of compulsion is missing.

Difference among Facts

There are differences among various facts. We can regard these differences as qualitative. All social facts are not equally constraining. Indeed some of them are such that they allow full freedom to individual to accept them or reject them. In fact, certain social facts are beyond the purview of sociology, but Durkheim considers all of them to be within the scope of sociology and to be equally constraining. This cannot be deemed rational and logical.

Durkheim, however, is well aware of the fact that it is easy to criticize any point of view. But he cautions that all criticism must be based upon sound knowledge of facts. Durkheim has given a very wide connotation to the term 'constraint'. He has no intention to wipe off the boundaries between social and physical facts. He, indeed, whole-heartedly accepts the individual attitudes, aptitudes, predilections and the freedom to choose. To a certain limit he favored individual freedom. The constraint need not always be external. Moral constraint need have inward direction and pressurizes individual's behaviour from within. No man is wholly devoid of morality or immorality. Indeed, Durkheim cautions against taking social facts in too narrow or severe sense. He has established a criterion for determining the social facts. This can help us to pinpoint and recognize these facts. In Durkheim's own words, "The constraint or compulsion is not the essential characteristic of all social facts. These are social facts which an individual adopts out of his own accord. Though these do put certain pressure on him, they do not wholly compel him."

Individual and Collectivity

Durkheim should not be misunderstood as an advocate of merging the individual will in the collective will. He has nowhere maintained that in social behaviour the reason and choice of the individual play no part whatsoever. He only maintains that like other facts social facts also have their objective existence; they are not mental. Social facts influence and guide the behaviour of the individual not by compulsion but by persuasion. The individual tries to adopt them by volition and not mechanically. Social facts organize the behaviour of the individual.

Criticism by Barnes

In order to analyze and study social facts, Durkheim advises that we should consider social facts as things. Barnes criticizes this idea of Durkheim. He says that nowhere has Durkheim made it clear as to what he means by the term 'things' it is impossible to determine the exact meaning of the word. Following are the possible meanings of the word 'thing:'

1. A 'thing' has certain features which are invisible and cannot, therefore, be observed.
2. Thing's can be observed, but cannot be known through introspection.
3. Thing's are mind dependent.
4. Thing's can be known through experience alone. They cannot be known rationally without reference to experience. Thus, Durkheim has given a four fold interpretation of the word 'things'. But, as can be easily seen, these definitions are mutually incompatible. Therefore, Durkheim has failed to give a precise meaning to the word 'thing'.

1.5.3.2 Elementary forms of Religious life

Sociology of Religion

Durkheim has made a significant contribution to sociology of religion. He has analyzed the origin of religion and also its role in human society. His last major book The Elementary

Forms of Religious Life (1912) has been regarded as one of the most profound and most original work upon religion. In this book Durkheim has analyzed totemism in the Arunta Tribe of Australian aborigines. On the basis of this analysis he develops a sociological theory of religion. He begins by refuting the earlier explanations of the origin of religion. He defines religion as a unified system of beliefs and practices relative to sacred things. Sacred things are those which have been set apart by religious practices. The term sacred includes things used in rituals and ceremonies. As Durkheim puts it, "The sacred thing is par excellences that which the profane should not touch and cannot touch with impunity." "The profane is the reverse of the sacred." The circle of sacred objects," continued Durkheim, "cannot be determined once for all. Its existence varies infinitely, according to the different religions." Thus, religion divides the world into two kinds of phenomena, the sacred and the profane. The church relates followers to sacred things. Beliefs and practices unite them. The development of religion depends upon this collective sharing of beliefs and rituals. The sacred symbols of religious beliefs and practices refer to moral reality of society.

Origin of Religion

Durkheim rejects, "animism" of Tylor and Spencer and 'naturism' of Max Mueller as explanation of the origin of religion. Both these theories, according to Durkheim do not explain the distinction between the sacred and the profane. Religion is not a mystery, it is not belief in transcendental God, it is not an illusion. Throughout history men have never worshipped any other reality than the collective social reality transfigured by faith and called God. Durkheim explains the origin of religion with reference to 'totemism,' an example of which he points out among the Australian tribes. He writes, "Totemism is the religion, not of certain animals or of certain men or of certain images, but of a kind of anonymous and impersonal force which is found in each of these beings, without, however, being identified with any one of them. None possesses it entirely, and all participate in it. So independent is it of the particular subjects in which it is embodied that it precedes them just as it is adequate to them. Individuals the, generations pass away and are replaced by others. But this force remains over present, living and true to itself. It quickens today's generation just as it quickened yesterday's and as it will quicken tomorrow's. Taking the word in a very broad sense, one might say that it is the God worshipped by each totemic culture, but it is an impersonal God, without a name, without a history, abiding in the world, diffused in a countless multitude of things." The definition of religion at which Durkheim arrives is: "A religion is an interdependent system of beliefs and practices regarding things which are sacred, that is to say, apart, forbidden, beliefs and practices which unite all those who follow them in a single moral community called a church." Contrasting the true science of religion, as he calls his theory, to pseudo-sciences or the theories of animism and naturalism, Durkheim points out, "It is inadmissible that systems of ideas like religion which have turned in all ages for the energy they need to live should be mere tissues of illusion. It is commonly recognized today that law, morality, scientific thought itself are born of religion, have long been identified with religion, and have remained imbued with her spirit. How could a vain phantasmagoria have fashioned human consciousness so firmly, so enduringly? Assuredly, it must be a principle for the science of religions that religion expresses nothing that is not in nature, for every science is concerned with natural phenomena.

Totemism

The essence of totemism is the worship of an impersonal anonymous force, at once immanent and transcendent. This force is, according to Ourkheim, society itself. Durkheim maintains, "There is no doubt that a society has everything needed to arouse in men's minds, simply by the influence it exerts over them, the sensation of the divine for it is to its members what God is to his faithful". For God is first a being whom man imagines in certain respects as superior to himself and on whom he believes he depends, whether we are speaking of personalities like Jacob, Zeus, or Jehowah, or of abstract forces like those which come into

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play in totemism. In either case, the believer feels that he is obliged to accept certain forms of behavior imposed on him by the nature of the sacred principle with which he feels he is in communication. But society also maintains in us the sensation of a perpetual dependence, because it has a nature peculiar to itself, different from our individual nature, and pursues ends which are likewise peculiar to itself but since it can attain them only through us, it imperiously demands our cooperation. It requires that we forget our personal interests and become its servants it subjects us to all kinds of inconveniences, hardships and sacrifices without which social life would be impossible. So it is that at every moment we are obliged to rules of conduct and ideas which we have neither made nor willed and which are sometimes even opposed to our most fundamental inclinations and instincts.

Religion as Social Institution

Society awakens in us the feeling of the divine. It is at the same time a commandant which imposes itself and a reality qualitatively superior to individuals which call forth respect, devotion, adoration. In the past, different societies created different gods and religions. Similar is the case with the present societies. Totemism helps in social integration. During the period of emergency a group is integrated by participating in common rituals, festivals, feasts etc. New gods and new religions are born in the times of crisis. According to Durkheim, the source and object of religion are the collective life. The concept of sacred is the personification of collectivity. The function of religion is the creation, reinforcement and maintenance of social solidarity. Religion is not a social creation but society divinized. Men worship together deities who are unconscious projections of the power of society. As the powers change so change religion. The modern man has to realize his dependence on society. This, however, he may express directly towards the sacred symbolization of society. In the words of Durkheim, "We must discover the rational substitute for these religious notions that for a long time have served as the vehicle for the most essential moral ideas." To sum up, religion, according to Durkheim, is a social institution serving to give meaning to man's existential predicaments. This is done by adopting the individual to the supra-individual transcendent values rooted in society. The individual who feels dependent on some external moral power, may be secular for he does not require an illusion to be a responsible member of society. Durkheim does not think religion to be necessary for everyone, particularly for the modern man. To the primitive, religion was absolutely necessary. But since now sociology has explained the reasons behind the need of religion, we may substitute religion by more rational formulations. One of such formulations may be found in the rise of nationalism in most of the societies of the world. A higher stage may be the substitution of religion by humanism, humanity deified.

1.5.4 Karl Marx: Theory of class and Dialectic materialism

Theory of Class

Marx's class theory rests on the premise that "the history of all hitherto existing society is the history of class struggles." According to this view, ever since human society emerged from its primitive and relatively undifferentiated state it has remained fundamentally divided between classes who clash in the pursuit of class interests. In the world of capitalism, for example, the nuclear cell of the capitalist system, the factory, is the prime locus of antagonism between classes between exploiters and exploited, between buyers and sellers of labor power rather than of functional collaboration. Class interests and the confrontations of power that they bring in their wake are to Marx the central determinant of social and historical process.

Marx's analysis continually centers on how the relationships between men are shaped by their relative positions in regard to the means of production, that is, by their differential access to scarce resources and scarce power. He notes that unequal access need not at all times and under all conditions lead to active class struggle. But he considered it axiomatic that the potential for class conflict is inherent in every differentiated society, since such a society systematically generates conflicts of interest between persons and groups differentially lo-

cated within the social structure, and more particularly, in relation to the means of production. Marx was concerned with the ways in which specific positions in the social structure tended to shape the social experiences of their incumbents and to predispose them to actions oriented to improve their collective fate.

Yet class interests in Marxian sociology are not given abinitio. They develop through the exposure of people occupying particular social positions to particular social circumstances. Thus, in early industrial enterprises, competition divides the personal interests of “a crowd of people who are unknown to each other. But the maintenance of their wages, this common interest which they have against their employer, brings them together.” “The separate individuals form a class only in so far as they have to carry on a common battle against another class otherwise they are on hostile terms with each other as competitors.”

Class interests are fundamentally different from, and cannot be derived from, the individual interests imputed by the utilitarian school and classical British political economy. Potential common interests of members of a particular stratum derive from the location of that stratum within particular social structures and productive relations. But potentiality is transformed into actuality, Klasse en sich (class in itself) into Klasse fuer sich (class for itself), only when individuals occupying similar positions become involved in common struggles a network of communication develops, and they thereby become conscious of their common fate. It is then that individuals become part of a cohesive class that consciously articulates their common interests. As Carlyle once put it, “Great is the combined voice of men.” Although an aggregate of people may occupy similar positions in the process of production and their lives may have objectively similar determinants, they become a class as a self-conscious and history making body only if they become aware of the similarity of their interests through their conflicts with opposing classes.

To Marx, the basis upon which stratification systems rest is the relation of aggregates of men to the means of production. The major modern classes are “the owners merely of labor-power, owners of capital, and land owners, whose respective sources of income are wages, profit and ground-rent.” Classes are aggregates of persons who perform the same function in the organization of production. Yet self-conscious classes, as distinct from aggregates of people sharing a common fate, need for their emergence a number of conditions among which are a network of communication, the concentration of masses of people, a common enemy, and some form of organization. Self-conscious classes arise only if and when there exists a convergence of what Max Weber later called “ideal” and “material” interests, that is, the combination of economic and political demands with moral and ideological quests.

The same mode of reasoning that led Marx to assert that the working class was bound to develop class consciousness once the appropriate conditions were present also led him to contend that the bourgeoisie, because of the inherent competitive relations between capitalist producers, was incapable of developing an overall consciousness of its collective interests.

The classical economists picture the economic system of a market economy as one in which each man, working in his own interest and solely concerned with the maximization of his own gains, nevertheless contributes to the interests and the harmony of the whole. Differing sharply, Marx contended, as Raymond Aron has put it, that “each man, working in his own interest, contributes both to the necessary functioning and to the final destruction of the regime.”

In contrast to the utilitarian who conceive of self-interest as a regulator of a harmonious society, Marx sees individual self-interest among capitalists as destructive of their class interest in general, and as leading to the ultimate self-destruction of capitalism. The very fact that each capitalist acts rationally in his own self-interest leads to ever deepening economic crises and hence to the destruction of the interests common to all.

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The conditions of work and the roles of workers dispose them to solidarity and to overcoming their initial competitiveness in favor of combined action for their collective class interests. Capitalists, however, being constrained by competition on the market, are in structural position that does not allow them to arrive at a consistent assertion of common interests. The market and the competitive mode of production that is characteristic of capitalism tend to separate individual producers. Marx granted that capitalists also found it possible to transcend their immediate self-interests, but he thought this possible primarily in the political and ideological spheres rather than in the economic. Capitalists, divided by the economic competition among themselves, evolved a justifying ideology and a political system of domination that served their collective interests. "The State is the form in which the individuals of a ruling class assert their common interests."

"The ideas of the ruling class are the ruling ideas." Political power and ideology thus seem to serve the same functions for capitalists that class consciousness serves for the working class. But the symmetry is only apparent. To Marx, the economic sphere was always the finally decisive realm within which the bourgeoisie was always the victim of the competitiveness inherent in its mode of economic existence. It can evolve a consciousness, but it is always a "false consciousness," that is, a consciousness that does not transcend its being rooted in an economically competitive mode of production. Hence neither the bourgeoisie as a class, nor the bourgeois state, nor the bourgeois ideology can serve truly to transcend the self-interest enjoined by the bourgeoisie. The bourgeois reign is doomed when economic conditions are ripe and when a working class united by solidarity, aware of its common interests and energized by an appropriate system of ideas, confronts its disunited antagonists. Once workers became aware that they are alienated from the process of production, the dusk of the capitalist era has set in.

Dialectical materialism is a strand of Marxism synthesizing Hegel's dialectics and Ludwig Andreas Feuerbach's materialism. According to certain followers of Karl Marx, it is the philosophical basis of Marxism, although this remains a controversial assertion due to the disputed status of science and naturalism in Marx's thought. The basic idea of dialectical materialism is that every economic order grows to a state of maximum efficiency, while at the same time developing internal contradictions or weaknesses that contribute to its decay.

Hegel

Dialectical materialism is essentially characterized by the thesis that history is the product of class struggles and follows the general Hegelian principle of philosophy of history, that is the development of the thesis into its antithesis which is sublated by the *Aufhebung* ("synthesis"). The term *Aufhebung* was not used by Hegel to describe his dialectics. The *Aufhebung* conserves the thesis and the antithesis and transcends them both (*Aufheben* this contradiction explains the difficulties of Hegel's thought). Hegel's dialectics aims to explain the development of human history. He considered that truth was the product of history and that it passed through various moments, including the moment of error; error and negativity are part of the development of truth. Hegel's idealism considered history a product of the Spirit (*Geist* or also *Zeitgeist* the "Spirit of the Time"). By contrast, Marx's dialectical materialism considers history as a product of material class struggle in society. Thus, theory has its roots in the materiality of social existence.

Materialism in Dialectical Materialism

Marx's doctoral thesis concerned the atomism of Epicurus and Democritus, which (along with stoicism) is considered the foundation of materialist philosophy. Marx was also familiar with Lucretius's theory of *clinamen*.

Materialism asserts the primacy of the material world: in short, matter precedes thought. Materialism is a realist philosophy of science, which holds that the world is material; that all phenomena in the universe consist of "matter in motion," wherein all things are interdepen-

dent and interconnected and develop according to natural law; that the world exists outside us and independently of our perception of it; that thought is a reflection of the material world in the brain, and that the world is in principle knowable.

“The ideal is nothing else than the material world reflected by the human mind, and translated into forms of thought.”
— **Karl Marx, Das Kapital**

Marx endorsed this materialist philosophy against Hegel’s idealism he “turned Hegel’s dialectics upside down.” However, Marx also criticized classical materialism as another idealist philosophy due to its trans-historical understanding of material contexts. According to the famous Theses on Feuerbach (1845), philosophy had to stop “interpreting” the world in endless metaphysical debates, in order to start “changing” the world, as was being done by the rising workers movement observed by Engels in England (Chartist movement) and by Marx in France and Germany. Thus, dialectical materialists tend to accord primacy to class struggle. The ultimate sense of Marx’s materialist philosophy is that philosophy itself must take a position in the class struggle based on objective analysis of physical and social relations. Otherwise, it will be reduced to spiritualist idealism, such as the philosophies of Kant or Hegel, which are only ideologies, that is the material product of social existence.

Dialectics in Dialectical Materialism

Dialectics is the science of the general and abstract laws of the development of nature, society, and thought. Its principal features are:

1. The universe is an integral whole in which things are interdependent, rather than a mixture of things isolated from each other.
2. The natural world or cosmos is in a state of constant motion.
3. “All nature, from the smallest thing to the biggest, from a grain of sand to the sun, from the protista to man, is in a constant state of coming into being and going out of being, in a constant flux, in a ceaseless state of movement and change.” Friedrich Engels, *Dialectics of Nature*.
4. Development is a process whereby insignificant and imperceptible quantitative changes lead to fundamental, qualitative changes. Qualitative changes occur not gradually, but rapidly and abruptly, as leaps from one state to another. A simple example from the physical world is the heating of water: a one degree increase in temperature is a quantitative change, but between water of 100 degrees and steam of 100 degrees (the effect latent heat) there is a qualitative change.
5. “Merely quantitative differences, beyond a certain point, pass into qualitative changes.”

—**Karl Marx**

6. All things contain within themselves internal dialectical contradictions, which are the primary cause of motion, change, and development in the world. It is important to note that ‘dialectical contradiction’ is not about simple ‘opposites’ or ‘negation’. For formal approaches, the core message of ‘dialectical opposition / contradiction’ must be understood as ‘some sense’ opposition between the objects involved in a directly associated context.

Engels’ Laws of Dialectics

As mentioned above, Engels determined three laws of dialectics from his reading of Hegel’s *Science of Logic*. Engels elucidated these laws in his work *Dialectics of Nature*:

1. The law of the unity and conflict of opposites;
2. The law of the passage of quantitative changes into qualitative changes;
3. The law of the negation of the negation.

The first law was seen by both Hegel and Lenin as the central feature of a dialectical understanding of things and originates with the ancient Ionian philosopher Heraclitus.

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The second law Hegel took from Aristotle, and it is equated with what scientists call phase transitions. It may be traced to the ancient Ionian philosophers particularly Anaximenes, from whom Aristotle, Hegel and Engels inherited the concept. For all these authors, one of the main illustrations is the phase transitions of water. There has also been an effort to apply this mechanism to social phenomena, whereby population increases result in changes in social structure. The law of the passage of quantitative changes into qualitative changes can also be applied to the process of social change and class conflict.

The third law is Hegel's own. It was the expression through which (amongst other things) Hegel's dialectic became fashionable during his life-time. In drawing up these laws, Engels presupposes a holistic approach outlined above and in Lenin's three elements of dialectic below, and emphasizes elsewhere that all things are in motion.

Lenin's elements of Dialectics

After reading Hegel's Science of Logic in 1914, Lenin made some brief notes outlining three "elements" of logic. They are:

1. "The determination of the concept out of itself the thing itself must be considered in its relations and in its development;
2. The contradictory nature of the thing itself (the other of itself), the contradictory forces and tendencies in each phenomenon;
3. The union of analysis and synthesis.

Such apparently are the elements of dialectics. Lenin, Summary of dialectics.

Lenin develops these in a further series of notes, and appears to argue that "the transition of quantity into quality and vice versa" is an example of the unity and opposition of opposites expressed tentatively as "not only the unity of opposites, but the transitions of every determination, quality, feature, side, property into every other".

1.5.4.1 karal Marx Surplus Value and Alienation

Surplus value is a concept used famously by Karl Marx in his critique of political economy. Although Marx did not himself invent the term, he developed the concept. It refers roughly to the new value created by workers in excess of their own labor-cost, a value which is freely appropriated by the capitalist as gross profit, and which is the basis of capital accumulation.

"Surplus value and the rate of surplus-value are the invisible essence to be investigated, whereas the rate of profit and hence the form of surplus-value as profit are visible surface phenomena"

- Karl Marx

For Marx, the gigantic increase in wealth and population from the 19th century onwards was mainly due to the competitive striving to obtain maximum surplus-value from the employment of labor, resulting in an equally gigantic increase of productivity and capital resources. To the extent that increasingly the economic surplus is convertible into money and expressed in money, the amassment of wealth is possible on a larger and larger scale.

Definition

Total surplus-value in an economy (Marx refers to the mass or volume of surplus-value) is basically equal to the sum of net distributed and undistributed profit, net interest, net rents, net tax on production and various net receipts associated with royalties, licensing, leasing, certain honorariums etc. (see also value product). Of course, the way generic profit income is grossed and netted in social accounting may differ somewhat from the way an individual business does that.

Marx's own discussion focuses mainly on profit, interest and rent, largely ignoring taxation and royalty-type fees which were proportionally very small components of the national income when he lived. Over the last 150 years, however, the role of the state in the economy increased in almost every country in the world. Around 1850, the average share of govern-

ment spending in GDP in the advanced capitalist economies was around 5% in 1870, a bit above 8% on the eve of World War-I, just under 10%, just before the outbreak of World War-II, around 20% by 1950, nearly 30% and today the average is around 35-40%.

Interpretations

1. As a component of the new value product, which Marx himself defines as equal to the sum of labor costs in respect of capitalistically productive labor (variable capital) and surplus-value. In production, he argues, the workers produce a value equal to their wages plus an additional value, the surplus-value. They also transfer part of the value of fixed assets and materials to the new product, equal to economic depreciation (consumption of fixed capital) and intermediate goods used up (constant capital inputs). Labor costs and surplus-value are the monetary valuations of what Marx calls the necessary product and the surplus product, or paid labor and unpaid labor.
2. Surplus-value can also be viewed as a flow of net income appropriated by the owners of capital in virtue of asset ownership, comprising both distributed personal income and undistributed business income. In the whole economy, this will include both income directly from production and property income.
3. Surplus-value can be viewed as the source of society's accumulation fund or investment fund part of it is re-invested, but part is appropriated as personal income, and used for consumptive purposes by the owners of capital assets; in exceptional circumstances, part of it may also be hoarded in some way). In this context, surplus value can also be measured as the increase in the value of the stock of capital assets through an accounting period, prior to distribution.
4. Surplus-value can be viewed as a social relation of production, or as the monetary valuation of surplus labor a sort of "index" of the balance of power between social classes or nations in the process of the division of the social product.
5. Surplus-value can, in a developed capitalist economy, be viewed also as an indicator of the level of social productivity that has been reached by the working population, i.e., the net amount of value it can produce with its labor in excess of its own consumption requirements.

Measures of the Rate of Surplus Value

According to Marx's theory of exploitation, living labor at an adequate level of productivity is able to create and conserve more value than it costs the employer to buy which is exactly the economic reason why the employer buys it, i.e., to preserve and augment the value of the capital at his command. Thus, the surplus-labor is unpaid labor appropriated by employers in the form of work-time and outputs, on the basis that employers own and supply the means of production worked with. The commercial function of labor is only to conserve their value, add value to them, and transfer value.

According to Marx's labor theory of value, human labor is the only source of net new economic value, but is also indispensable for the conservation and transfer of economic value (maintenance and redistribution of capital assets). Asset revaluations according to this theory only redistribute claims to product-value which has already been created previously.

The rate of surplus-value in production is defined by Marx as the volume of surplus-value produced by the workforce divided by the variable capital expended to produce it. This is very roughly equivalent to the profits/wages ratio, though there is debate in Marxian economics about what exact profit and wage measures should be used. After all, total labor costs often involve far more than wage payments, and profits can be "grossed" and "netted" in different ways.

Alternative measures Marx cites are

1. Surplus value divided by the value of labor-power,
2. Surplus labor divided by necessary labor,

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3. Unpaid labor divided by paid labor, expressible in hours worked or money units,
4. The surplus product divided by necessary product.

The five measures of the rate of surplus value mentioned do not all refer to the same thing exactly. However, the basic meaning of the rate of surplus value is always the rate of exploitation of living labor capacity, i.e., the net capital yield obtained from the employment of living labor. Marx usually assumed in his models that the rate of surplus-value would be the same in all industries, different rates being equalized to a general norm in an open market for capital and labor. In reality, this is probably not the case, i.e., the rates may vary. Some authors have interpreted this “rate of exploitation” as a purely economic or commercial concept (in the sense of “labor utilization”, the use of a resource) while others see it primarily as a moral or political concept referring to the domination of a social class which commands labor in virtue of ownership of capital assets.

Equalization of Rates of Surplus Value

Marx believed that the long-term historical tendency would be for differences in rates of surplus value between enterprises and economic sectors to level out. If capitals that set in motion unequal quantities of living labor produce unequal amounts of surplus-value, this assumes that the level of exploitation of labor, or the rate of surplus-value, is the same, at least to a certain extent, or that the distinctions that exist here are balanced out by real or imaginary (conventional) grounds of compensation. This assumes competition among workers, and an equalization that takes place by their constant migration between one sphere of production and another. We assume a general rate of surplus value of this kind, as a tendency, like all economic laws, as a theoretical simplification; but in any case this is in practice an actual presupposition of the capitalist mode of production, even if inhibited to a greater or lesser extent by practical frictions that produce more or less significant local differences, such as the settlement laws for agricultural laborers in England, for example. In theory, we assume that the laws of the capitalist mode of production develop in their pure form. In reality, this is only an approximation; but that approximation is all the more exact, the more the capitalist mode of production is developed and the less it is adulterated by survivals of earlier economic conditions with which it is amalgamated”.

As far as the many variations in the exploitation of labor between different spheres of production are concerned, Adam Smith has already shown fully enough how they cancel one another out through all kinds of compensations, either real or accepted by prejudice, and how therefore they do not need to be taken into account in investigating the general conditions, as they are only apparent and evanescent. Other distinctions, for example in the level of wages, depend in large measure on the distinction between simple and complex labor and although they make the lot of the workers in different spheres of production very unequal, they in no way affect the degree of exploitation of labor in these various spheres. If the work of a goldsmith is paid at a higher rate than that of a day laborer, for example, the former’s surplus labor also produces a correspondingly greater surplus-value than does that of the latter. And even though the equalization of wages and working hours between one sphere of production and another, or between different capitals invested in the same sphere of production, comes up against all kinds of local obstacles, the advance of capitalist production and the progressive subordination of all economic relations to this mode of production tends nevertheless to bring this process to fruition.

Important as a study of frictions of this kind is for any specialist work on wages, they are still accidental and inessential as far as the general investigation of capitalist production is concerned and can therefore be ignored. In a general analysis of the present kind, it is assumed throughout that actual conditions correspond to their concept, or, and this amounts to the same thing, actual conditions are depicted only insofar as they express their general type.”

- Marx

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This is why he felt justified assuming a uniform rate of surplus value in his models of how surplus value would be shared out under competitive conditions.

Complicating Factors in Assessing Surplus-value

Complicating factors in assessing surplus-value are:

1. State intermediation, where profit and wage income is taxed on the one side, and supplemented on the other with subsidies and grants of various kinds;
2. Backwardation of certain physical goods in which time and presence are drivers of price.
3. Employee and employer contributions to social security and health schemes (wage costs and total labor costs may not be equal);
4. Price inflation applying to wage goods, profit and capital goods;
5. Creative accounting and tax avoidance or evasion techniques which misrepresent how much value has really been created.
6. Income obtained from what Marx called “fictitious capital” or what now are often called “bubble” phenomena.
7. Unsold inventories of net outputs which contain surplus-value.

These phenomena often make it difficult to calculate what the real net wage income is, and what the real net profit income is; there may be a very significant difference between gross income and disposable income.

In modern society, the complexity of transactions can often seem almost impenetrable or opaque. People may become less concerned with issues of exploitation, rather their concern may just simply be with defending their entitlement to a secure real net income (“take home pay”) from the work they do, or from any other source.

How the exchange between capital and labor happens to be viewed, depends greatly on the balance of power between employers and employees, and on the ability for all parties to the exchange to make gains from the trade in human labor. People would not usually trade unless they made a positive gain by it, but obviously the gains could be very unequally distributed among different parties to the trade. The more real net income capitalists and workers lose, the more concerned they become about fair exchange and exploitation.

Origin in Trade

Surplus-value is not a fixed category but a dialectical, developing one, because the forms in which new value is created and appropriated, and the way the burdens of productive work are shifted between strata of the population, change over time. There is obviously a big difference between simple commodity producers exchanging agricultural surpluses in a village market, and “fast money” in today’s global money markets.

Historically, Marx argues, surplus-value originated outside production in the first commercial forms of exchange usury, merchant, renter and bank capital and their associated lending operations. In fact, when Marx first introduces the concept of surplus value in *Das Kapital*, it is in the context of an analysis of “buying commodities in order to sell them at a profit”, which he denotes as M-C-M. Thus, the first forms of surplus-value include (leaving aside extortion and robbery etc.) profits from simple commodity production, merchant’s profit from “buying cheap and selling dear” or unequal exchange, certain types of rent imposed on production, and interest on loans extended by financiers, bankers and usurers. In Europe, “share” certificates of the joint-stock type date from the 16th century, although in some or other form share-type financial obligations already existed much earlier.

In ancient and feudal society, the ability to appropriate surplus-value from trade in commodities and capital was usually strongly regulated and limited by the state and religious authorities; a universal market where almost everything could be bought and sold freely using money did not exist.

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Originally, as Marx explicitly notes, commercial trade emerged at the boundaries of economic communities based on a non-capitalist mode of production, and it is only when commerce begins to dominate and regulate the bulk of production itself, that it becomes clearer that the ultimate source, or substance, of all surplus-value is really surplus-labor.

The processes whereby capitalist commerce conquers direct control of production (instigating the capitalist mode of production) are however very lengthy and complicated ones; all kinds of socio-economic obstacles ("market rigidities") must be cleared away, and new institutions created, before all the necessary factors of production can be freely bought and sold as inputs and outputs. A good example of that is modern China.

Appropriation from Production

Both in Das Kapital and in preparatory manuscripts such as the Grundrisse and Results of the immediate process of production, Marx shows how commerce by stages transforms a non-capitalist production process into a capitalist production process, integrating it fully into markets, so that all inputs and outputs become marketed goods or services. When that process is complete, the whole of production has become simultaneously a labor process creating use-values and a valorisation process creating new value, and more specifically a surplus-value appropriated as net income.

In fact, Marx argues that the whole purpose of production in this situation becomes the growth of capital, i.e., that production of output becomes conditional on capital accumulation. If production becomes unprofitable, capital will be withdrawn from production sooner or later.

This means, systemically, that the main driving force of capitalism becomes the quest to maximize the appropriation of surplus-value augmenting the stock of capital. The overriding motive behind efforts to economize resources and labor is to obtain the maximum possible increase in income and capital assets ("business growth"), and provide a steady or growing return on investment.

Absolute vs. Relative

According to Marx, absolute surplus value is obtained by increasing the amount of time worked per worker in an accounting period. Marx talks mainly about the length of the working day or week, but in modern times the concern is about the number of hours worked per year. In many parts of the world, as productivity rose, the working classes forced a reduction in the workweek, from 60 hours to 50, 40 or 35 hours but casualisation and flexibilisation of working hours also permits higher paid workers to work less (a fact of concern to statesmen who worry about international competitiveness, i.e., if we don't work harder our country will lose business).

Relative Surplus Value is obtained mainly by:

1. Reducing wages this can only go to a certain point, because if wages fall below the ability of workers to purchase their means of subsistence, they will be unable to reproduce themselves and the capitalists will not be able to find sufficient labor power.
2. Reducing the cost of wage-goods by various means, so that wage increases can be curbed.
3. Increasing the productivity and intensity of labor generally, through mechanization and rationalization, yielding a bigger output per hour worked.

The attempt to extract more and more surplus-value from labor on the one side, and on the other side the resistance to this exploitation, are according to Marx at the core of the conflict between social classes, which is sometimes muted or hidden, but at other times erupts in open class warfare and class struggle.

Production Versus Realisation

Marx distinguished sharply between value and price, in part because of the sharp distinction he draws between the production of surplus-value and the realization of profit income (see

also value-form). Output may be produced containing surplus-value (valorisation), but selling that output (realization) is not at all an automatic process.

Until payment from sales is received, it is uncertain how much of the surplus-value produced will actually be realized as profit from sales. So, the magnitude of profit realized in the form of money and the magnitude of surplus-value produced in the form of products may differ greatly, depending on what happens to market prices and the vagaries of supply and demand fluctuations. This insight forms the basis of Marx's theory of market value, prices of production and the tendency of the rate of profit of different enterprises to be leveled out by competition.

Significance of the Mass of Surplus Value

Most Marxist discussions focus on the rate of surplus value, but for businessmen, the growth of the mass of surplus-value, or the gross profit volume produced (denoted here as P) is just as important, or even more important. After all, according to US Internal Revenue Service statistics, the money paid out to corporate officers is equal to about one-third of that paid out to ordinary employees. The growth of P depends on the growth of the volume of output in an accounting period, and the volume of sales turnover.

We can illustrate the point with a simplified example. If:

1. K = total capital invested
2. P = total net profit volume realized
3. r = the rate of profit (i.e., P/K),

and assuming (perhaps unrealistically) that a sum equal to P is reinvested (with or without the aid of credit) with zero price inflation, we can construct a series of annual business results, starting off with $K = 1$ million and $r = 10\%$ where the profit rate declines by a constant 0.1% per annum:

1. Year 1: $K = 1,000,000$; $P = 100,000$; $r = 10\%$
2. Year 2: $K = 1,100,000$; $P = 108,900$; $r = 9.9\%$
3. Year 3: $K = 1,208,900$; $P = 118,472$; $r = 9.8\%$

We see here that within two years at least, an 18.5% increase in annual profit volume has occurred, even though the rate of profit decreased by 0.2% . In other words, there's nearly one-fifth more income to disperse among the owners of the capital, although the rate of profit return slightly fell.

What this simplistic example really implies is that, provided market sales keep growing and business expands, a slight fall in the profit rate on capital may not be a point of concern. After all, capital assets have grown, but more importantly, the total volume of revenue that can be distributed has grown.

However, if the total profit volume created in a capitalist economy stops growing; this becomes a real problem (as highlighted by Henryk Grossman). Because in that case, profitability must fall across the board, and business income is reduced every where. In some Marxist crisis theories, the root cause of economic crisis is precisely that the growth of profit volume is eclipsed by the decline of the profit rate in production, the result being that the total profit volume that can be distributed stagnates or falls.

Relation to Taxation

In general, business leaders and investors are hostile to any attempts to encroach on total profit volume, especially those of government taxation. The lower taxes are, other things being equal, the bigger the mass of profit that can be distributed as income to private investors. It was tax revolts that originally were a powerful stimulus motivating the bourgeoisie to wrest state power from the feudal aristocracy at the beginning of the capitalist era.

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In reality, of course, a substantial portion of tax money is also redistributed to private enterprise in the form of government contracts and subsidies. Capitalists may therefore be in conflict among themselves about taxes, since what is a cost to some, is a source of profit to others. Marx never analyzed all this in detail; but the concept of surplus value will apply mainly to taxes on gross income (personal and business income from production) and on the trade in products & services. Estate duty for example rarely contains a surplus value component, although profit could be earned in the transfer of the estate.

Generally, Marx seems to have regarded taxation imposts as a “form” which disguised real product values. Apparently following this view, Ernest Mandel in his 1960 treatise *Marxist Economic Theory* refers to (indirect) taxes as “arbitrary additions to commodity prices”. But this is something of a misnomer, and disregards that taxes become part of the normal cost-structure of production. In his later treatise on late capitalism, Mandel astonishingly hardly mentions the significance of taxation at all, a very serious omission from the point of view of the real world of modern capitalism since taxes can reach a magnitude of a third, or even half of GDP.

Relation to the Circuits of Capital

Generally, Marx focused in *Das Kapital* on the new surplus-value generated by production, and the distribution of this surplus value. In this way, he aimed to reveal the “origin of the wealth of nations” given a capitalist mode of production. However, in any real economy, a distinction must be drawn between the primary circuit of capital, and the secondary circuits. To some extent, national accounts also do this.

The primary circuit refers to the incomes and products generated and distributed from productive activity (reflected by GDP). The secondary circuits refer to trade, transfers and transactions occurring outside that sphere, which can also generate incomes, and these incomes may also involve the realization of a surplus-value or profit.

It is true that Marx argues no net additions to value can be created through acts of exchange, economic value being an attribute of labor-products (previous or newly created) only. Nevertheless trading activity outside the sphere of production can obviously also yield a surplus-value which represents a transfer of value from one person, country or institution to another.

A very simple example would be if somebody sold a second-hand asset at a profit. This transaction is not recorded in gross product measures (after all, it isn't new production) nevertheless a surplus-value is obtained from it. Another example would be capital gains from property sales. Marx occasionally refers to this kind of profit as profit upon alienation, alienation being used here in the juridical, not sociological sense. By implication, if we just focused on surplus-value newly created in production, we would underestimate total surplus-values realized as income in a country. This becomes obvious if we compare census estimates of income & expenditure with GDP data.

Measurement

The first attempt to measure the rate of surplus-value in money-units was by Marx himself of *Das Kapital*, using factory data of a spinning mill supplied by Friedrich Engels (though Marx credits “a Manchester spinner”). Both in published and unpublished manuscripts, Marx examines variables affecting the rate and mass of surplus-value in detail. Some Marxian economists argue that Marx thought the possibility of measuring surplus value depends on the publicly available data. We can develop statistical indicators of trends, without mistakenly conflating data with the real thing they represent, or postulating “perfect measurements or perfect data” in the empiricist manner. If theory is not disciplined by valid data, it becomes metaphysical, rather than being scientific.

Since the pioneering studies by Marxian economists like Eugen Varga, Charles Bettelheim, Joseph Gillmann, Edward Wolff and Shane Mage, there have been numerous attempts by

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Marxian economists to measure the trend in surplus-value statistically using national accounts data. The most convincing modern attempt is probably that of Professors Anwar Shaikh and Ahmet Tonak. Usually this type of research involves reworking the components of the official measures of gross output and capital outlays to approximate Marxian categories, in order to estimate empirically the trends in the ratios thought important in the Marxian explanation of capital accumulation and economic growth: the rate of surplus-value, the organic composition of capital, the rate of profit, the rate of increase in the capital stock, and the rate of reinvestment of realized surplus-value in production.

The Marxian mathematicians Emmanuel Farjoun and Moshe Machover argue that “even if the rate of surplus value has changed by 10-20% over a hundred years, the real problem is why it has changed so little” (quoted from *The Laws of Chaos; A Probabilistic Approach to Political Economy* (1983)). The answer to that question must, in part, be sought in artifacts (statistical distortion effects) of data collection procedures. Mathematical extrapolations are ultimately based on the data available, but that data itself may be fragmentary and not the “complete picture”.

Different Conceptions

In neo-Marxist thought, Paul A. Baran for example substitutes the concept of “economic surplus” for Marx’s surplus value. In a joint work, Paul Baran and Paul Sweezy define the economic surplus as “the difference between what a society produces and the costs of producing it”. Much depends here on how the costs are valued, and which costs are taken into account. Piero Sraffa also refers to a “physical surplus” with a similar meaning, calculated according to the relationship between prices of physical inputs and outputs.

In these theories, surplus product and surplus value are equated, while value and price are identical, but the distribution of the surplus tends to be separated theoretically from its production where as Marx insists that the distribution of wealth is governed by the social conditions in which it is produced, especially by property relations giving entitlement to products, incomes and assets.

“The specific economic form, in which unpaid surplus labor is pumped out of direct producers, determines the relationship of rulers and ruled, as it grows directly out of production itself and, in turn, reacts upon it as a determining element. Upon this, however, is founded the entire formation of the economic community which grows up out of the production relations themselves, thereby simultaneously its specific political form. It is always the direct relationship of the owners of the conditions of production to the direct producers a relation always naturally corresponding to a definite stage of the methods of labor and thereby its social productivity which reveals the innermost secret, the hidden basis of the entire social structure, and with it the political form of the relation of sovereignty and dependence, in short, the corresponding specific form of the state. This does not prevent the same economic basis the same from the standpoint of its main conditions due to innumerable different, empirical circumstances, natural environment, racial relations, external historical influence, etc. from showing infinite variations and gradations in appearance, which can be ascertained only by analysis of the empirically given circumstances.”

This is a substantive if abstract thesis about the basic social relations involved in giving and getting, taking and receiving in human society, and their consequences for the way work and wealth is shared out. It suggests a starting point for an inquiry into the problem of social order and social change. But obviously it is only a starting point, not the whole story, which would include all the “variations and gradations”.

Morality and Power of Surplus Value

A typical textbook-type example of an alternative interpretation to Marx’s is provided by Lester Thurow. He argues in a *Concise Encyclopedia of Economics* article: “In a capitalistic society, profits and losses hold center stage.” But what, he asks, explains profits?

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There are five reasons for profit, according to Thurow:

1. Capitalists are willing to delay their own personal gratification, and profit is their reward.
2. Some profits are a return to those who take risks.
3. Some profits are a return to organizational ability, enterprise, and entrepreneurial energy
4. Some profits are economic rents - a firm that has a monopoly in producing some product or service can set a price higher than would be set in a competitive market and, thus, earn higher than normal returns.
5. Some profits are due to market imperfections - they arise when goods are traded above their competitive equilibrium price.

The problem here is that Thurow doesn't really provide an objective explanation of profits so much as a moral justification for profits, i.e., as a legitimate entitlement or claim, in return for the supply of capital.

He adds that "Attempts have been made to organize productive societies without the profit motive since the industrial revolution there have been essentially no successful economies that have not taken advantage of the profit motive." The problem here is again a moral judgment, dependent on what you mean by success. Some societies using the profit motive were ruined; profit is no guarantee of success, although you can say that it has powerfully stimulated economic growth.

Thurow goes on to note that "When it comes to actually measuring profits, some difficult accounting issues arise." Why? Because after deduction of costs from gross income, "It is hard to say exactly how much must be reinvested to maintain the size of the capital stock". Ultimately, Thurow implies, the tax department is the arbiter of the profit volume, because it determines depreciation allowances and other costs which capitalists may annually deduct in calculating taxable gross income.

This is obviously a theory very different from Marx's. In Thurow's theory, the aim of business is to maintain the capital stock. In Marx's theory, competition, desire and market fluctuations create the striving and pressure to increase the capital stock the whole aim of capitalist production is capital accumulation, i.e., business growth maximising net income. Marx argues there is no evidence that the profit accruing to capitalist owners is quantitatively connected to the "productive contribution" of the capital they own. In practice, within the capitalist firm, no standard procedure exists for measuring such a "productive contribution" and for distributing the residual income accordingly.

In Thurow's theory, profit is mainly just "something that happens" when costs are deducted from sales, or else a justly deserved income. For Marx, increasing profits is, at least in the longer term, the "bottom line" of business behavior the quest for obtaining extra surplus-value, and the incomes obtained from it, are what guides capitalist development (in modern language, "creating maximum shareholder value").

That quest, Marx notes, always involves a power relationship between different social classes and nations, inasmuch as attempts are made to force other people to pay for costs as much as possible, while maximizing one's own entitlement or claims to income from economic activity. The clash of economic interests that invariably results, implies that the battle for surplus value will always involve an irreducible moral dimension; the whole process rests on complex system of negotiations, dealing and bargaining in which reasons for claims to wealth are asserted, usually within a legal framework and sometimes through wars. Underneath it all, Marx argues, was an exploitative relationship.

That was the main reason why, Marx argues, the real sources of surplus-value were shrouded or obscured by ideology, and why Marx thought that political economy merited a critique. Quite simply, economics proved unable to theories capitalism as a social system, at least not without moral biases intruding in the very definition of its conceptual distinctions.

Hence, even the most simple economic concepts were often riddled with contradictions. But market trade could function fine, even if the theory of markets was false all that was required was an agreed and legally enforceable accounting system. On this point, Marx probably would have agreed with Austrian school economics no knowledge of “markets in general” is required to participate in markets.

1.5.5 Max Weber: Ideal types: Methodology of social sciences, typology of social action

Definition of Sociology

Max Weber has attempted his peculiar definition of sociology. He believed that social sciences should also be studied in the same manner as employed in the study of natural sciences, they should aim at the rigour and Precision available in the natural sciences. For this purpose he invented a methodology which would be applicable and useful in the study of both social and natural sciences. Max Weber has given his unique definition of sociology and specified the scope of the subject in his own way. Max Weber’s definition of sociology is to be found in his book *The Theory of Economics and Social Organization*.

In this Weber has defined sociology in the following words: “Sociology is the science which attempts the interpretive understanding of social action in order to arrive at causal explanation of its course and results.” This definition by Max Weber brings into relief three important facts. Firstly, we may assert that according to Weber the chief purpose of sociology is to understand the nature and the causes of social action. Secondly, it tries to map out the causal pattern of social action. Thirdly, it aims at knowing the results of social action. A study of the social thought of Max Weber clearly reveals that in his conception of sociology, it is intimately concerned with social action.

Therefore, in order to comprehend the conceptual frame work of Max Weber, it is necessary to discuss the idea and meaning of the term ‘social action.’ “Interpretive sociology,” explains Weber, “considers the individual and his action as the basic unity, as its ‘atom’.” The individual the upper limit and the sole carrier of meaningful conduct. Such concepts as ‘state’, ‘association’, ‘feudalism,’ and the like, designate certain categories of human interaction.” Hence, Weber concludes, “It is the task of sociology to reduce these concepts to ‘understandable’ action’ that is, without exception to the actions of participating individual men.”

Ideal Types

Meaning of Ideal Types

One of the most important concepts given by Weber to sociology is the concept of ideal type. This concept occupies a very important place in his methodology. In methodology it is known as ‘typological analysis’. Ideal types are concerned with categorizing process enabling the scientist to contrast “actual types” with their common ideals. Whereas the former types were limited to historical circumstances, “the ideal type was,” explains Larson, “an attempt to deal with the problem of the historical relativity of conceptual types by means of the construction of a limited number of terms which could be used as constant generalizable abstractions.” Simpson has given us a cogent commentary on the nature and purpose of the ideal-type as a methodological instrument in the following “As far as individual social action is concerned the sociologist seeks to arrive at an understanding of individual motives, in groups he seeks to arrive at motives which are typical of the group”. In both cases the sociologist seeks to arrive at ideal types which establish what the action of individuals or groups would be if it were strictly rational, unaffected by errors or emotional factors, and furthermore, it were completely and unequivocally directed to a single end. Actual behavior of individuals and groups is then studied as a deviation from such ideal-typical behavior. Prior to Max Weber sociology was not generally accepted as science. The physical sciences like physics and chemistry were considered very different from social sciences. The social sci-

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ences were not considered to be exact sciences. The primary reason for this belief was the absence of general laws in sociology. It was generally held that inasmuch as sociology studies the behavior of human beings and that human beings possess freewill, it is not possible to reduce human behavior to general laws. Max Weber did not agree with this view. He wanted to develop the science of sociology. For this purpose he formulated the concept of Ideal Type. According to Weber the science of sociology could be developed on the basis of this concept of Ideal Type. The theory of ideal type developed by Weber was new in the field of sociology. In fact, it was a mere extension and application of Plato's theory of ideas in the field of sociology.

Ideal Type and Sociology

According to Weber sociology is concerned with social action and social behavior. Every social action has an ideal. The 'ideal type' of social action is in our mind. For example, we say that a particular man is a materialist. The term materialist is an idea and how can we call a man materialist? How can we apply an idea to a concrete man? It is only because we have conception about the meaning of the term materialist and this conception is an idea of the ideal type. It is because of these theoretical or rational concepts that we are able to judge a man as materialist, idealist or pragmatist. This proves that every man has in him certain ideas about perfect social action or behavior and this ideal type is subjective, that is, it is in the mind of man. By the ideal type, the sociologist "is able to measure the gap between the ideal-typical objectively possible action and the empirical action, and ascertain the part played by irrationality and chance or by the intrusion of accidental, emotional and other elements."

The concept of ideal type explains organic approach to sociology. As Weber pointed out, Organic sociology attempts to understand social interaction by using as a point of departure the 'whole' within which the individual acts. His action and behavior are then interpreted somewhat in the way that a physiologist would treat the role of an organ of the body in the 'economy' of the organism, that is from the point of view of the survival of the latter. This functional frame of reference is convenient for purposes of practical illustration and for provisional orientation. In these respects it is not only useful but indispensable. But at the same time if its cognitive value is overestimated and its concepts illegitimately 'reified', it can be highly dangerous in certain circumstances this is the only available way of determining just what process of social action it is important to understand in order to explain a given phenomenon. But this is only the beginning of sociological analysis as here understood.

Martindales View

An ideal type is simply a mental construct of the theoretically conceivable and the empirically probable. Martindale assumes that a scientific theory is a logically inter-related body of empirical laws. It is the ideal type of theory? It is said that the ideal type has the character of a theoretical mode. But, according to Martindale's requisites for a theory, namely one of a theoretical function on which can be drawn out to produce hypothesis, the ideal types are not theories because they are not logically inter-related bodies of empirical laws. McKinney, Walkins and Parsons conceive ideal types as theories. Martindale agrees with Weber, Maclver and Merton that ideal types are not theories but simply mental constructs.

Scientific method consists in the systematic processes that institute an empirical proof. There are three general kinds of systematic procedures for instituting a proof:

1. Experimental method,
2. Statistical method, and
3. Comparative method.

The "logic of method" is the same in all the three methods. These sub distinctions arise in terms of the degree of precision of the theory and the amount and kind of control possible over the data to which a theory is addressed. The oldest procedure of science is

comparison. Comparison is an act intended to establish an item of empirical knowledge about which one is uncertain. Some ideas guide the comparisons and there is some idea, however crude in the background.

Martindale's fundamental position taken in his essay is that ideal types are neither experimental mathematical models, nor theories, but devices intended to institute comparisons as precise as the stage of one's theory of precision of his instruments will allow. Comparative procedure occurs most frequently in new sciences. The evolution of the ideal type in sociology was determined by the attempts to transform comparative method into a more precise procedure. The place occupied by ideal types in current sociological analysis is the testimony to the amount of sociological data still remaining on comparative level.

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Thinkers who have made basic use of the concept of 'social action' for the analysis of social life have been not only most sympathetic to the use of ideal types but have consciously attempted to improve them. Ideal types are not stereo-typed averages, or abstract concepts. To quote Martindale, "An ideal type is formed by the one sided accentuation of one or more points of view and by the synthesis of a great many diffused, discrete individual phenomena which are arranged according to these one sidedly emphasized view points into a unified analytical construct. In its conceptual purity, this mental construct cannot be found anywhere in reality."

Use in Sociological Research

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According to Max Weber, "An ideal type is analytical construct that serves the investigator as a measuring rod to ascertain similarities as well as deviations in concrete cases." Weber urged that the basic purpose of the ideal type is "to analyze historically unique configurations or the individual components in terms of genetic concepts." They are used as conception instruments for comparison with and the measurement of reality. They are indispensable for this purpose.

Origin of the Concept

Explaining the origin of the concept of ideal type Weber wrote "We have in abstract economic theory an illustration of those synthetic constructs which have been designated as 'ideas' of historical phenomena. It offers us an ideal picture of events on the commodity-market under conditions of a society organized on the principles of an exchange economy, free competition and rigorously rational conduct. This conceptual pattern brings together certain relationships and events of historical life into a complex, which is conceived as an internally consistent system. Substantively, this construct in itself is like a Utopia which has been arrived at by the analytical accentuation of certain elements of reality. Its relationship to the empirical data consists solely in the fact that where market constructs are discovered or suspected to exist in reality to some extent, we can make the characteristic features of this relationship pragmatically clear and understandable by reference to an ideal type." For Weber ideal types were procedures by which historical materials were made useful for the general purposes of science. As applied to historical materials Weber characterized ideal types as devices for description, as implements for comparison and measurement and under special circumstances, as procedures for instituting and testing hypothesis. The component elements of the type and the criteria for constructing them are particularly important.

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For, Weber has also argued that the ideal type is not a description, not a general concept, not a law, not an ethical judgment. Weber explains "What the content of ideal-type, be it an ethical, a legal, an aesthetic, or a religious norm, or a technical, an economic, or a cultural maxim or any other type of valuation in the most rational form possible, it has only one function in an empirical investigation. Its function is the comparison with empirical reality in order to establish its divergences or similarities, to describe them with the most unambiguously intelligible concepts and to understand and explain them causally." Thus, for Weber, the ideal type contains both conceptual and observational materials, both being required by type.

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Such conceptual and observational materials are not put together arbitrarily. The ideal type is a conceptual tool. Items and relations actually found in historical and social life supply the materials. These are selected, fused, simplified into ideal types on the basis of some idea of the student as to the nature of social reality. In the words of Shills and Finch, "An ideal type is formed by the one-sided accentuation of one or more points of view and by the synthesis of a great many diffuse, discrete, more or less present and occasionally absent concrete individual phenomena, which are arranged according to those one-sidedly emphasized viewpoints into a unified analytical construct."

Characteristics of Ideal Types

The above discussion of the concept of ideal types points out the following three characteristics:

- 1. Ideal Types are Subjective:** The ideal types are subjective in character. The subjective nature of these types marks them off from the physical laws. The physical events or processes are objective, whereas social laws cannot be objective. This is because social laws pertain to human actions and behavior and human behavior is characterized by subjective motive, intention and goal. Man is a creature of free-will and his actions are not quite predictable on the basis of causal laws. Weber wanted to make sociology fully objective but full objectivity is not possible in human affairs because man's actions are not determined in the manner of physical events. However, with the help of the concepts like ideal types it should be possible to achieve a great deal of objectivity.
- 2. Ideal Types are Emotional:** The ideal types are emotive in content, they pertain to our affections and reside in our imagination. The ideal types are not concrete but abstract in nature. Even the physical laws like laws of gravitation and motion are also abstract very much like ideal types in this aspect, as concepts like 'economic man' 'religious man' etc., are also abstract and no existing man fully answers to these concepts.
- 3. The Ideal Types are Changeable:** According to Max Weber the ideal types are purely human constructions and are, therefore, subject to the considerations of time and place. These are affected by the current thinking and social atmosphere. Naturally, therefore, the ideal types are changeable. These cannot be eternal or permanent. In this respect, they are altogether unlike Plato's ideas which are standard forms and extra-human, that is, they are conserved by human reason and not fabricated by it. On the other hand, Max Weber's conception of 'ideal types' is that these are constructed by man by consideration of actual realities, therefore, these are changeable and non-eternal. The ideal types are subject to modification in response to changes in social realities. According to Weber ideal types are mere constructs or instrumentalities to study 'social action' scientifically and thus they have no reality in themselves.

Kinds of Ideal Types

1. According to the level of abstraction Weber developed the following three kinds of ideal types: ideal types of historical particulars which refer to specific historical realities such as 'Western city', 'protestant ethic', or 'modern capitalism':
2. Ideal types which refer to abstract elements of the historical reality that are observable in a variety of historical and cultural contexts, such as 'bureaucracy' or 'feudalism';
3. Ideal types "that constitute rationalizing reconstruction of a particular kind of behaviour."

All propositions in economic theory may be said to fall in this, category since they "are merely ideal-typical reconstructions of the ways men would behave if they were pure economic subjects."

Explaining the nature of Weber's concept of ideal type Francis Abraham and John Henry Morgan have written, "The ideal type concept grew out of a creative convergence of two of Weber's other key concepts, viz., verstehen and causal explanation." The ideal type is

not, contrary to what German metaphysicians would have liked it to be, a purely classificatory concept rather than an ideal classification, for the former concept is reached by “abstraction from a wide range of phenomena with differing individual characteristics” where as the latter is intended “to illuminate what is peculiar to a given cultural phenomenon.” Thus, ideal type provides a milieu of precise language and procedure in the analysis of specific behavior. It helps in the formulation of theoretical explanation of behavior. In the end, it is fundamentally “a model of what an agent would do if he were to act completely rationally according to the criteria of rationality involved in his behavior’s sense.”

1.5.5.1 Methodology of Social Sciences

Sociological Method

About the sociological method of Weber, Francis Abraham and John Henery Morgan point out, “With the use of this methodology, Weber managed to weave himself creatively through the Scylla of positivism (natural and social sciences are essentially the same) and the Charybdis of historicism i.e., the realms of “kultur und geist” (culture and history) are beyond the sciences due to the diversity and unidentifiable factors affecting human action. Weber struggled to vindicate his science (proceeding from abstraction and generalization) while demonstrating an effective analysis of observable behavior from within the meaning-motivations of the action.” According to Weber, sociology holds in productive and creative balance “the value-bound problem choices of the investigator and the value-neutral methods of social research.”

Types of Social Relationships

Weber believes that the social scientists can understand meaningful social relationships. Social relationship means the patterned human interaction which is intentional, meaningful and symbolic. Weber identifies six types of social relationships. He calls them “modes of orientation of social action,” “patterns of human behavior attributable to the recognition of normative expectation.” Larson has defined the six types of social relationships identified by Max Weber, as follows:

Usage described behavior performed simply to conform to a style or pattern example social etiquette; 2. Custom described habitual practices with roots in antiquity; 3. Rational Orientation designated that variety of social action which is the consequence of actors orienting themselves to one another on the basis of “similar ulterior expectations,” example mutual self-interest; 4. Fashion described social action which is the result of adherence to contemporary fad; 5. Convention designated that type of social action performed in recognition of strong moral obligation in the manner of Sumner’s mores’, and 6. Law described that type of social action performed in recognition of codified expectation and restrictions.”

Sympathetic Introspection

In order to understand meaningful social relationships the sociologists should develop sympathetic introspection. According to Weber, “For the verifiable accuracy of interpretation of the meaning of a phenomenon, it is a great help be able to put one’s self imaginatively in his experience.” Thus, if the sociologist is to “interpretively grasp” the ‘meaning’ of human behavior, he must come to grips with the causal motivation behind the action itself. “A motive,” explains Simpson, in this context is thought by Weber to be “a complex of subject meaning which seems to the actor himself or to the observer an adequate ground for the conduct in question.”

In contrast to Durkheim, Weber insisted that the sociological method cannot be objective analysis. “Nothing”, explains Aron, “is more alien to Weber’s way of thinking than the image so dear to Auguste Comte of a science which possesses the essential and has set up a closed and definitive system of fundamental laws.” According to the organic school, particularly in the fields of history and culture, knowledge is socio-historical, Weber was super sensitive about the variations of individual behavior in identical situation. The individual chooses

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to respond to the challenge of identifying rational or emotional factor in a given set of circumstances. "Any regularity in inter-human conduct," Martindale reminds us, "represent no more than the stabilization of behavior in terms of rationality, ethical fixity, emotionality of habit." "To speak in the manner of Max Weber," says Aron, "history and sociology could only be complete if human evolution were at an end. Humanity would have lost all creative capacity for the science of human achievement to be definitive," Weber hoped to demonstrate the scientific capabilities of sociology. He adhered to the multi-verification axiom of the physical sciences. He attempted to demonstrate that history can be termed as a rational science based on repetitive verification and confirmation. According to him, historical and sociological statements can describe facts concerning human behavior in terms of the meaning assigned to it by the actions themselves. "Weber's ambition," Aron explains, "was to understand how individuals have lived in different societies as a result of different beliefs."

1.6 SOCIOLOGY AND ITS RELATIONSHIP WITH OTHER SOCIAL SCIENCES

Different Social Sciences

A Glimpse As it has already been said earlier social sciences refer to a related group of disciplines that study various aspects of human behavior. The main social sciences are sociology, economics, political science, anthropology and psychology. History is also included in this category. Human behavior, of course, does not come in such neat compartments. In reality the boundaries between the social sciences are very vague and constantly shifting. Each one of these sciences has different historical origins and each science is trying to preserve its distinctness. In spite of the specialization found among the social sciences, they are interrelated and interdependent. Nobody could possibly be an expert in all of them. Because, social scientists are aware that their sciences overlap. This awareness has been responsible for the development of what is known as an "interdisciplinary approach". This approach stresses the idea that each science is necessarily related to, and sometimes dependent on the other. This approach gives them a free hand to "invade" each other's territory whenever it seems useful to do so.

Economics

Economics studies the production, distribution and consumption of goods and services. Wealth constitutes the central problem of economics. It studies man as a wealth-getter and wealth-disposer. Economics is in many ways the most advanced of the social sciences. Its subject-matter is often more easily measured than that of the other disciplines. But the economy is also a part of society goods and services do not produce, distribute and consume themselves. The economic processes depend upon Society. The social aspects of economic life are the subject matter of "Sociology of economics", one of the major branches of Sociology.

Political Science

Political science is the science of state and government. Traditionally it has focused on two main areas, Political philosophy and actual forms of government. Political science has close links with Sociology. In the recent years political science has been very strongly influenced by one of the branches of Sociology, known as "political Sociology". Political Sociology analyses political behavior and studies the social interaction involved in the process of government. The interests of political scientists and political sociologists have been gradually converging and in many instances they now overlap.

Anthropology

Anthropology is a science of man and his works. Sociology and anthropology are "twin sisters". Both are mutually helpful and supportive. Anthropology has two main branches:

- (i) Physical anthropology and
- (ii) Cultural anthropology, Physical anthropology deals with human evolution and studies the physical characteristics of man.

Cultural anthropology deals with the cultural evolution. It studies the ways of life of different communities, particularly, the primitive ones.

Anthropology differs from Sociology in that it usually focuses on the simple, small-scale, primitive societies. Anthropology studies the society as “whole”. Sociology concentrates more on group processes within larger modern complex societies.

Psychology

Psychology is the science of human behavior. This science, more than any other social science, focuses on the individual. Psychology shares one major field of interest with Sociology, namely social psychology. Social psychology is the science of the behavior of the individual in society. It studies the way in which personality and behavior are influenced by the social context.

History

History according to some belongs more to the category of humanities than to the group of social sciences. But for all practical purpose it is also treated as one among the social sciences. History is a systematic record of human past. “It is the story of the experience of mankind”. History is a storehouse of records, a treasury of knowledge. It supplies useful information and facts to the social sciences including Sociology. Sociology is also useful to history for it provides the social background for the study of history.

7 Sociology

Sociology joined the family of social sciences relatively at a later stage i.e. in the 19th century, for it had no independent existence before.

In fact, Sociology began to emerge as an independent and separate discipline only around the middle of the 19th century. It took almost fifty years before the subject began to assume scientific character that it has today. Prior to the middle of the 18th century, the study of society was dominated by social philosophers rather than by social scientists. These philosophers were less concerned about what society actually is like, than what the thought it ought to be like. But in a relatively short period this emphasis was completely reversed. Hence study of society became more scientific than philosophical.

12 1.6.1 Sociology and its relationship with other Social Sciences

30 We have seen that different social sciences study different aspects of society. Now we will try to understand the relationship between Sociology and other social sciences.

Sociology and Anthropology

1 Anthropology is the study of man. It is divided into several branches known as Physical Anthropology and Cultural Anthropology. Cultural Anthropology in turn has subdivision, namely, social, social anthropology, archaeology, ethnography, ethnology and linguistics. Anthropologists conduct field studies in tribal societies and in the urban settings of modern societies. They are concerned with all varieties of people, through out the world, beginning with the earliest human who lived over a million years ago and study the development of man until the present.

The study of social organization known as ‘Social Anthropology’ is closely related to Sociology. Social Anthropology is primarily concerned with tribal communities which are also called ‘non-literate societies’ where writing is absent.

Tribal people live in hilly and forest areas with a social organization of their own, marked by simple economy and division of labour between men and women. The population size of the community depends on the level of subsistence and, the type of technology. They are mostly hunting and food gathering people and have also formed agricultural societies which use simple technology. Both monogamy and polygamy are practiced in tribal societies. The family is essentially an economic unit. Members of the society are bound by social relationships based on kinship ties. Ghosts and spirits are worshipped and religion is based on belief

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in the supernatural. These are the characteristics of a tribal society. This is the way in which the tribal people are organized in societies. Thus social anthropology is “the study of social organization and relationship”.

Methodology, anthropologists look at those societies as functioning entities. They collect data either through participant or non-participant observation. Participant observation is most widely used by anthropologists to collect information. This tries to study their art, literature, material possessions and culture. These societies have been observed and considered objectively because the anthropologist is not interested in making value judgement.

However, in recent times social anthropologists have begun to study non-tribal societies also. For instance, many Indian anthropologists study Indian villages, its caste system, religion and kinship groups. This shows that both anthropologists and sociologists may be engaged in the study of the same object.

Sociology usually is interested in studying societies which are complex rather than simple, i.e., societies whose members can read and write. Since these societies are complex, the sociologists do not study their economy, religion, language and literature, but rather their social organization and social structures within which the aforesaid phenomena occur.

In the past few decades, tribal societies have also been experiencing changes which have also been studied by sociologists. The tribal societies have begun to change under the influence of western ideas and modern technology. The organisation of these societies has begun to develop when affected by social and political movements. This has involved the social anthropologist in the study of same kind of problem studied by the sociologist in advanced societies. Hence, primitive societies are no longer the main concern of the anthropologist. Today modern societies have become the focus of their study. India is a good example where societies are neither primitive nor industrially advanced. Sociological research can be carried on by sociologists and anthropologists on subjects like the caste system, village communities or the impact in industrialization on society, by narrowing the differences between Sociology and anthropology. Anthropology has been recently focusing on social problems and administration. It may become a branch of Sociology, specializing in the study of values or the small community in the general sense.

1.6.2 Sociology and Psychology

Psychology is defined as the science of behavior which is primarily concerned with the individual. It is interested in studying his intelligence, thinking, learning, remembering, motivation, and decision-making. In other words, psychology deals with the mental processes of the individual, his motivations and his memory, his nervous system, his emotional response, his hopes, fears and the order and the disorder of his mind.

“Psychology regards itself as the science of behavior”. “Rather than studying the society or groups Psychology studies the person”. Psychology lays stress on laboratory experiments and clinical procedures more than any other social science. This discipline is closely related to biology, which is the general science of life, and studies the adjustment of organism in space and time through the evolution of mind. Some facts derived from biology help to explain certain universal features of the human family. As we have noted, psychology deals with the fundamental patterns of behavior which have a close connection with the individual's participation in social relationship. For example, the psychologist attempts to explain the phenomenon of delinquency in terms of the characteristics of individual personalities that motivate the individual to act in deviant ways. The sociologist studies the same phenomenon by examining the social environment in which the individual lives, and studies such social determinants as living in slum areas, low income, low level of education, cultures and the low status of the delinquent with indecent behavior who is frequently involved in peer group activity.

Social psychology serves as a bridge between psychology and Sociology. It is primarily interested in the individual the way in which he/she behaves in social group, or collectively

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with other individuals. The social psychologist's main interest is in the study of social and cultural influences to which the individual is exposed in the formation of his personality. Thus, social psychology takes the group as given, and considers how the individual becomes a member of the group and how he is affected by it. For example, juvenile delinquency exhibits a specific pattern of behavior. A minor who breaks a rule or behaves offensively is called a delinquent. The psychologist attempts to study the causes of delinquent behavior. He studies the groups and the social environment to which the delinquent is exposed. There is thus a close relationship between social psychology and Sociology, since "socialization" being based on the work of social psychologists the sociologists have discussed and analyzed basic concepts like "self" and "personality". It is in terms of the self that the personality is determined at an early stage, giving rise to basic patterns of feelings about the world around him. This is how him, the individual comes to view the social environment in terms of hostility, trust worthiness, love fear and suspicion.

Sociology, on the other hand, has no primary interest in the individual, in his personality, in his behavior concerns itself with the nature of the groups to which individuals belong and the nature of the societies in which they live. In fact the sociologist studies the development of self as the product of social interaction. i.e., he is mainly concerned with the social forms and structures within which behavior takes place. Hence, social psychology is that part of psychology which deals with the psychological aspects of social life. In fact psychology involves the study of social phenomena, since all psychic phenomena occur in social context which affects the individuals to some extent.

From a sociological perspective, social psychology is concerned with the study of social processes which take into account the personality, behavior of particular persons acting in certain situations. This determines social processes. For example, Americans with rigid and intolerant personalities were not in favor of a foreign policy which strengthened relationships between the U.S. and other countries in contrast to other Americans.

Social psychologists attempt to explain the behavior and motivation of men and women in various types of societies by tracing their interrelations with their societies. Likewise, the sociologists are also interested in studying the interrelations and the interactions of individuals in group situations.

It becomes difficult to distinguish these two fields when both sociologists and psychologists are engaged in the same kind of research. Indeed, some social psychologists are trained in the Departments of Sociology and others in charge of psychology engaged in the same kind of research.

1.6.3 Sociology and Political Science

The oldest of Social Sciences is Political Science. Politics is the process by which individuals and groups acquire power and exercise it over others. Political science deals with the operations of the Government and Politics. It investigates the way in which men govern themselves, or are governed and tries to explain the working of governments. It studies those groups which are directly involved in the formal structure of government. Students of political science study the systems of government and the way those systems function. Political Science deals with the functions of governmental agencies, or in a broader sense, the exercise of power. For instance, the Board of Directors decides to increase the salaries of the employees. This is a case of the direct involvement of formal groups in the exercise of power. It studies such topics as exercise of authority by the Head of the State and the voting behavior of the ordinary citizen. Its main concern is with the question of making government more efficient.

Political Science regards the State as the primary institution through which political power is exercised and regulated. It tries to reconcile conflicting interests in society and achieve collective goals. Political Science tries to study the State in terms of Constitutional

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provisions, i.e., how it is created and shaped “behind the Constitution.” “The State behind the Constitution”, or “nation” as we should otherwise call it, refers to a group of people speaking a common language, having fundamental principles of behavior that are considered necessary for social order and residing within a territory, separated by boundaries from other territories. Such is the “State behind the Constitution.” It provides a basis for establishing a political organization. It is the womb of Constitutions and of revolutions. For instance, a revolution breaks out from a particular set of social conditions. There is a strong awareness of inequalities among people who struggle for a change in the leadership and political institutions of society. Poverty or powerlessness alone does not cause revolutions which take place only when people believe that the situation can be changed. So a revolution is not carried out by a small group of radicals but is the collective action of a large mass of people. This is how society could be regarded as the womb of Constitutions and revolutions rather than the State. The study of its origin and evolution is the concern of sociology. For example, the functions of the State are closely allied to those of religion, economy, education and art. At one time a single person regulates and carries out most of the activities of all the constitutions. He is not only head of the family or clan, but also the religious and cultural leader and chief educator. Political science, too, deals with the facts of human nature. It describes the motivations of the social mind and studies its action. For example, people’s behavior is related to their attitudes to political affairs depending on their positions in social structures. For instance, there is a higher rate of voter participation among men than among women. For this reason political scientists make use of methods and approaches of sociology.

Further, what is political is deeply rooted in the social framework. Political grouping is in no way different from the linguistic, cultural, religious and economic groupings of population. In other words, the political organization is only a part of the social organization conforming to the sentiments, values and norms of its members. Moreover, the factors influencing political participation are so similar to those affecting social participation in general. So political involvement is simply one form of social participation.

The functioning of the Government becomes the expression of a collective need. Thus the enforcement of law is not the will of an individual but the will of the people belonging to various sections, classes and the nation itself. Political science confines itself largely to the study of power expressed in formal organizations. It focuses on the political processes within the Government, studying the interaction which occurs as people attempt to maintain order in their societies.

Political Sociology shares with political science in many interests. Political sociologists are more interested in studying political behavior as an element in social system rather than the formal aspects of political systems. For instance, political sociologists have noted that people from low income groups and minority groups participate less in the electoral voting. They would like to find out why people join political movements or support political issues and what relationship is there between political and other institutions. Sociologists study the Government in relation to other institutions and to the larger society. Thus, political science and sociology have come close to each other in respect of their methods, subject matter, and concepts and it is difficult to separate them.

1.6.4 Sociology and Economics

Economics deals with the ways in which man makes his living, while using the production, distribution and consumption of wealth. In every society people organize their efforts in one way or other to satisfy their wants. Human wants are unlimited and in relation to them, resources are always scarce and people are required to find ways and means of adjusting these limited resources to an unlimited variety of wants. It is the economist who has to deal with these basic problems. The economist considers them from the standpoint of production and consumption, distribution and exchange of economic goods. He tries to study the relation of people to the production and distribution of goods and services.

Economics studies the interrelation of economic variables such as the effect of supply and demand on prices, the ratio of savings to investment and the speed with which money changes hands. These are the sole concerns of economics and do not figure in other disciplines. Economists have not paid much attention to the individual's economic behavior or motivation, that is to the analyzing the way people have solved problems of economizing or the means of consumption and the persons and groups who are to be the consumers. Only a little attention has been paid to the studying of business enterprises are social organizations. Economists have not shown much interest in the study of the economic structures like the organization of industry, division of labor, the structure of enterprises and so on. Economic sociology, on the other hand, is almost entirely concerned with problems of economic structure. One of the best works of Durkheim is his study of "Division of Labor." He analyzed the social functions of division of labor and attempted a comparative study of modern societies and primitive societies and concluded that what distinguished the two types of social solidarity is represented by them is division of labor. Mechanical solidarity is what is found in a primitive society marked by a simple division of labor between young and old, men and women. Organic solidarity is what marks a modern society, characterized by complex division of labor. He had discussed specialization of labor in advanced societies which has the effect of keeping the members away from one another, and weakening solidarity among them.

Karl Marx regarded stratification as a divisive rather than an integrative system. He has made a distinction between capitalists and industrial workers. According to Marx the economic structures are central to the determining of everything else including all institutions such as law and education and all other cultural and political relationships of society, besides the economic ones. Social relationships are a part of the economic structure appearing in the form of social classes. It is through social classes that the economic structure gives rise to all other institutions

There are sociological works concerned, with the general features of the economic system, and sociologists have studied these aspects of economic behavior which have been neglected. In addition to these general studies in economic systems, sociologists have contributed to the study of economic organization especially property systems, division of labor, occupation and industrial organization.

Closely related to Sociology since its birth. Economics has, in recent years, undergone changes which have brought them closer to each other than ever before. The shifting of market economy to national has necessitated the study of the social factors influencing economic growth. This has been emphasized in several recent works on the problems of economic development in under developed regions, where the economist has to work with the sociologist or to become a sociologist himself.

Most of the modern sociologists find the economist's way of thinking more appropriate than that of the historian or the political theorist. Both the economists and sociologists study phenomena in terms of system and subsystems, emphasizing the relation between parts, especially patterns of dependence and exchange. Both are interested in precise measurement of the relation between sets of variables. Both make use of mathematical models for analyzing data. Thus Economics and Sociology are found to be intimately related.

1.7 SUMMARY

France the birth place of Sociology 19th century is very important from the point of view of the birth, growth and development of various branches of social sciences and social thought. The credit for all this goes to concept of the man as a social being or the day, it was accepted that, "Man is a social animal", several philosophers and social thinkers started thinking in that direction and as a result of this new branches of knowledge saw their birth and development.

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Auguste Comte laid the foundation of sociology and he was the first to use the term “Sociology” for his research and study. While defining Sociology, Auguste Comte has said that, “Sociology combines other social sciences in one thread and also determines their mutual relationship.” ‘Sociology’ which had once been treated as social philosophy, or the philosophy of the history, emerged as an independent social science in 19th century. Auguste Comte, a Frenchman, is traditionally considered to be the father of sociology. Comte is accredited with the coining of the term sociology (in 1839). “Sociology” is composed of two word: socius, meaning companion or associate; and ‘logos’, meaning science or study.

The etymological meaning of “sociology” is thus the science of society. John Stuart Mill, another social thinker and philosopher of the 19th century, the word ethology for this new science. Herbert Spencer developed his systematic study of society and adopted the word “sociology” in his works. With the contributions of Spencer and others it (sociology) became the permanent name of the new science. As it has already been said earlier social sciences refer to a related group of disciplines that study various aspects of human behaviour.

1.10 REVIEW QUESTIONS

1. Define Socialism
2. Explain Nature and scope of Socialism.
3. Write in short founding fathers and their contributions:
 - a. Auguste Comte
 - b. Herbert Spencer
 - c. Karl Marx
 - d. Emile Durkheim
 - e. Max Weber
4. Explain importance of sociology
5. What is the relationship between Sociology and other social sciences
6. Role of Sociology in India.

Unit 2

HUMAN SOCIETY AND CULTURE

Structure

2.0 Aims and Objectives

2.1 Introduction

2.2 Human Society

2.2.1 Definitions of Human Society.

2.2.2 Nature of Human Society

2.2.3 Characteristics of Human Society

2.2.4 Functions of Human Society

2.3 Individual and Society

2.3.1 Social Contract Theory

2.3.2 The Organismic Theory of Society

2.3.3 Group Mind Theory

2.3.4 The Relationship between Individual and Society

2.4 Socialization

2.4.1 Meaning and Definitions of Socialization

2.4.2 Factors of The Process of Socialization

2.5 Culture

2.5.1 Definition of Culture

2.5.2 Characteristics of Culture

2.5.3 Culture Contents

2.5.4 Functions of Culture

2.5.5 Elements of Culture

2.6 Personality

2.6.1 The Meaning and Definition of Personality

2.6.2 Determinations of Personality

2.7 Summary

2.8 Review Questions

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2.0 AIMS AND OBJECTIVES

At the end of this unit, you will be able to understand:

- Explain Human Society and its functions.
- Discuss Social Contract Theory.
- Delineate Socialization and its Agencies.
- Define Personality and its determinants.

2.1 INTRODUCTION

Every normal human being lives in a society. Nowhere does a person habitually live in isolation. Aristotle, long ago, remarked that he who does not need society is either a beast or God. He insisted that man is by nature a social animal. Every thing that the individual thinks, says and does from the time of birth until the time of death is influenced by societal organization and operation. Human society is a web of social relationship among human being who are its members. Some of these relationships are simple and some complex, some are relatively permanent and some temporary. An understanding of these social relationships leads to the understanding of human society.

It is to be noted that each society has its own structure, organization and functions. A structure denotes a fixed relationship between the elements or parts which make up a whole. A social structure is likewise made up of elements or component units which are related to each other in a definite way. These structural elements of human society are: norms, status, roles, values, power, authority, groups, communities and institutions. The structure or the various parts of the structure are developed to accomplish certain ends, to meet certain needs or wants or to serve certain functions to the members of the society. These are in other words understood as the functions of the social structure. In this unit you will come to know more about some of the structural elements of human society.

This unit deals with the nature of social interaction which is a dynamic element of human Society. Social contact and communication are the two prerequisites of social interaction. In this unit we will examine the social environment in which the different levels of social interaction takes place and show how social interaction is essentially a symbolic process carried on by socialized human beings as members of the society.

2.2 HUMAN SOCIETY

The term 'Society' is the most fundamental one in Sociology. But still it is one of the most vague and general concepts in the sociologist's vocabulary. We speak of the Co-operative Society, The Agricultural Society, The Friendly Society, The Society of Jesus, The Theosophical Society, etc. In these examples, "Society" means no more than an association. Sometimes, we may say, 'I enjoy his society' here indicate company or fellowship. The term society is also used to mean an urban society, or a rural society, a modern industrial society or a primitive society, an open society or a closed society, and so on. Then what do we mean by society?

The term 'society' is derived from the Latin word 'socius', which means companionship or friendship. Companionship means sociability. As George Simmel pointed out, it is this element of sociability which defines the true essence of society. It indicates that man always lives in the company of other people. 'Man is a social animal', said Aristotle centuries ago. Man lives in towns, cities, tribes, villages, but never alone. Loneliness brings him boredom and fear. Man needs society for his living, working and enjoying life. Society has become an essential condition for human life to arise and to continue. Human life and society always go together.

2.2.1 Definitions of Human Society

Morris Ginsberg-“A society is a collection of individuals united by certain relations or mode of behaviour which mark them off from others who do not enter into these relations or who differ from them in behaviour”.

G.D.M. Cole-“Society is the complex of organised associations and institutions with a community”.

Prof. Giddings-“Society is the union itself, the organisation, the sum of formal relations in which associating individuals are bound together”.

Lapierre-“The term society refers not to group of people, but to the complex pattern of the norms of interaction, that arise among and between them”.

MacIver-Society is “a web of social relationship”.

2.2.2 Nature of Human Society

Human Society is dynamic ever changing and ever growing entity. Individuals who are the members of the society may come and go but society is permanent. The study and analysis of the structure and function of human society is the subject which is one of the most essential, fascinating and rewarding activity. We know that society is not a mere mass but is made up of a great number parts composed of groups of human beings, families, social classes, sex, age groups and other purposive organizations. All these parts of society do certain things for their members and for the society as a whole. They satisfy basic material needs through the production and distribution of goods and service and thus contribute to the physical survival and prosperity of human beings. They also make possible the reproduction, protection and socialization of the new members of the society.

The impact of society on individuals is natural and necessary since it moulds them for the improvement of their living. Man, once conditioned by the society can hardly live outside of it and remain for long. Separation of individuals from human association is almost unknown. Isolation ever for brief periods is never experienced by the vast majority. Individual's participation in society is necessary for the development of human Social life is conducive to learning through communications, languages, imitation, personality. We learn, grow and mature through our experience in society, it provides our standards of behaviour through its norms and indicates to us that we must make adjustments acceptable from the social organization that surrounds us. Therefore, societies are the essential milieu in which all persons must live. We recognize our society through its territory, boundaries and the people who live in it, its organization and culture.

2.2.3 Characteristics of Human Society

The basic characteristics of society are as follows:

Society consists of People

Society is composed of people. Without the students and the teachers there can be no college and no university. Similarly, without people there can be no society, no social relationships, and no social life at all.

Mutual Interaction and Mutual Awareness

Social is a group of people in continuous interaction with each other. It refers to the reciprocal contact between two or more persons. It is ‘a process whereby men interpenetrate the minds of each other’. An individual is a member of society so long as he engages in relationship with other members of society. It means that individuals are in continuous interaction with other individuals of society. The limits of society are marked by the limits of social interactions.

Social interaction is made possible because of mutual awareness. Society is understood as a network of social relationships. But not all relations are social relations. Social relationships exist only when the members are aware of each other. Society exists only where social begins ‘behave’ towards one another in ways determined by their recognition of one another.

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Without this awareness there can be no society. A social relationship thus implies mutual awareness.

Society Depends on Likeness

The principle of likeness is essential for society. It exists among those who resemble one another in some degree, in body and in mind. Likeness refers to the similarities. People have similarities with regards to their needs, works, aims, ideals, values, outlook towards life, and so on. Just as the 'birds of the same feather flock together', men belonging to the same species called 'Homo sapiens', have many things in common.

Society, hence, rests on what F.H. Giddings calls consciousness of kind. "Comradeship, intimacy, association of any kind or degree would be impossible without some understanding of each by the other and that understanding depends on the likeness which each apprehends in the other". Society in brief, exists among like beings and likeminded.

Society Rests on Difference Too

Society also implies difference. A society based entirely on likeness and uniformities is bound to be loose in socialities. If men are exactly alike, their social relationships would be very much limited. There would be little give-and-take, little reciprocity. They would contribute very little to one another. More than that, life becomes boring, monotonous and uninteresting, if differences are not there.

Hence, we find difference in society. Family for example, rests on the biological difference between the sexes. People differ from one another in their looks, personality, talent, attitude, interest, taste, intelligence, faith and so on. People pursue different activities because of these differences. Thus we find farmers, labourers, teachers, soldiers, businessmen, bankers, engineers, doctors, advocates, writers, artists, scientists, musicians, actors, politicians, bureaucrats and other working in different capacities, in different fields in society. However, difference alone cannot create society. It is subordinate to likeness.

Co-operation and Division of Labour

Primarily likeness and secondarily difference create the division of labour. Division of labour involves the assignment to each unit or group a specific share of a common task. For example, the common task of producing cotton clothes is shared by a number of people like the farmers who grow cotton, the spinners, and weavers, the dyers, and the merchants. Similarly, at home work is divided and shared by the father, mother and children. Division of labour leads to specialisation. Division of labour and specialisation are the hallmarks of modern complex society.

Division of labour is possible because of co-operation. Society is based on co-operation. It is the very basis of our social life. As C.H. Cooley says, 'co-operation arises when men realise that they have common interests'. It refers to the mutual working together for the attainment of a common goal. Men satisfy many of their desires and fulfill interests through joint efforts. People may have direct or indirect co-operation among them. Thus co-operation and division of labour have made possible social solidarity or social cohesion.

Society Implies Interdependence Also

Social relationships are characterised by interdependence. Family, the most basic group, for example, is based upon the interdependence of man and woman. One depends upon the other for the satisfaction of one's needs. As society advances, the area of interdependence also grows. Today, not only individuals are interdependent upon one another, but even, communities, social groups, societies and nations are also interdependent.

Society is Dynamic

Society is not static, it is dynamic. Change is ever present in society. Changeability is an inherent quality of human society. No society can ever remain constant for any length of time. Society is like water in a stream or river that for ever flows. It is always in flux. Old

men die and new ones are born. New associations and institutions and groups may come into being and old ones may die a natural death. The existing ones may undergo changes to suit the demands of time or they may give birth to the new ones. Changes may take place slowly and gradually or suddenly and abruptly.

Social Control

Society has its own ways and means of controlling the behaviour of its members. Co-operation, no doubt exists in society. But, side by side, competitions, conflicts, tensions, revolts, rebellions and suppressions are also there. They appear and re-appear off and on. Clash of economic or political or religious interests is not uncommon. Let to themselves, they may damage the very fabric of society. They are to be controlled. The behaviour or the activities of people are to be regulated. Society has various formal as well as informal means of social control. It means, society has customs, traditions, conventions and folkways, mores, manners, etiquettes and the informal means of social control. Also it has law, legislation, constitution, police, court, army and other formal means of social control to regulate the behaviour of its members.

Culture

Each society is distinct from the order. Every society is unique because it has its own way of life, called culture. Culture refers to, as Linton says, the social heritage of man. It includes the whole range of our life. It includes our attitudes, judgements, morals, values, beliefs, ideas, ideologies and our institutions political, legal, economic, our sciences and philosophies. Culture is the expression of human nature in our ways of living and thinking, in behaving, and acting as members of society.

Culture and society go together. What distinguishes one society from the other is culture. Culture is a thing which only human beings possess. It is not found at the level of animals. Culture is not society, but an element of society. As Gillin and Gillin say, "Culture is the cement binding together into a society its component individuals, human society is people interacting culture is the patterning of their behaviour".

There is yet another attribute on which society depends. It is the gregarious nature of man. Aristotle said that "man is a social animal". Psychologists like McDougall, say that man is social because of the basic human instinct called the gregarious instinct. Gregariousness refers to the tendency of man to live in group. Man always lives amidst men. He cannot live without it. This internal nature of man has forced him to establish social groups and societies and to live in them.

Human life and society almost go together. Man is born in society and bred up in society, nourished and nurtured in society. From childhood to adolescence, from adolescence to youth, from youth to maturity, from maturity to old age, from old age up to death, man lives in society. He depends on society for protection and comfort, for nurture and education. Participation in society is necessary for the development of personality. Various cases show that man can become man only among men.

Society makes our life livable. It is the nurse of youth, the arena of manhood and womanhood. Society is, therefore, as MacIver puts it, more than our environment. It is within us as well as around us. Society not only liberates the activities of men, but it limits their activities also. It controls their behaviour in countless ways.

It shapes our attributes, our beliefs, our morals and our ideals. Emotional development, intellectual maturity, satisfaction of physical needs and material comforts are unthinkable without society. Society is a part of our mental equipment and we are a part of society. It stimulates the growth of our personality. It liberates and controls our talents and capacities.

2.2.4 Functions of Human Society

The following are the functions of human society.

Satisfaction of Physical Needs

Human society should not only meet the basic requirements of the individual members like food, clothing and shelter, but also protect them from disease, internal dangers and external

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aggressions. This would also include the special physical care required by the young as well as the ways and means by which the aged and the ill can be brought back to normal functioning. The very minimum conditions are, of course, determined by the physiological requirements to each human organism in relation to its external physical environment.

Continuous Replacement of Members

Obviously, an ongoing human society must replace its members. Sometimes new members are obtained from other societies through voluntary immigration or sometimes even through conquest. But no new society would rely primarily on such recruitment. The primary reliance has always been on the biological reproduction of its own members. In the long run, no society could continue without such reproduction.

Provision of Adequated Means of Communication

Another important functional prerequisite of an ongoing human society is to provide readymade and adequate facilities of communication for its members. The daily social life and coordination of the social system would breakdown without proper communication and transportation facilities. Symbolic communication is simply a basic need for human being and therefore should establish communication network at mass level.

Maintenance and Continuation of the Social System

While the social order of an animal society is genetically perpetuated, the situation is utterly different in the case of human beings. The child comes into the world with the inherited capacities for acquiring the general ways of any society. Within the limits of his own inherited endowment, he can acquire any kind of behaviour pattern manifested by humans anywhere, anytime. The continuation of human social system, therefore, is not guaranteed by any hereditary predispositions to set behaviour patterns. It is dependent entirely upon learning. Moreover, in addition to learning the normative ways, humans must be motivated to behave according to these ways. All this can be achieved, maintained and continued through an ongoing process of socialization of the new members. The problem of continuing the social system of a human society through learning obviously cannot be solved without seeing to it that the newly arrived young members learn the ways of the society. All the experiences involved in this learning we call socialization and socializing the new members, is, hence, an important function of human society.

However, for the social order to be continued, more than, socialization of the young is required. Departure from normative behaviour is not only a constant possibility at any stage, but it is also an ever present tendency. Social control is the term Sociologists apply to all the ways and means by which any society achieves and maintains a normative social system. The chief reliance for social control is, of course, upon the internalization of the society's norms. But because norms are learned patterns of behaviour, they require constant reinforcement to maintain the learning. Further more, in the face of changing conditions, new norms are evolved and these must also be internalized and reinforced.

2.3 INDIVIDUAL AND SOCIETY

Man is a social animal. He lives in social groups, in communities and in society. Human life and society almost go together. Man cannot live as man, without society. Solitary life is unbearable to him. Man is biologically and psychologically equipped to live in groups, in society. Society has become an essential condition for human life to arise and to continue. Society is more than our environment. It is within us as well as around us.

There is a vast literature on the questions such as the nature or the essence of man's social life, its origin and sources. It is essential to study the deepest relations that exist between the individual and society. It is equally significant to know the nature of man's motives or impulses towards society.

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It was Aristotle who said long back that man is a social animal. This proposition gives room to the central problem of sociology i.e., the sociability or the sociality of man. The essential fact is that man always belongs to a society or a group of one kind or the other, and without it, he cannot exist. Several questions of great sociological importance arise in this regard. "In what sense man is a social animal? In what sense do we belong to society? In what sense society belongs to us? What is the nature of our dependence upon it?" These questions take us to a more fundamental question of the relation between the individual and society.

Man Depends on Society

It is a thing of common observation of every one that the individual is living, breathing, working, playing, resting, praying, enjoying, suffering, sometimes sweating, sometimes swearing with millions like him in society. It is in the society that an individual is surrounded and encompassed by culture, a societal force. It is in the society again, that he has to conform to the norms, occupy statuses and become members of groups. Then, what is the role and responsibility of an individual to himself and to his society? Is the individual lost in society, or is it only in society, that he can find himself.

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It is a self-obvious fact that man has not only a capacity for social life but also an intrinsic need of it. Emotional development, intellectual maturity and a certain amount of material goods and comforts for the full exercise of his liberty and progress are unthinkable without society. No human being is known to have normally developed in isolation. A few instances like that of Kasper Hauser, the wolf-children of India called Kamala and her sister, the isolated, illegitimate child Anna and other have fortified the fact that man develops human qualities only in society. He can attain his real nature only in society. The psychological development of the social consciousness of the child is also a confirmation of the natural sociality of the human being. The biological potentiality of becoming social is inherent in the very social nature of man.

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Two Theories Concerning the Nature of Society

The question of the relation between the individual and the society is the starting point of many social investigations. The question of the nature of society is closely connected with the question of the relationship of man and society. There are two main theories regarding the relationships of man and society which have been propounded by several thinkers and writers. They are (i) The Social Contract Theory, and (ii) The Organismic Theory.

2.3.1 Social Contract Theory

The 'social contract theory' throws light on the origin of the society. According to this theory, all men are born free and equal. Individual precedes society. Society came into existence because of an agreement entered into by the individuals. The classical representatives of this school of thought are Thomas Hobbes, John Locke, and J.J. Rousseau. The three of them thought in various ways that before the existence of civil society men lived in a sort of pre-social state, called the state of nature, and in virtue of a contract among themselves, society came into existence. The essence of their argument is as follows:

(a) **Thomas Hobbes** (1588-1679). Thomas Hobbes, an English thinker, was of the opinion that society came into being as a means for the protection of men against the consequences of their own nature. Man in the state of nature was in perpetual conflict with his neighbours on account of his essentially selfish nature. To quote Hobbes, the life of man was "solitary poor, nasty, brutish and short". Every man was an enemy to every other man.

Hobbes in his book "Leviathan" has made it clear that man in the state of nature was not at all social. According to him, man found "nothing but grief in the company of his fellows" all being almost equally "selfish, self seeking, cunning, egoistic, brutal and aggressive". Thus, men in the state of nature were like hungry wolves each ready to pounce on the other with all its ferocity.

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Since the conditions in the state of nature were intolerable and men longed for peace, the people entered into a kind of social contract to ensure for themselves security and certainty of life and property. By mutual agreement they decided to surrender their natural rights into the hands of a few or one with authority to command. The agreement was of each with all and of all with each. The contract was, of course, a social contract and a governmental contract. The contract became binding on the whole community as a perpetual social bond. Thus, in order to protect himself against the evil consequences of his own nature man organised himself in society in order to live in peace with all.

(b) John Locke (1632-1704) John Locke, another English Political Philosopher, believed that man in the state of nature was enjoying an ideal liberty, free from all sorts of rules and regulations. The state of nature was a state of "peace, goodwill, mutual assistance, and preservation". But there was no recognised system of law and justice. Hence his peaceful life was often upset by the "corruption and viciousness of degenerate men". Man was forced to face such an "ill condition".

John Locke, the British writer who supported the cause of limited monarchy in England, maintained in his "On Civil Government" that the "ill condition" in which men were forced to live was "full of fears and continual dangers". In order to escape from this and to gain certainty and security men made a contract to enter into civil society or the state. This contract Locke called 'social contract'. This contract put an end to the state of nature and substituted it by civil society. The social contract was no more than a surrender of certain rights and powers so that man's remaining rights would be protected and preserved. The contract was for limited and specific purposes, and what was given up or surrendered to the whole community and not to a man or to an assembly of men (as Hobbes said). Locke made it clear that the social contract later on contributed to the governmental control. The governmental contract was made by the society when it established a government and selected a ruler to remove the inconveniences of "ill-condition".

(c) Jean Jacques Rousseau (1712-1778). J.J. Rousseau, the French writer of the 18th century, in his famous book "The Social Contract" (1762) wrote that man in the state of nature was a 'noble savage' who led a life of "primitive simplicity and idyllic happiness". He was independent, contented, self-sufficient, healthy, fearless and good. It was only primitive instinct and sympathy which united him with others. He knew neither right nor wrong and was free from all notions of virtue and vice. Man enjoyed a pure, unsophisticated, innocent life of perfect freedom and equality in the state of nature, Rousseau argued. Men were free from the influence of civilisation, and sought their own happiness uncontrolled by social laws social institutions.

But these conditions did not last long. Population increased and reason was dawned. Simplicity and idyllic happiness disappeared. Families were established, institution of property emerged and human equality was ended. Man began to think in terms of 'mine' and 'thine'. Difference between stronger and weaker, rich and poor, arose.

Emergence of Civil Society

When equality and happiness of the early state was lost, war, murder, conflicts, wretchedness, etc., became the order of the day. The escape from this was found in the formation of a civil society. Natural freedom gave place to civil freedom by a social contract. As a result of this contract a multitude of individuals became a collective unity a civil society. Rousseau said that by virtue of this contract "everyone while uniting himself to all, remains as free as before".

General Will

There was only one contract according to Rousseau which was social as well as political. The individual surrendered himself completely and unconditionally to the will of the body of which he became a member. The body so created was a moral and collective body and Rousseau called it the 'general will'. The unique feature of the general will was that it

represented collective good as distinguished from the private interests of its members. The will was 'inalienable and indivisible' according to him.

Criticism

The theory of social contract has been widely criticised. (1) Historically, the theory seems to be a mere fiction. There is nothing in the whole range of history to show that the society has ever been deliberately created as a result of voluntary agreement or contract. Nor can we suppose that man could ever think of entering into a contract with others when he lived under conditions of extreme simplicity, ignorance and even brutality.

Secondly, the theory is far away from the facts. Nothing like the state of nature has ever existed. The most primitive peoples that the anthropologists have described lived in some form of society or the other, however rudimentary or unorganised it may be. It is quite unhistorical to suppose, that such men would resort to a contract.

Thirdly, the advocates of the theory hold that the early individuals entered into the contract for their individual safety and security of property. But history tells us the other way. Early law was more communal than individual, and the unit of society was not the individual but the family. Each man was born into his family, and into his status in society. "Society has moved from status to contract and not from contract to status" as the champions of the theory argued. Contract is not the beginning of society but the end of it, said Sir Henry Maine.

Fourthly, our own common sense tells us that there are always two parties to the contract. There cannot be a one-sided contract, as was conceived by Hobbes (Moreover, every contract lapses after the death of one of the contracting parties).

Fifthly, conception of natural rights and natural liberty, as is said to have existed in the state of nature, is illogical and fallacious. Liberty cannot exist in the state of nature. Law is the condition of liberty. Without restraint liberty is nothing short of licence, and condition of licence is anarchy. Rights, too, arise only in a society. If there is no society we cannot think of rights.

Finally, there can be no rights without a consciousness of common interest on the part of members of a society and common consciousness was conspicuous by its absence in the state of nature.

Finally, there can be no rights without a consciousness of common interest on the part of members of a society and common consciousness was conspicuous by its absence in the state of nature.

2.3.2 The Organismic Theory of Society

This view, at least as ancient as the contract idea, conceives society as a biological system, a greater organism, alike in its structure and its functions. This theory can even be dated back to Plato and Aristotle.

Plato compared society and state to a magnified human being. He divided society into three classes of rulers, the warriors and artisans based upon the three faculties of the human soul, which is wisdom, courage and desire. Aristotle drew a comparison between the symmetry of the state and symmetry of the body and firmly held that the individual is an intrinsic part of society.

The parallelism between an individual organism and social organism has been worked out to the minutest possible extent by Bluntschli and Herbert Spencer during the recent times.

The organic theory considers society as a unity similar to that which characterises a biological organism. The union of individuals forming the society has been described as similar to the union between the several parts of an animal body, wherein all parts are functionally related. Just as the body has a natural unity, so has a social group. The animal body is composed of cells, so is the body has a natural unity, so has a social group. The animal body

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is composed of cells, so is the society composed of individuals, and as is the "relation of the hand to the body or the leaf to the tree, so is the relation of man to society. He exists in it and it in him".

The ancient and medieval writers had merely drawn an analogy between the society and an organism. They held that the society resembled an organism. But the writers of the 19th century regarded the society as an organism. They tried to analyse the structure and function of society in comparison with those of an organism.

Views of Herbert Spencer

The English social philosopher Herbert Spencer has been the chief exponent of this theory. He said that society is an organism and it does not differ in essential principle from the other biological organisms. The attributes of an organism and the society, he maintained, are similar. Both exhibit the same process of development. The animal and social bodies, Spencer affirmed, begin as germs, all similar and simple in structure. As they grow and develop, they become unlike and complex in structure. Their process of development is the same, both moving from similarity and simplicity to dissimilarity and complexity. "As the lowest type of animal is all stomach, respiratory surface, or limb, so primitive society is all warrior, all hunter, all builder, or all tool-maker. As society grows in the complexity, division of labour follows."

In each case there is mutual dependence of parts. Just as the hand depends on the arm and the arm on the body and head, so do the parts of social organism depend on each other. Every organism depends for its life and full performance of its functions on the proper co-ordination and interrelation of the units. As the diseased condition of one organ affects the health and proper functioning of other organs, similarly, individuals who form society are inseparably connected with one another for the realisation of their best self. There is so much dependence of one on the other that the distress of one paralyses the rest of the society. The society and organism, it is pointed out are subject to wear and tear and then replacement. Spencer gives striking structural analogies between society and organism. He says, society, too, has three systems corresponding to the (1) sustaining system, (2) the distributary system, and (3) the regulating system in an organism.

- (1) The sustaining system in an organism consists of mouth, gullet, stomach and intestines. It is by means of this system that food is digested and the whole organic machine is sustained. Society has its own sustaining system which refer to the productive system comprising the manufacturing districts and agricultural areas. The workers, i.e., the men who farm the soil, work the mines and factories and workshops are the alimentary organs of a society.
- (2) The distributary system in an organism consists of the blood vessels, heart, arteries and veins and they carry blood to all parts of the body. Means of communication and transport and along with them the wholesalers, retailers, bankers, railway and steamshipmen and others may correspond to the distributary or vascular system of an organism. Society's Cells are individuals only. And what the arteries and veins mean to the human body, roads, railways, post and telegraph services, institutions and associations, mean to society.
- (3) Finally, the regulating system is the nerve-motor mechanism which regulates the whole body. Government in society regulates and controls the activities of the individuals. The professional men-doctors, lawyers, engineers, rulers, priests, the thinkers, in short, perform the functions of the brain and the nervous system. Further, as Spencer opined society also passes through the organic processes of birth, youth, maturity, old age and death.

Murray sums up the points of resemblance between a society and an individual organism as noted by Spencer in the following ways :-

- (i) Society as well as individual organism grow in size.
- (ii) They grow from comparatively a simple structure to that of an increasingly complex one.

- (iii) Increasing differentiation leads to increasing mutual dependence of the component parts. The life and normal functioning of each becomes dependent on the life of the whole.
- 2 (iv) The life of the whole becomes independent and lasts longer than the life of the component parts.

Spencer hence argued that society is a social organism. Individuals are the limbs of the society and behave as cells of the body whose activity and life are meant for the sake of the whole. Limbs separated from body have no life, and similarly individuals separated from society have no life. The individuals exist in and within society.

Criticism

- 4 (i) The analogy used in the organic theory has, no doubt, a useful purpose to serve as it stresses the unity of society. The society is not a mere aggregation of individuals. It is a social unity. Man cannot lead a life of isolation. Dependent is his very psychology, and individuals depend on one another and on society as a whole. The welfare of each is involved in the welfare of all. Every individual has obligations to himself, to his family, to his neighbours, and to the society of which he is a unit. He cannot be separated from society, just as a hand or a leg, without losing its utility cannot be separated from the body.

- 2 (ii) The analogy used here to compare society with an organism, has its own limitations. Even Spencer was aware of these. He himself noted some of the defects of this analogy such as the following.

- * A society has no specific form comparable to the body of an individual;
- * The units of a society, i.e., individuals are not fixed in their respective positions like those of an individual organism;
- * The units of a society are dispersed persons and are not physically continuous like cells of the individual;
- * Society has no 'common sensorium', no central organ of perception and thought as an individual has.

- (iii) The proposition that society is like an organism is acceptable with some reservation. But the assertion that society is an organism, is rather misleading.

4 At many points the comparison between society and an organism is exceedingly superficial. There is no similarity between the cells of an organism and the individuals who compose society. The cells have no independent life of their own. Each cell is fixed in its place, "having no power of thought or will, and existing solely to support and perpetuate the life of the whole". The individuals, on the other hand, are independent, intellectual and moral human beings. They do not act like a machine. Each has a physical life independent of the whole.

4 It is true that man cannot be the best of himself independently of society, but he can live, if he so wishes, an independent life of his own. This is not possible in an organism.

- 4 (iv) It is true that the society has grown from similarity and simplicity to dissimilarity and complexity. But common-sense tells us that society is not subject to the same process of birth, growth and decay as an organism. An organism comes into existence by the union of two organisms. This is not the method of the birth of society.

4 The process of growth is also not similar. Organisms grow from within and internal adaptation. They grow "unconsciously independent of volition entirely dependent on its environment and the natural laws of the biological world". Society grows largely due to the conscious efforts of the members and it is "to a great extent self-directed".

An organism dies. But society is not liable to death. It is permanent, it endures. "Society does not originate or renew itself as a plant, or as an animal does". The theory is pregnant of dangerous results. Some writers have gone to the extent of justifying the unity of society even at the cost of sacrificing individual interests.

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The relation of man to society and the overemphasis on man's obligation to society, the world witnessed it in Hitler's Germany, Mussolini's Italy, Communist countries like China and Russia repeat the same story. The theory has a little truth in it, but it has been exaggerated.

Limitations of the Theories

Both the theories have their own limitations. No sociologist subscribes to them today. Historically, the social contract theory seems to be a mere fiction. We have no evidence to prove that society came into being due to a deliberate contract or voluntary agreement among the early people. The organismic theory is equally imaginary. Society is like an organism, but is not an organism. Society has no specific form, no fixed organs, no central organ of perception comparable to the body of an organism. This organic analogy is well appreciated, but the theory is almost rejected.

The Inseparable Individual and the Society

The relation or the type of unity between the part and the whole, between the individual and society is not merely a physical unity, or a functional unity, or organic or systematic unity, but it is something more than these. It is sui generis peculiar of its own kind. It is simply social, that is, without the company of his fellowmen, the individual cannot live at all, nor develop his personality.

Still, the individual has a life of his own; his autonomy and character which cannot be fused or confused with the lives of other men. Social values are in the ultimate analysis personal values. Even quality or powers which belong to society as such are realised only in its members, present or future. The life of society has no meaning except as an expression of the lives of individuals.

The truth is that society is not and cannot be an organism; it is like an organism. Society has no body it is an organisation of minds for a common purpose. "Society is the sum of interacting individuals, and this interaction is, what differentiates society from the mere aggregation of individuals". Society is reality of its own kind, itself unique, and different from every other natural object. Society gives us choices, inviting us to accept or decline, and in our selections we become ever more completely what we are.

Man in Society and Society in Man

Everywhere and all the time we are members of groups. The isolated individuals do not exist. The language we speak, the clothes we wear, the food that sustains us, the games we play, the goals we seek, and the ideas we cherish are all derived from our culture. Culture is a societal force. Society surrounds us in our infancy and follows us to our resting place. We depend upon society and its processes not only for our livelihood but for our very lives. "Society not only controls our movements, but shapes our identity, our thought and our emotions. The structures of society become the structures of our own consciousness". Peter L. Berger. Society does not stop at the surface of our skins. Society penetrates us as much as it environs us. Our bondage to society is not simple but complex. Sometimes, indeed, we are crushed into submission. Much more frequently we are entrapped by our own social nature. As Peter L. Berger says, "The walls of our imprisonment were there before we appeared on the scene, but they are ever rebuilt by ourselves. We are betrayed into captivity with our own co-operation".

As Durkheim say society confronts us an objective facticity. It is there something that cannot be denied and that must be reckoned with. Society is external to ourselves. It encompasses our entire life. We are in society, located in specific sectors of the social system. Our wishes are not taken into consideration in this matter of social location. The institutions of society pattern our actions and even shape our expectations. We are located in society not only in space but also in time. Our society is an historical entity that extends beyond the temporary life of any individual. "It was there before we were born and it will be there after we are dead. Our lives are but episodes in its majestic march through time. In sum, society is the walls of our imprisonment in history".

Scope for Individuality

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We need society in order to become persons. But society is no great an engine of which we are merely a mechanical part. It is not a giant organism in which we are only a microscopic cell. Society is unique to itself. 'From it we receive the gift of individuality and in it we express our personality'. Robert Bierstedt. Even in society we are always, in some sense, alone. There is always a part of us that we never share, a thought that is uncommunicated, a dream that stays in its private chamber. For it has also been written that 'the heart knoweth its own bitterness and a stranger intermeddleth not with its joy'.

The same society and the same culture which limit the activities of man also liberate his energies and talents. No culture produces individuals who are like carbon copies. No two individuals are exactly alike. The same culture may produce men of marvellous genius and men of matchless stupidity. The utterly selfish persons and the completely selfless individuals may be found in the same society. Not even the twins are alike. Every individual is unique to himself and his society. Not only every society has a history of its own but every individual too has his own history. Different individuals may react to the same stimuli in different ways because of their individuality. This individuality is the gift of society. But individuals become individuals only in society.

2.3.3 Group Mind Theory

The group-mind or idealist theory is closely related to the organic theory. It has been propounded by a number of thinkers including Plato, Hegel, Bosanquet, Otto Gierke, McDougall, Emerson and Wagner and Wundt. Plato called society a 'mind writ large' and divided it into three classes of philosophers, warriors and artisans based respectively on wisdom, courage and desire. However, this comparison of society with the human mind did not go beyond a metaphor in Plato.

Hegel, the German idealist, holds that society is the embodiment of the Absolute Mind. It represents a phase of the historical world process, Universal Spirit or Absolute Idea. The state, which comprises in itself the essential elements of the preceding stages, namely, the family and the civil society, is the final dialectical evolution of mind and represents its highest embodiment upon earth. The will of state is the perfect manifestation of Absolute Reason. The individual has reality only in so far as he is a member of the state. Apart from it he is merely an abstraction. He derives all the value and significance and ethical status he possesses from its membership. The state is a higher end than the individual because it is the individual himself "objectified and eternalised by the elimination of his merely accidental and ephemeral features and the retention of what is universal in him".

Bosanquet. Hegel was followed by T.H. Green, F.H. Bradley, and B. Bosanquet in England. According to Bosanquet, the state is "the common substance of the minds of all the citizens". State is not merely some millions of men and women residing in a given territory and subject to a common sovereignty, but is a group of mind. The group of minds becomes a group-mind by virtue of the common purpose uniting them. Even though the group-mind cannot exist apart from the minds of the individuals, nevertheless, it is a reality. The group-mind is superior to the minds of the individuals. It is the higher form of psychic life and absorbs the individual mind from which it differs not only in the richness of content but also in kind.

McDougall. The idea of the group-mind found a strong advocate in McDougall. In his book, The Group-Mind, published first in 1920, he writes, "The aggregate of individual units which is a society, has a certain individuality, as a true whole which in great measure determines the nature and the whole of activity of its parts; it is an organic whole. The society has a mental life which is not the mere sum of the mental lives of its units existing as independent units and a complete knowledge of the units, if and in so far as they could be known as isolated units, would not enable us to deduce the nature of the life whole in the way that is

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implied in Spencer's analogies", "Since then the social aggregate has a collective mental life which is not merely the sum of the mental lives of its units, it may be contended that a society not only enjoys a collective mental life but also has a collective mind or, as some prefer to say, a collective soul." McDougall goes on to say, "The structure and organisation of the spirit of the community is in every respect as purely mental of physical as the structure and organisation of the individual mind." In this way, McDougall comes very close to Bosanquet. Both of them suggest that society is not merely a group exhibiting certain traits, characteristics of its members generally but is itself a mind and a reality.

Criticism

The group-mind theory has been subjected to severe criticism by critics like Professors Hobhouse, Laski and MacIver. The society is something more than a mere aggregate of individuals is concerned by these critics but that it has a mind or will of its own distinct from the minds and wills of the individuals, who constitute it is not conceded by them. MacIver says, "If we speak of the mind of a group we have no evidence and therefore, no right to conceive it as anything but the minds of its members thinking or feeling in like ways, making like responses, and being moved by like or common interests." The concept of group mind can be used only in a metaphorical, never in a real sense. The only centres of feeling and of activity are the individual selves. In society these selves are bound together by inter-relationships which they themselves create. When we say that our minds are closely identified in the furtherance of a cause, we only use a metaphor indicating that we are jointly co-operating towards that cause. McDougall's identification of mental system with a mind is not correct. There may be said to exist a group-mind, a social mind, a college mind without being attached, however, any mental act to them. "Mind may communicate with mind, but one never becomes the other". The coordination or even integration which belongs to the mental acts of various individuals is never the co-ordination which belongs to the acts of a single individual.

Therefore, to ascribe a mind to society and to place it by the side of individual mind fails to do justice to the individuality of the social being.

2.3.4 The Relationship between Individual and Society

The theories just presented above, as we have seen, fail to explain adequately the relationship between the individual and society. The Social Contract theory puts undue emphasis upon the individual minimising thereby the values of society which is said to be a mere instrument devised for the satisfaction of certain human needs. The organic and group-mind theories almost entirely discount the role of individual in social life. The relationship between individual and society is not one sided as these theories seem to indicate.

Before we proceed to examine the true relationship between individual and society we may just see in what sense man can be called a social animal. Man can be called a social animal on three bases.

Man is Social by Nature. Firstly, man is a social animal by nature. Man's nature is such that he can not afford to live alone. No human being is known to have normally developed in isolation. MacIver has cited three cases in which infants were isolated from all social relationships to make experiments about man's social nature. The first case was of Kaspar Houser, who from his childhood until his seventeenth year was brought up in woods of Nuremberg. In his case it was found that at the age of seventeen he could hardly walk, had he mind of an infant and could mutter only a few meaningless phrases. In spite of his subsequent education he could never make himself a normal man.

The second case was of two Hindu children who in 1920 were discovered in a wolf den. One of the children died soon after discovery. The other child could walk only on all fours, possessed no language except wolflike growls. She was shy of human beings and afraid of them. It was only after careful and sympathetic training that she could learn some social habits. The third case was of Anna, an illegitimate American child who had been placed in a

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11 room at the age of six months and discovered five years later. On discovery it was found that she could not walk of speak and was indifferent to people around her.

15 These cases prove that human being is social by nature. Human nature develops in man only when he shares with his fellow beings common life. The children cited above had capacity to learn but failed to develop their human traits in the absence of human contacts. The account of the noble savage free from all social restraints living in woods and appeasing his appetite with the fruits are idyllic tales devoid of all historical value. Even the sadhus who have retired from worldly life live in the company of their fellows in the forest. All this tends to show that society is something which fulfils a vital need in man's constitution, it is not something accidentally added to or super-imposed on human nature. Indeed, man is social by nature.

15 Necessity makes a man social. Secondly, man lives in society because necessity compels him to. Many of his needs will remain unsatisfied if he does not have the cooperation of his fellow beings. Every individual is the offspring of a social relationship established between man and woman. The child is brought up under the care of his parents and learns the lessons of citizenship in their company. He is totally dependent for his survival upon the existence of some sort of society. If the newborn baby does not receive protection and attention by the society, he would not survive even a day. There is no authenticated instance of a human infant who has survived on his own or has been brought up by wolves, apes, or any other lower animals. The human infant is so completely helpless that the must be given care by society. We get our needs of food, shelter and clothing fulfilled only by living and cooperating with others.

15 The stories of feral cases cited above prove that people reared among animals away from human beings remain animals in habits. The importance of society for physical and mental development is obvious. No one can become human being unless he lives with human beings. Fear of wild animals makes some seek cooperation of other; the satisfaction of food-hunger, rest-hunger etc. Through exchange or barter may bring some into relation joint action and division of labour may be found necessary for the achievement of some common end which the individual alone may not be able to secure. The need for self-preservation, which is felt by every being, makes a man social. Therefore, it is not due to his nature alone but also due to his necessities that man lives society.

Society determines personality. Lastly, man lives in society for his mental and intellectual development. Society preserves our culture and transmits it to succeeding generations. It both liberates and limits our potentialities as individuals and moulds our attitudes, our beliefs, our morals and ideas. The mind of a man without society, as feral cases show, remains the mind of an infant at the age of adulthood. The cultural heritage directs our personality. Thus society fulfils not only physical needs but also determines our mental equipments.

11 It stands beyond doubt that man is a social animal. Man requires society as a sine qua non condition for his life as a human being. It is not one or a few particular needs or tendencies of man that compel him to live in society but without it his personality cannot come into being.

Although the individual is a product of his society, sometimes more or less serious opposition between him and some aspects of his society may arise. He may have acquired personality which is incompatible with the circumstances in which he finds himself. The man who all his life wants to lead an army into the battle, but never gets the opportunity to do so, is at odds with his society; he experiences some degree of frustration. Opposition between the individual and society may also come from the deterioration of the social system. An individual brought up in political freedom will find the status of slave irksome and repressive. Under compulsion he may play the role but he will resent it and come in conflict with the society producing tensions in him which in time may release themselves in sudden and unprecedented acting.

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On the basis of the above discussion, it may be concluded that individual and society are inter-dependent. The relationship between them is not one-sided, both are essential for the comprehension of either. Neither the individuals belong to society as cells belong to the organism, nor the society is a mere contrivance to satisfy certain human needs. Neither the society itself has a value beyond the service which it renders to its members, nor the individuals can thrive without society. Neither the society is inimical to the development of individuality, nor it exists in its own right. All discussion about the question 'Is the individual prior to the society or is the society prior to the individual', is equivalent to the futile debate over the priority of the hen or egg. The fact is that all human beings have been born into and induced into some sort of society. In the words of MacIver, "No one can really be an absolute individualist, any more than anyone can be an absolute socialist. For the individual and society interact on one another and depend on one another," both are complementary and supplementary to each other.

Explaining the relationship between individual and society MacIver observes. "Society with all the traditions, the institutions the equipment it provides is a great changeful order of social life, arising from the psychical as well as the physical needs of the individual, an order wherein human beings are born and fulfill themselves, with whatever limitations and wherein they transmit to coming generations the requirements of living. We must reject any view of this pattern that sees the relationship between individual and society from merely the one or the other side."

2.4 SOCIALISATION

When the child born he comes into the world as an organism with certain biological needs and impulses. He must be fed, clothed, sheltered and even protected from the natural calamities. However, unlike the animals he does not possess instinct which can guide his infant actions. A new born child is completely dependent upon the social and cultural environment into which he is born. Not only the child dependent for the fulfillment of his biological and physical needs upon his parents, also for his full personal development as a human being.

The mother provides her child with every comfort, especially when she responds to her child with love and pride. These physiological consequences are as essential to the infants survival, as food and physical protection. The child begins to respond to his mothers actions. He begins to take part in the most primary of all human interactions and soon even anticipates his mother's responses. Gradually the child is being prepared for the elaborate communication which later takes the form of complex language. Society thus teaches the infant, "what can he do", "What he must do" and "what he may do".

From the sociological point of view socialization is the process by which culture is transmitted, so that the individual becomes aware of the norms and values of the society into which he is born. From the individual point of view, socialization is the process by which the individual develops human potentialities for personal growth and development. There fore socialization transforms the individual from an organic into a social being so that the person can participate in organised social life.

2.4.1 Meaning and Definitions of Socialization

The human infant comes into the world as biological organism with animal needs. He is gradually moulded into a social being and he learns social ways of acting and feeling. Without this process of moulding, the society could not continue itself, nor could culture exist, nor could the individual become a person. This process of moulding is called 'Socialization'.

Socialization, according to MacIver, is the process by which social beings establish wider and profounder relationships with one another, in which they become more bound up with, and more perceptive of the personality of themselves and of other and build up the complex structure of nearer and wider association.

Kimball Young writes, "Socialization will mean the process of inducting the individual into the social and cultural world of making him a particular member in society and its various groups and inducting him to accept the norms and values of that society. Socialization is definitely a matter of learning and not of biological inheritance. It is through the process of socialization that the new born individual is moulded into a social being and men find their fulfillment within society. Man becomes what he is by socialization.

Bogardus defines socialization as the "process of working together, of developing group responsibility, of being guided by the welfare needs of other".

According to Ogburn, "Socialization is the process by which the individual learns to conform to the norms of the we feeling in associates and their growth in capacity and will to act together". Through the process of socialization the individual becomes a social person and attains personality.

Gillin and Gillin write, "By the term 'socialization' we mean the process by which individual develops into a functioning member of the group according to its standards, conforming to its modes, observing its traditions and adjusting himself to the social situations". Socialization is the process whereby the individual acquires the conventional patterns of human behaviour.

According to Lundberg, socialization consists of the "complex processes of interaction through which the individual learns the habits, skills, beliefs and standards of judgement that are necessary for his effective participation in social group and communities". "Socialization is a learning that enables the learner to perform social roles". According to Green, "Socialization is the process by which the child acquires a cultural content, along with selfhood and personality".

According to Horton and Hunt, "Socialization is the process whereby one internalizes the norms of his groups, so that a distinct "self" emerges, unique to this individual".

H.T. Mazumdar defines socialization as "the process whereby original nature is transformed into human nature and the condition and environment predominantly determined by the society of which he is a member. If he fails to do so, he becomes a social deviant and is brought back into line by the efforts of the group of which he is a member. This process of adjustment may be termed socialization. It is the opposite of individualization. It is a process of the expansion of the self. It develops in him the community feeling.

Socialization may be differentiated from sociality and socialism. Sociality is a quality, socialization is process. Sociality may mean the capacity to mix with others, to enter into relations with them easily and comfortably. Man is a socialized animal, though he may not possess very much sociality in the common sense of the term. In the process of socialization one comes to acquire the quality of sociality.

Socialism is a theory, not a quality or a process. It is a theory of future structure of society. So much vagueness surrounds this word 'socialism' that it is very difficult to define it in exact terms. Every person and party brand themselves as socialist. Very appropriately Joad had compared socialism to a bat which has lost its shape because every one wears it. In a stricter sense socialism is the theory that the means of production, exchange and distribution should be owned and controlled either by the state or by other associations directly responsible to community. Such ownership will result in a more equitable distribution of wealth, security for the people against poverty, disease and ignorance. In any case socialism concerns itself with what ought to be.

Socialization may also be distinguished from 'maturation'. Maturation refers primarily to the physical and chemical processes of development over which man has comparatively little control. It is the growing up and gradual changing of the organism. Socialization is a process of learning through which he acquires the habits and patterned behaviour. It designates all of the social processes and pressures by which the norms and standards of a group or community are inculcated in the beliefs and behaviours of the individual members.

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2.4.2 Factors of The Process of Socialization

Socialization, as said above, is the process of learning group norms, habits and ideals. There are four factors of this process of learning. These are imitation, suggestion, identification and language. A brief description of these four factors is necessary.

(i) Imitation: Imitation is copying by an individual of the actions of another. Mead defines it as “self-conscious assumption of another’s acts or roles”. Thus when the child attempts to walk impressively like his father swinging a stick and wearing spectacles, he is imitating. Imitation may be conscious or unconscious, spontaneous or deliberate, perceptual or ideational. In imitation the person imitating performs exactly the same activity as the one being performed before him.

Imitation is the main factor in the process of socialization of the child. Through it he learns many social behaviour patterns. The child as compared to adult possesses the greatest capacity for imitation. Language and pronunciation are acquired by the child only through imitation. It is because of the tendency to imitate that children are so susceptible to the influence of their parents and friends whose behaviour they imitate indiscriminately.

(ii) Suggestion: According to McDougall, “suggestion is the process of communication resulting in the acceptance with conviction of the communicated proposition in the absence of logically adequate grounds for its acceptance”. Suggestion is the process of communicating information which has no logical or self-evident basis. It is devoid of rational persuasion. It may be conveyed through language, pictures or some similar medium.

Suggestion influences not only behaviour with other but also one’s own private and individual behaviour. In trade, industry, politics, education and every other field people acquainted with psychological facts make use of suggestion to have their ideas and notions accepted by other people and to make the latter behave according to their wishes. Actually, propaganda and advertising are based on the fundamental psychological principles of suggestion.

The suggestibility of the child is greater than that of the adult because in childhood he is devoid of maturity and reason. The suggestibility of an individual decreases with an increase in his maturity and mental level. It may be however necessary to keep in mind that there can be a difference in the suggestibility of children belonging to different societies and also the same society.

There are several external and internal conditions which enhance suggestibility. Thus temperament, intellectual ability ignorance, inhibition, dissociation, emotional excitement and fatigue are some of the internal conditions of suggestibility. Among the external conditions mention may be made of group situation prestige of the suggester and public opinion.

(iii) Identification: In his early age, the child cannot make any distinction between his organism and environment. Most of his actions are random. They are natural reactions of which he is not conscious. As he grows in age, he comes to know of the nature of things which satisfy his needs. Such things become the object of his identification. Thus the toys with which he plays, the picture-book which he enjoys or looking at the mother who feeds him become the objects of his identification. The speed and area of identification increase with the growth in age. Through identification he becomes sociable.

(iv) Language: Language is the medium of social intercourse. It is the means of cultural transmission. At first the child utters some random syllables which have no meaning, but gradually he comes to learn his mother-tongue. We have explained the origin and importance of language in an earlier chapter. Therein it has already been told that language moulds the personality of the individual from infancy.

2.5 CULTURE

‘Culture’ is one of the most important concepts in social science. It is commonly used in Psychology, Political Science and Economics. It is the main concept in Anthropology and a

fundamental one in Sociology. The study of human society immediately and necessarily ideas us to the study of its culture. The study of society or any aspect or any aspect of it becomes incomplete without a proper understanding of the culture of that society. Culture and society go together. They are inseparable.

Culture is a unique possession of man. It is one of the distinguishing traits of human society. Culture does not exist at the sub-human level. Only man is born and brought up in a cultural environment. Other animals live in a natural environment. Every man is born into a society is the same as saying that every man is born into a culture. The dictum Man is a social being can thus be redefined as 'man is a cultural being'. Every man can be regarded as a representative of his culture. Culture is the unique quality of man which separates him from the lower animals.

Culture is a very broad term that includes in itself all our walks of life, our modes of behaviour, our philosophies and ethics, our morals and manners, our customs and traditions, our religious, political, economic and other types of activities. Culture includes all that man has acquired in his individual and social life. In the words of MacIver and Page, culture is "the realm of styles, of values, of emotional attachment, of intellectual adventures". It is the entire 'social heritage' which the individual receives from the group.

The term 'culture' is given a wide variety of meanings and interpretations. Some of them are purely non-sociological if not completely wrong. People often speak of culture as synonymous with education. According, they apply the term 'cultured' to an educated person or group and 'uncultured' to one lacking in or devoid of education. Difference between 'Cultured' and 'Uncultured' may have something to do with personal refinement also. Possession of it indicates that one knows how to conduct himself in all the social situations to which he is likely to be exposed. The man of culture has good manners and good tastes. Further, one may be inclined to believe that a Bachelor of Arts degree possesses 'better' culture than other. In Sociology 'culture' does not mean personal refinement. The sociological meaning of the word is quite different.

Historians use the word 'culture' in yet another way to refer to the so-called 'higher' achievement of group life of a period of history. By 'higher' achievements they mean achievements in art, music, literature, philosophy, religion and science. Thus, a cultural history of India would be an account of historical achievements in these fields. The adjective 'cultural' would differentiate this kind of history from political history, industrial history, military history, etc. Here again, sociologists never use the term culture to mean the so-called 'higher' achievements of group life art, religion, philosophy, etc. They use culture to mean 'all' the achievements of group life. Further, culture and nationality are not necessarily synonymous. But in the modern world the nation state has become the strongest unifying force in social organisation. Social scientists treat modern nations as if they were cultural entities. But in reality people of the same nationality may have dissimilar cultural features too as it is in India.

2.5.1 Definition of Culture

B. Malinowski has defined culture as the 'cumulative creation of man'. He also regards culture as the handiwork of man and the medium through which he achieves his ends.

Graham Wallas, an English Sociologist has defined culture as an accumulation of thoughts, values and objects it is the social heritage acquired by us from preceding generation through learning, as distinguished from the biological heritage which is passed on to us automatically through the genes.

C.C North is of the opinion that culture 'consist in the instruments constituted by man to assist him in satisfying his wants'.

Robert Bierstedt is of the opinion that 'culture is the complex whole that consists of all the ways we think and do and everything we have as members of society'.

E.V. de Roberty regards culture as 'the body of thoughts and knowledge, both theoretical and practical, which only man can possess'.

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Edward B. Tylor, a famous English anthropologist, has defined culture as 'that complex whole which includes knowledge, belief, art, morals, law, custom, and any other capabilities and habits acquired by man as a member of society'. Tylor's definition is widely quoted and used today.

2.5.2 Characteristics of Culture

The definitions cited above reveal some of the characteristics of culture. For a clear understanding of the concept of culture, it is necessary for us to know its main features.

Culture is Learnt

Culture is not inherited biologically, but learnt socially by man. It is not an inborn tendency. There is no cultural instinct as such. Culture is often called 'learned ways of behaviour'. Unlearned behaviour, such as closing the eyes while sleeping, the eye blinking reflex and so on, are purely physiological and not cultural. Shaking hands or saying 'namaskar' or 'thanks' and shaving and dressing, on the other hand, are cultural. Similarly, wearing clothes, combing the hair, wearing ornaments, cooking the food, drinking from a glass, eating from a plate or a leaf, reading a newspaper, driving a car, enacting a role in a drama, singing, worshipping, etc., are all ways of behaviour learnt by man culturally.

Culture is Social

Culture does not exist in isolation. Neither is it an individual phenomenon. It is a product of society. It originates and develops through social interactions. It is shared by the members of society. No man can acquire culture without association with other human beings. Man becomes man only among men. It is the culture which helps man to develop human qualities in a human environment. Deprivation of company or association or other individuals to an individual is nothing but deprivation of human qualities.

Culture is Shared

Culture in the sociological sense, is something shared. It is not something that an individual alone can possess. For example, customs, traditions, beliefs, ideas, values, morals, etc., are all shared by people of a group or society. Culture is something adopted, used, believed, practised or possessed by more than one person. It depends upon group life for its existence.

Culture is Transmissive

Culture is capable of being transmitted from one generation to the next. Parents pass on culture traits to their children and they in turn to their children, and so on. Culture is transmitted not through genes but by means of language. Language is the main vehicle of culture. Language in its different forms like reading, writing and speaking makes it possible for the present generation to understand the achievements of earlier generations. But language itself is a part of culture. Once language is acquired, it unfolds to the individual its wide field. Transmission of culture may take place by imitation as well as by instruction.

Culture is Continuous and Cumulative

Culture exists as a continuous process. In its historical growth it tends to become cumulative. Culture is a 'growing whole' which includes in itself, the achievements of the past and the present and makes provision for the future achievements of mankind. "Culture may thus be conceived of as a kind of stream flowing down through the centuries the centuries from one generation to another".

Culture is Consistent and Integrated

Culture, its development has revealed a tendency to be consistent. At the same time different parts of culture are interconnected. For example, the values system of a society is closely connected with its other aspect such as morality, religion, customs, traditions, beliefs, and so on.

Culture is Dynamic and Adaptive

Though culture is relatively stable it is not altogether static. It is subject to slow but constant changes. Change and growth are latent in culture. We find amazing growth in the present

Indian culture when we compare it with the culture of the Vedic times. Culture is hence dynamic.

Culture is responsive to the changing conditions of the physical world. It is adaptive. It also intervenes in the natural environment and helps man in his process of adjustment. Just as our houses shelter us from the storm, so also does our culture help us from natural dangers and assist us to survive. Few of us, indeed, could survive without culture.

Culture is Gratifying

Culture provides proper opportunities and prescribes means for the satisfaction of our needs and desires. These needs may be biological or social in nature. Our need for food, shelter, and clothing on the one hand, and our desire for status, name, fame, money, mates, etc., is all, for example, fulfilled according to the cultural ways. Culture determines and guides the varied activities of man. In fact, culture is defined as the process through which human beings satisfy their wants.

Culture Varies from Society to Society

Every society has a culture of its own. It differs from society to society. Culture of every society is unique to itself. Cultures are not uniform. Cultural elements such as customs, traditions, morals, ideals, values, ideologies, beliefs, practices, philosophies, institutions, etc., are not uniform everywhere. Ways of eating, speaking, greeting, dressing, entertaining, living, etc., of different societies differ significantly. Culture varies from time to time also. No culture ever remains constant or changeless. If Manu were to come back to see the Indian society today he would be bewildered to witness the vast changes that have taken place in our culture.

Culture is Super organic and Ideational

Culture is sometimes called 'the superorganic'. By 'superorganic' Herbert Spencer meant that culture is neither organic nor inorganic in nature but above these two. The term implies the social meaning of physical objects and physiological acts. The social meaning may be independent of physiological and physical properties and characteristics.

For example, the social meaning of a national flag is not just 'a piece of coloured cloth'. The flag represents a nation. Similarly, priests and prisoners, professors and professionals, players, engineers and doctors, farmers and soldiers, and others are not just biological beings. They are viewed in their society differently. Their social status and role can be understood only through culture.

Further, every society considers its culture as an ideal. It is regarded as an end in itself. It is intrinsically valuable. The people are also aware of their cultures as an ideal one. They are proud of their cultural heritage.

Culture and Society

Culture and society are not one and the same. A culture is a system of behaviour shared by the members of a society. A society is a group of people who share a common culture. As Linton puts it, 'A society is an organised group of individuals. A Culture is an organised group of learned response characteristic of a particular society'.

A society is composed of people who are interacting on the basis of shared beliefs, customs, values, and activities. The common patterns which govern their interaction make up the culture of the society. As Gillin and Gillin have pointed out, culture is the cement binding together into a society its component individuals. Human society is people interacting; culture is the patterning of their behaviour.

2.5.3 Culture Contents

Every society has a culture of its own. Thus people in different societies all over the world have different cultures. These cultures are not only diverse but also unequal. Along with cultural diversities and disparities that are found in societies throughout the world, we observe

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certain cultural similarities. People may worship different gods in different ways, but they all have a religion. They may pursue various, occupations, but they all earn a living. Details of their rituals, ceremonies, customs, etc., may differ, but they all nevertheless have some ritual, ceremonies, customs, etc. Every culture consists of such non-material things. Similarly, people of every society possess material thing of different kinds. These material things may be primitive or modern and simple or complex in nature. These material and non-material components of culture are often referred to as “the content of culture”.

A number of sociologists have classified the content of culture into large components ‘material culture’ and ‘non-material culture’. Ogburn has even used this distinction as the basis for a theory of cultural change. As Robert Bierstedt has pointed out, the concept of ‘material culture’ is relatively more precise and less ambiguous. But the concept of non-material culture is more ambiguous and less clear. It may be used as a ‘residual category’ that is to mean ‘everything that is not material’.

Material and Non-Material Culture

(i) Material Culture

Material culture consists of man-made objects such as tools, implements, furniture, automobiles, buildings, dams, roads, bridges, and in fact, the physical substance which has been changed and used by man. It is concerned with the external, mechanical and utilitarian objects. It includes technical and material equipments like a printing press, a locomotive, a telephone, a television, a tractor, a machine gun, etc. It includes our bank, parliaments, insurance schemes, currency systems, etc. It is referred to as civilisation.

(ii) Non-Material Culture

The term ‘culture’ when used in the ordinary sense, means ‘non-material culture’. It is something internal and intrinsically valuable, reflects the inward nature of man. Non-material culture consists of the words the people use or the language they speak, the beliefs they hold, values and virtues they cherish, habits they follow, rituals and practices that they do and the ceremonies they observe. It also includes our customs and taste, attitudes and our look, in brief, our ways of acting, feeling and thinking.

2.5.4 Functions of Culture

Man is not only a social animal but also a cultural being. Man’s social life has been made possible because of culture. Culture is something that has elevated him from the level of animal to the heights of man. Man cannot survive as man without culture. It represents the entire achievements of mankind. Culture has been fulfilling a number of functions among which the following may be noted.

1.Culture is the Treasury of Knowledge: Culture provides knowledge which is essential for the physical, social and intellectual existence of man. Birds and animals behave instinctively. With the help of instincts they try to adapt themselves with the environment. But man has greater intelligent and learning capacity. With the help of these he has been able to adapt himself with the environment or modify it to suit his convenience. Culture has made such an adaptation and modification possible and easier by providing man the necessary skills and knowledge. Culture preserves knowledge and helps its transmission from generation to generation through its element, that is, language. Language helps not only the transmission of knowledge but also its preservation, accumulation and diffusion. On the contrary, animals do not have this advantage. Because, culture does not exist at sub-human level.

2.Culture Defines Situation: Culture defines social situations for us. It not only defines but also conditions and determines what we eat and drink, what we wear, when to laugh, weep, sleep, love, to make friends with what work we do, what God we worship, what knowledge we rely upon, what poetry we recite and so on.

3.Culture Defines Attitudes, Values and Goals: Attitudes refer to the tendency to feel and act in certain ways. Values are the measure of goodness or desirability. Goals refer to

the attainments which our values define as worthy. It is the culture which conditions our attitude towards various issues such as religion, morality, marriage, science, family planning, prostitution and so on. Our values concerning private property, fundamental rights, representative government, romantic love, etc., are influenced by our culture. Our goals of winning the race, understanding others, attaining salvation, being obedient to elders and teachers, being loyal to husband, being patriotic, etc., are all set forth by our culture. We are being socialised on these models.

4.Culture Decides our Career: Whether we should become a politician, a social worker, a doctor, an engineer, a soldier, a farmer, a professor, an industrialist, a religious leader, and so on is decided by our culture. What career we are likely to pursue is largely decided by our culture. Culture sets limitations on our choice to select different careers. Individuals may develop, modify or oppose the trends of their culture but they always live within its framework. Only a few can find outlet in the culture.

5.Culture Provides Behaviour Pattern: Culture directs and confines the behaviour of an individual. Culture assigns goals and provides means for achieving them. It rewards his noble works and punishes the ignoble ones. It assigns him statuses and roles. We see, dream, aspire, work, strive, marry, enjoy according to the cultural expectation. Culture not only controls but also liberates human energy and activity. Man, indeed, is a prisoner of his culture.

6.Culture Moulds Personality: Culture exercises a great influence on the development of personality. No child can develop human qualities in the absence of a cultural environment. Culture prepares man for group life and provides him the design of living. It is the culture that provides opportunities for the development of personality and sets limits on its growth. As Ruth Benedict has pointed out, every culture will produce its special type of personality. This fact has been stressed by her in her "Patterns of Culture" an analysis of the culture of three primitive societies. Yet another American anthropologist by name Margaret Mead has stated that "a culture shape the character and behaviour of individuals living in it...." This fact she has established in her "Sex and Temperature in Three Primitive Societies" a study of New Guinea tribal life.

It is true that the individual is exposed to and moulded by the culture of the group into which he is born. But the culture provides not only for 'universals' but also for 'alternatives'. There is not only conformity in cultural learning but also variations. Still no individual is completely culturally determined. Every individual is unique in any culture. The uniqueness may be based on individual difference in ability, aptitude and learning. The impact of culture on the individual is not always identical in every case. Every individual is sooner or later exposed to influences which are not completely predetermined by culture. He meets other people outside the culture. Travelling, books, radio, cinema, television, theatre, newspapers expose an individual to many influences outside the culture. Various biological and social factors bring about the uniqueness of the individuals in any culture.

2.5.5 Elements of Culture

According to H.M. Johnson, the main elements of culture are as follows: - Cognitive elements, beliefs values and norms, signs, and non-normative ways of behaving.

1. Cognitive Elements: Cultures of all societies whether pre-literate or literate include a vast amount of knowledge about the physical and social world. The possession of this knowledge is referred to as the cognitive element. Even the most primitive or pre-literate peoples such as the Andaman and Trobriand Islanders must know about many things in order to survive. Their knowledge is practical knowledge and never "knowledge for its own sake". Knowledge, relating to how to get food, how to build shelter, how to travel and transport, how to protect themselves against storms, wild animals, and hostile people is nothing but practical knowledge. Such knowledge is carefully taught to each generation. In modern advanced societies knowledge is so vast, deep and complex that no single person can hope to master

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the whole of it. Further, every society has in its culture many ideas about its own social organisation and how it works.

2. Beliefs: Beliefs constitute another element of culture. Beliefs in empirical terms are neither true nor false. Example: (i) The Eskimo shaman uses fetishes and goes into a loud trance in order to drive out the evil spirits from the body of a sick person. (ii) The Christian missionary who gives medicine to and advises the patient to take sufficient rest also utters a silent prayer behind these actions cannot be confirmed or rejected on the basis of empirical evidence. For example, if the patient dies in spite of the efforts, of Shaman, he will have some “explanation” that will make him to stick on to the belief in evil spirits. Civilised men too create similar beliefs and pass them on to the succeeding generation.

Tested empirical knowledge and untestable beliefs are ‘elements’ of culture. Because, they are often mixed together in the same concrete acts. Only through an intellectual analysis the different elements could be separated from one another. For example, the missionary says a silent prayer and at the same time administers modern medical tests to the patient.

3. Values and Norms: It is very difficult to enlist values and norms for they are so numerous and diverse. They are inseparable from attitudes, except perhaps, analytically.

Values may be defined as measures of goodness or desirability. They are the group conceptions of relative desirability of things. In Sociology we are most concerned with values that are directly or indirectly involved in social relationships; moral and religious values that have been to some extent institutionalised.

One way of understanding the values and their interconnections is to approach them through the four functional subsystems of society. These subsystems are: government, family, economy and religion. The function or the social activities that these four interconnected subsystems perform are to a great extent shaped by values. But these four subsystems are not equally stressed as equally important in all societies. The values most characteristic of one (or two) subsystem normally predominate in any society. It means political values, or family values, or economic values or religious values normally predominate. Example: In his study Bellah has shown that in Japan during the Tokugawa period (16th to 19th century A.D.) ‘Political Values’ were the most dominant ones. The emperor was at the top of hierarchy and enjoyed great power and respect. Merchants who pursued economic activities were given comparatively a low status. Even in the family loyalty to the nation and to the emperor was stressed as a great value. Japanese religion also stressed the dominance of political values. In Japan filial loyalty or piety which was equally both a religious and a social value, was subordinated to the loyalty or piety of the state. Shintoism and Zen-Buddhism, the two main religions of Japan stressed much the value of loyalty to the nation. Hero “Other-worldly” religious doctrine and practice were subordinated to political values. In the same manner, in India religious values dominated Indian social system for hundreds of years. Even now it is quite dominant.

But how can we know what values are dominant in society? Sociologist Williams has suggested the following criterion of dominant values: (i) Extensiveness of the value in the total activity of the system, (ii) Duration of the value, that is how persistently it has been important over a period of time, (iii) Intensity with which the value is sought or maintained, (iv) Prestige of the value carriers - that is, of persons, objects, or organisations considered to be bearers of the value.

Further, every society has secondly values in addition to its dominant value. For example, in Japan, “aesthetic-emotional” values are secondly for there is a considerable stress on them. In India, political values have secondary place.

Norms are closely associated with values. They are the group-shared standards of behaviour. Norms impose restrictions on our behaviour. They are model practices, they determine, control and guide our behaviour. In fact, values are cherished only through the

observance of norms. Norms are established on the basis of values. Hence norms and values go together. For H.M.Johnson, “Values are general standards, and may be regarded as higher order norms”. Norms and values together constitute an important element in culture.

4. Signs: Signs include signals and symbols. “A signal (also means sign) indicates the existence-past, present, or future of a thing, event, of conditions”. Example: A heap of half burnt particles of a house signalise that the house was caught by fire sometimes earlier. Similarly, wet streets are a signal that it has rained. Soldiers going to parade ground with uniform signal that they are going to have their parade. Thus, signal and its objects are both parts of a more complex event or nit. A number of invented or artificial symbols are used in social life which assumes importance. Example: A shot may mean the beginning of a running race, the sighting of danger, the commencement of a parade, the starting of war, the killing of a wild animal, a terrorist activity, and so on.

Signals and symbols are slightly different. A placard bearing the words “No Parking” is a signal. It indicates the presence of a place where one is not supposed to park one’s vehicles. But the words in the placard represent symbols. Like a signal, a symbol means something to the interpretant. But it serves to bring a concept of something to his mind rather than to announce the presence of the thing itself. For example, ‘deer’ of ‘dove’ indicates such a concept. ‘Deer’ or ‘dove’ indicates an animal or a bird of a particular kind. Thus, “a signal is involved in a three-term relationship (interpretant, signal, object) while a symbol is involved in a four-term relationship (interpretant, symbol, concept, object). Signals are involved in all our practical activities. Symbols are important in many kinds of communication and expression, including religion and art.

In all societies language is an important symbol system. At the level of ‘pre-literate’ people language is entirely oral. Written records have helped people as symbol system to depend upon the memories, of the aged, and knowledge of the past. Because of his inability to make use of symbols of written records, the mental horizon of the preliterate man is likely to be very low. The languages (such as English, Spanish, French and German) which have a vast collection of books on a wide variety of subjects or topics have the key to an extremely rich culture. Speech, an aspect of language system consists of vocal and other kinds of gestures bowing, shaking hands, saluting, kissing, blushing etc. These gestures too have symbolic meanings which are mostly cultural. For example, one smile at known persons, weeps when confronted with grief, laughs when happy and so on. In such instance, the gestures are interpreted correctly as signals based on internalised symbols. But all the gestures are not necessarily connected intrinsically with the feeling it connotes. For example, one must smile at acquaintances whether one is really glad to see them or not. Jesus kissed Judas who betrayed him. In the shared common system of symbols in addition to speech and gestures another factor is important and, that is, ‘intentions’ of the participants in any stabilised social interaction. It could be said that “Any object or aspect of object that is involved in a stabilised social relationship may acquire a cultural symbolic meaning for the interacting participants”.

Many material products or things are primarily symbol vehicles. Flags, pictures and statues serve here as examples. Similarly, a building or a camp, or a ship, or a tomb, or an idol, or physical place, etc., signifies a symbolic form, the meaning of which is culture.

5. Non-Normative Ways of Behaving: Certain ways of behaving are not compulsory and are often unconscious. Such patterns do exist. Non-normative behaviour shades over into normative behaviour and symbolic behaviour. For example, the Jewish gestures largely involve the hands, they tend to symbolise the subtle evolution of an argument, a train of thought. The Italian gestures involve the whole arm and they tend to express emotions. Both these symbol systems have tended to disappear in the second and later generations of the Jews and Italians in the United States.

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2.6 PERSONALITY

Man is not born a person. At birth he is an infant possessing the potentiality of becoming a person. After birth he associates with other human beings and comes under the influence of their culture. As a result of a variety of experiences and social influences he becomes a person and comes to possess a personality. Our interest in this is to sketch the nature of personality and to show the role of culture and social experience in the formation of personality along with the problem of personality disorganisation. Since socialization plays the most important part in the development of personality and we have discussed it already, the present discussion, therefore, can only be brief.

2.6.1 The Meaning and Definition of Personality

The term 'personality' is derived from the Latin word 'persona' which means a mask. According to K. Young, "Personality is a patterned body of habits, traits, attitudes and ideas of an individual, as these are organised externally into roles and statuses, and as they relate internally to motivation, goals, and various aspects of selfhood". G.W. Allport defined it as "a person's pattern of habits, attitudes, and traits which determine his adjustment to his environment". According to Robert E. Park and Ernest W. Burgess, personality is "the sum and organisation of those traits which determine the role of the individual in the group". Herbert A. Bloch defined it as "the characteristic organisation of the individual's habits, attitudes, values, emotional characteristics which imparts consistency to the behaviour of the individual". According to Arnold W. Green, "personality is the sum of a person's values (the objects of his striving, such as ideas, prestige, power and sex) plus his non-physical traits (his habitual ways of acting and reacting)". According to Linton, personality embraces the total "organised aggregate of psychological processes and status pertaining to the individual".

Personality, as we understand it, says MacIver, "is all that an individual is and has experienced so far as this "all" can be comprehended as unity". According to Lundberg and others, "The term personality refers to the habits, attitudes, and other social traits that are characteristic of a given individual's behaviour". By personality Ogburn means "the integration of the socio psychological behaviour of the human being, represented by habits of action and feeling, attitudes and opinions". Davis regards personality "a psychic phenomenon which is neither organic nor social but an emergent from a combination of the two". According to Anderson and Parker "Personality is the totality of habits, attitudes, and traits that result from socialization and characterizes us in our relationships with others".

According to N.L. Munn, "Personality maybe defined as the most characteristic integration of an individual's structure modes of behaviour, interests, attitudes capacities, abilities and aptitudes". According to Morton Prince, "Personality is the sum total of all the biological innate dispositions, impulses tendencies and instincts of the individual, and the acquired disposition and tendencies acquired by experience". According to Young, "Personality is the totality of behaviour of an individual with a given tendency system interacting with a sequence of situations".

Lawrence A. Pewin has given a working definition of personality in these words, "Personality represents those structural and dynamic properties of an individual or individuals as they reflect themselves in characteristic responses to situations".

On the basis of these definitions it may be said there are two main approaches to the study of personality:

- (1) The psychological, and
- (2) The sociological.

Although there is also a third approach, the biological approach, but the biological definition of personality which comprehends only the bio-physical characteristics of the individual organism is inadequate. The psychological approach considers personality as a certain style

peculiar to the individual. This style is determined by the characteristic organisation of mental trends, complexes, emotions and sentiments. The psychological approach enables us to understand the phenomena of personality disorganisation and the role of wishes, of mental conflict, and of repression and sublimation in the growth of personality. The sociological approach considers personality in terms of the status of the individual in the group, in terms of his own conception of his role in the group of which he is a member. What others think of us plays a large part in the formation of our personality. Thus personality is the sum of the ideas, attitudes and values of a person which determine his role in society and form an integral part of his character. Personality is acquired by the individual as a result of his participation in group life. As a member of the group he learns certain behaviour systems and symbolic skills which determine his ideas, attitudes and social values. These ideas, attitudes and values which an individual denotes an adult's inner construction of the outer world. It is the result of the inter-action processes by which standards of ethical judgement, belief and conduct are established in social groups and communities.

To sum up we would say that

- (i) Personality is not related to bodily structure alone. It includes both structure and dynamics.
- (ii) Personality is an indivisible unit.
- (iii) Personality is neither good nor bad.
- (iv) Personality is not a mysterious phenomenon.
- (v) Every personality is unique.
- (vi) Personality refers to persistent qualities of the individual. It expresses consistency and regularity.
- (vii) Personality is acquired.
- (viii) Personality is influenced by social interaction. It is defined in terms of behaviour.

2.6.2 Determinations of Personality

Personality is a result of the combination of four factors. i.e., physical environment, heredity, culture, and particular experiences. Here we discuss each factor determining personality separately.

Personality and Environment. Above we described the influence of physical environment on culture and pointed out that geographical environment sometimes determines cultural variability. That the Eskimos have a culture different from that of the Indians is due to the fact that the former have geography different from the latter. Man comes to form ideas and attitudes according to the physical environment he lives in. To the extent that the physical environment determines cultural development and to the extent that culture in turn determines personality, a relationship between personality and environment becomes clear. Some two thousand years ago, Aristotle claimed that people living in Northern Europe were owing to a cold climate, full of spirit but lacking in intelligence and skill. The natives of Asia, on the other hand, are intelligent and inventive but lack in spirit, and are therefore, slaves. Montesque, in the eighteenth century, claimed that the bravery of those blessed by a cold climate enables them to maintain their liberties. Great heat enervates courage while cold causes certain vigour of body and mind. At high temperatures, it is said there is disinclination to work and so civilizations have grown up where the temperatures have been average near or below the optimum. The people of mountains as well as deserts are usually bold, hard and powerful. Huttington's discussion of the effects of physical environment on man's attitude and mental make-up is very exhaustive. However, as told previously, the physical conditions are more permissive and limiting factors that causative factors. They set the limits within which personality can develop.

Thus, climate and topography determine to a great extent the physical and mental traits of a people, but it cannot be said that they alone determine human behaviour. Most kinds of

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personality are found in every kind of culture. The fact remains that civilizations have appeared in regions of widely different climate and topography. Christianity knows no climate belts. People are monogamous in high altitudes and flat lands, under tropical temperature and arctic conditions. Men's attitudes and ideas change even when no conceivable geographic change has occurred. Proponents of geographic determinism over simplify the human personality and so their interpretations are to be accepted only after close scrutiny.

Heredity and Personality. Heredity is another factor determining human personality. Some of the similarities in man's personality are said to be due to his common heredity. Every human group inherits the same general set of biological needs and capacities. These common needs and capacities explain some of our similarities in personality. Man originates from the union of male and female germ cells into a single cell which is formed at the moment of conception. He tends to resemble his parents in physical appearance and intelligence. The nervous system, the organic drives and the ductless glands have a great bearing upon personality. They determine whether an individual will be vigorous or feeble, energetic or lethargic, idiot or intelligent, coward or courageous.

A man with a good physical structure and health generally possess and attractive personality. A man of poor health, pigmy size and ugly physical features develops inferiority complex. The growth of his personality is checked. Rejected and hated by the society he may turn out to be a thief, dacoit, or drunkard. It is also probable that he may become a leader, or a genius like Socrates and Napoleon. Likewise the nervous system and glandular system may affect the personality of an individual. The nervous system affects the intelligence and talent of the individual. The hormones affect the growth of personality. Too many or too less of hormones are harmful. Some men are over-patient, overzealous, overactive and overexcited while others are lazy, inactive, and weak. The reason may be secretion of more hormones in the first case and less hormones in the latter case. For a normal personality there should be a balanced secretion of hormones.

2.7 SUMMARY

Traditions, customs, standards of behaviour and values are found within the social groups. They are the products of human interactions within groups and they organize the pattern of life. Sociologically speaking, groups are organized in such a way that the values, customs and standards of behaviour, are reflected in the behaviour of the individual.

Community is one of the loosest terms employed in sociological literature and a term of several uses. For example, the term community is commonly used to refer to occupational groups (i.e., doctors, teachers, factory works, etc.) castes (i.e., backward castes, forward castes, or specific caste groups), organizations (i.e., University community) religious groups (i.e., parsi community), etc.

2.9 REVIEW QUESTIONS

1. Describe nature of human society.
2. What are functions of human society?
3. Difference between individual and society.
4. Discuss group mind theory.
5. Explain social contract theory.
6. What is socialization and agencies?
7. Describe Personality

Unit 3

STRUCTURE OF HUMAN SOCIETY

Structure

- 3.0 Aims and Objectives
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- 3.10 Power
- 3.11 Authority
 - 3.11.1 Types of Authority
- 3.12 Summary
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3.0 AIMS AND OBJECTIVES

At the end of this unit you will be able to understand:

- Define Social Groups and its classification.
- Describe community and its elements.
- Explain Association and Institutions.
- Delineate Role and Status.

3.1 INTRODUCTION

Society consists of groups. Society starts with an aggregate of people. But the mere congregation of people in a physical area does not make them a social group. A social group exists when two or more people are in direct or indirect contact and communication. The members of the group stimulate and respond to one another in some meaningful way. This mutual stimulation and response of individuals and groups is social interaction. Society is rooted in social interaction. It represents the conditioned behaviour of persons and groups. "Both society and culture are the products of social interaction". Social interaction is the most elemental social phenomenon from which spring all other social phenomena. When interaction recurs often enough so that we can perceive a pattern of behaviour, a social relation exists. Social relations may be friendly or unfriendly, intimate or non-intimate, inclusive, specialised or non-specialised in character. The nature and character of social relationships underlie different forms of social groups such as primary and secondary groups, in-groups and out-groups, organised and unorganised groups, formal and informal groups or organisations and so on.

No man normally lives alone. Man does not live in isolation for a long time. He is basically a social creature. The great Greek philosopher - Aristotle said long back that man is a social animal. He further remarked that he who does not live in society is either a beast or an angel. With the exception of hermits, shepherds, lighthouse keeper, prisoners in solitary confinement and possibly a few others, all human beings live in groups. Men everywhere live in groups. Man's life is to an enormous extent a group life. A completely separated or isolated individual is purely hypothetical. On the contrary, man's daily life is made up largely of participating in groups. Not only our life becomes boring and unbearable without fellow human beings but also our very survival becomes problematic. Total ostracism from one's group is probably the cruelest punishment short of only death that men are ever called upon to endure.

3.2 SOCIAL GROUP

'Group' is one of those terms which in common usage lack exactness. We used the word 'group' to mean such groups as family group, kin group, racial group, church group, religious group, occupational group, age group, sex group, vast community group, abstract group, statistical group, collectivity and so on. Even in Sociology the word group is not always consistently used by the sociologists. The word 'group' is very loosely used. Sometimes, the word 'group' is used to refer to entire human group. Sometimes, it is used to mean a small group which consists of two or more individuals. The term 'group' is not used with any specifications. Hence, it is difficult to give a single satisfactory definition to the concept of group.

3.2.1 Definition of Social Group

Harry M. Johnson says that 'A social group is a system of social interaction'.

Marshall Jones is of the opinion that a social group is 'two or more people between whom there is an established pattern of interaction'.

R.M. MacIver and Page define social group as ‘any collection of human beings who are brought into human relationships with one another’.

Ogburn and Nimkoff: “Whenever two or more individuals come together and influence on another, they may be said to constitute a social group”.

Emory S. Bogardus defines social group as ‘a number of persons, two or more, who have common objects of attention, who are stimulating to each other, who have common loyalty and participate in similar activities’.

3.2.2 Characteristics of Social Group

The main characteristics of social groups are as follows

Collection of Individuals

Social group consists of people. Without individuals there can be no group. Just as we cannot have a college or a university without students and teachers we cannot have a group in the absence of people.

Interaction among Members

Social interaction is the very basis of group life. Hence mere collection of individuals does not make a group. The members must have interaction. A social group is in fact a system of social interaction. The limits of social groups are marked by the limits of social interaction.

Mutual Awareness

Group life involves mutual awareness. Group members are aware of one another and their behaviour is determined by this mutual recognition. This may be due to what Giddings calls ‘the consciousness of kind’.

We-feeling

‘We feeling’ refers to the tendency on the part of the members to identify themselves with the group. It represents group unity. ‘We-feeling’ creates sympathy in and fosters co-operation among members. It helps group members to defend their interests collectively.

Group Unity and Solidarity

Group members are tied by a sense of unity. The solidarity or integration of a group is largely dependent upon the frequency, the variety, and the emotional quality of the interactions of its members. A family or a friends’ group, or a religious group is highly united and integrated, because its members are related by several common interests and have frequent social contacts with one another and express a high degree of morale and of loyalty. Unity is maintained more often by conscious effort.

Common Interests

The interests and ideals of group are common. Groups are mostly formed or established for the fulfillment of certain interests. In fact, men not only join groups but also form group for the realisation of their objectives or interests. Form of the group differs depending upon the common interests of the group. Hence, there are political groups, religious group, economic groups, educational groups, racial groups, national groups and so on.

Similar Behaviour

The members of group behave in more or less similar way for the pursuit of common interests. Social groups represent collective behaviour.

Group Norms

Every group has its own rules or norms which the members are supposed to follow. These norms may be in the form of customs, folkways, mores, traditions, conventions, laws, etc. They may be written or unwritten norms or standards. Every group has its own ways and means of punishing or correcting those who go against the rules. The continued group-life of man practically becomes impossible without some norms.

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Basic Concepts & Perspectives**NOTES****Size of the Group**

Every group involves an idea of size. Social groups vary in size. A group may be as small as that of dyad [two members group e.g., husband-and-wife-family] or as big as that of a political party having lakhs of members. Size will have its own impact on the character of the group.

Groups are Dynamic

Social groups are not static but dynamic. They are subject to changes whether slow or rapid. Old members die and new members are born. Whether due to internal or external pressures or forces, groups undergo changes.

Stability

Groups are stable or unstable permanent or temporary in character. Some groups like, the crowd, mob, audience, spectators' group etc., are temporary and unstable. But many groups are relatively permanent and stable in character.

Influence on Personality

Social groups directly or indirectly shape the personality of their members. They also provide opportunities for the expression of individuality.

3.2.3 Importance of Social Groups

The study of human society is essentially the study of human group. Society consists of groups of innumerable kinds and variety. No man exists without a society and no society exists without groups. Groups have become a part and parcel of our life. Out of necessity and inevitability human beings are made to live in groups. Knowingly or unknowingly or unwillingly, with pleasure or contempt, people live in groups and societies. Man's life is to an enormous extent lived and controlled by groups of different kinds.

Survival Becomes Problematic without Groups

Groups have become so necessary that our very survival becomes problematic and doubtful in their absence. Groups are complementary to the development of human faculties, traits and human nature. Man by birth itself has the biological potentiality of becoming man the social being.

Man Becomes Man Only Among Men

Man becomes man only among men. Various studies have convincingly proved that the man fails to develop human qualities in the absence of human environment. The famous case of Kasper Hauser, a youth who was bereft of human contacts because of political mechanization, the most interesting feral case of the two Hindu female children Kamala and her sister found in a wolf's den and the pitiable case of Anna, an illegitimate American child which was kept away from human contacts for more than five years and several other instances have proved beyond doubts that only a human environment makes a man; a biological animal, a human being. The biological potentiality of man to become a 'person' does not happen on its own automatically, even in the absence of a human environment. The biological potentiality blossoms only in social situation, to be more precise, only in the context of groups. Added to this, the prolonged human infancy and the helplessness of new born baby have almost made it a prisoner of the most elementary social group that is family.

Groups Help Social Survival also

Not only from the point of view of survival but also from the viewpoint of leading a successful life man depends on groups. By engaging himself in constant relations with others he learns things and mends his ways. He keeps his eyes wide open, lends his ears to what others say, tries to keep his memory ever fresh to remember the good things of the past and to refrain from repeating the blunders of the past. In brief, from birth to death, man is engaged in the process of socialisation. Socialisation or the process of humanisation helps man to develop a personality of his own.

3.3 GROUPS AND CLASSIFICATION

Groups Contribute to the Development of Personality

Personality is the product of the group life. The 'self' that every individual develops, though unique, is itself a product of the group. No 'self' arises in isolation. Groups provide scope for the individuals to express their real nature, their talents and abilities. Hidden potentialities can find their expression only in the context of social groups. What is latent in man becomes manifest only in groups. The groups shape man's attributes, his beliefs, his morals and ideals. Emotional development, intellectual maturity, satisfaction of physical and social needs is unthinkable without groups. Group is a part of our mental equipment and we are a part of group.

3.3.1 Primary Groups and Secondary Groups

The classification of social groups into 'primary' and 'secondary' has become very popular today. An American social psychologist Charles Horton Cooley has introduced the term 'primary group' in his book 'Social Organisation'. He has given a detailed analysis of the concept of primary group and has not even mentioned the term 'second group' in his book. Sociologist like Kingsley Davis, Ogburn, MacIver and other have popularised the concept of secondary group. According to them, groups other than those of primary ones can be called 'secondary'. Hence, the secondary groups are treated as a 'residual category'. This classification of groups into primary and secondary is, however, made on the basis of the nature and character of social interaction. It means, it depends on the nature of social contact and the degree of intimacy among the members concerned. Primary groups are also called 'face-to-face' groups and secondary groups, the 'derivative group'.

The classification of social groups into 'Primary' and 'Secondary' resembles Summer's classification of 'In-groups' and 'Out-groups' and 'Ferdinand Tonnies' classification of groups into the 'Gemeinschaft' [community] and the 'Gesellschaft' [society]. But the distinction between primary groups and secondary groups is only relative but not absolute. Both the kinds of group are in a way 'ideal types'. In the actual world the groups may not possess such distinct characteristics and satisfy all the conditions. The group that we call 'primary' are those in which we find the dominance of primary relations and the same way, the 'secondary' groups exhibit the dominance of secondary relations. It is relevant here to make a distinction between two types of social contacts namely : 'sympathetic contact' and 'categorical contact', which play an important role in the analysis of 'primary groups' and 'secondary groups'.

Sympathetic Contact and Categorical Contact

It is not the basis of the nature of social contacts and social relations that the groups can be classified into "primary" and "secondary", 'in-groups', and 'out-groups', and so on. The social contacts are of two types: Sympathetic Contact and Categorical Contact.

(i) Sympathetic Contact: Sympathetic Contact is a kind of contact between two or more persons characterised by some degree of mutual understanding and interest in the whole personality of the other. It represents one's personal involvement in the affairs of another. Example: Contacts between the mother and the child, parents and children, close relatives, close friends etc. represent sympathetic contacts. Individuals, among whom such types of contacts exist, are mutually helpful, co-operative, sympathetic and merciful. The primary groups are characterised by sympathetic contact.

(ii) Categorical Contact: A categorical contact is a contact between two people whose interaction is governed by the positions which they occupy. The interactions are limited to what is appropriate to these positions. Example: Contacts between lawyer and client, store-keeper and customer, doctor and patient, bank officer and the peon, teacher and student and so on. Such a contact may be bereft of intimacy, friendliness, sympathy and mutual helpfulness. It

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does not indicate one's personal interest in the other person. In the secondary groups the categorical contacts are predominantly found.

3.3.2 The Primary Groups

The Meaning of Primary Group. The concept of 'primary groups' is a significant contribution of C.H. Cooley to the social thought. Primary groups are found in all the societies. The primary group is the nucleus of all social organisations. It is a small group in which a few persons come into direct contact with one another. These persons meet face to face for mutual help, companionship and discuss of common questions.

Cooley used the term 'primary groups' to mean a social group characterised by 'face-to-face' associationship, mutual aid and companionship. By primary groups, Cooley meant the intimate, personal 'face-to-face' groups in which we find our companions and comrades as the members of our family and our daily associates. These are the people with whom we enjoy the more intimate kinds of social relations. The primary groups can be referred to as the 'We' groups. Cooley explained that a primary group involves the sort of sympathy and mutual identification for which 'We' is the natural expression.

Cooley writes "By primary groups I means those characterised by intimate face-to-face association and co-operation. They are primary in several senses, but chiefly in that they are fundamental in forming the social nature and ideals of the individual."

Primary groups are universal groups functioning in all states of cultural development. They are the chief basis of what is universal in human nature and ideals. The 'self' is developed and moulded by the primary group relations. Primary groups socialise the individuals. As Maclver says they are 'the breeding ground of our mores and the nurse of our loyalties'. In primitive culture, and even in advance cultures before the growth of cities, the majority of associations occur in primary groups. Example for primary groups: family, neighbourhood, children's play ground, local brotherhood, friends' club, peer group etc.

Characteristics of Primary Groups

The characteristic features described below throw more light of the nature and character of primary groups.

1. Dominance of Face-to-Face Relations

Primary groups are characterised by close and intimate relationships. There exists a fact-to-face relationship among the members. In primary groups everyone knows everyone else; one's name and fame, one's status, wealth, occupation, level of education etc. Close contact between them increases intimacy among the members. Face-to-face relations are commonly observed in small groups like family, children's playgroup, neighbourhood and so on.

The Character of Primary Relations

(a) Identity of Ends: Members of the primary groups have more or less identical desires and attitudes. They work together for the attainment of their common ends without disagreement. They look at the world through the same eyes. Every member of the group pursues, as one of his ends, the welfare of the other. The identification of ends is connected with the fusion of personalities within the group.

(b) The Relationship is an End in Itself: The primary relationship is regarded as an end in itself, but not a means to an end. It is neither utilitarian nor motivated by any economic gain. It is intrinsically enjoyable. True love between husband and wife or genuine friendship between two individuals is for example, beyond the consideration of any selfish motive.

(c) The Relationship is Personal: In the primary group the interest of each is centered in others as persons. The relationship disappears if the particular person disappears from it. As Kingsley Davis says, 'the primary relationship is a matter of persons, it exists because of the person, not despite him'. The relationship is non-transferable and irreplaceable. For example

the relationship between the husband and wife is such that no third person can replace any one of the two.

(d) The Relationship is Inclusive: The individual in a personal relationship is not an abstraction. Individuals are treated as complete human beings. All persons of the group are fused together completely. Individuals know each other very well. Different sides of member's personality are known to all the other members.

(e) The Relationship is Spontaneous: A purely primary relationship is voluntary. It is not planned. It is not based on any contract. Relationships develop between members naturally and spontaneously. The relationships that develop between the mother and the child, friend and a friend, husband and wife, child and a child are, for example, purely voluntary, and spontaneous.

2. Small size

Primary Groups are smaller in size. Effective participation of the members is possible only when the group is of a small size. Other factor being equal, the smaller the group the more intimate it is. The character of the group tends to change with its size. The increase in the size of the group will have a negative effect on the intimacy of the members.

3. Physical Proximity or Nearness

Face-to-face relations can be found only when members reside in a particular area more or less permanently. Seeing and talking with each other facilitates the exchange of ideas, opinions and sentiments. It makes possible the 'conversation of gestures' which Mead speaks of. Caressing, kissing, eating and dwelling together, playing, travelling, studying together all tend to be regarded as external symbols of close solidarity. Physical proximity provides an opportunity for the very development of primary groups.

4. Stability of the Group

A primary group is relatively a permanent group. Other things being equal, the longer the group remains together, the more numerous and deeper are the contacts between its members. Social ties deepen in time. Although a husband and wife may have quarrelled for ten years, the very fact that they have lived together for that long, makes it hard for them to do without each other.

5. Similarity of Background

The members of a primary group must have more or less the same background. There must be some approximations in their levels of experience. Each must have something to contribute, to give as well as to take. The person "who is too far above or below it, disturbs the process of group participation". This is essential even for the easy interplay of personalities in the family, the play group, the gang etc.

6. Limited Self-Interest

Members of the primary group subordinate their personal interests to the interests of the group. The common interest of the group is strong enough to control individual interest. The commonness of interest provides mental pleasure and contentment to the members.

7. Intensity of Shared Interest

The shared interests of the group also hold them together. The interest which is shared acquires a new significance, a new emphasis, a new valuation. It has a breadth of support. The group is relatively durable because of these shared interests. The primary groups sustain the interest of living itself.

8. Communication

Communication in the case of primary group like family or children's play group, for example, is very quick and effective. Direct or face-to-face contact helps easy communication between the members.

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A primary group is not deliberately created nor is it specialised in character. It has not come into being for the pursuit of any particular interest of the people. On the other hand, the interests of primary groups are always comprehensive. Hence, the group is unspecialised in character.

10. Direct Cooperation

Direct cooperation characterises primary group. Members work directly and in cooperation with each other to achieve their common interests. They do not act independently nor even interdependently, but all participate in the same process. Division of labour as it is understood in a complex industrial society does not exist in a primary group. Work is essentially 'a mode of sharing a common experience'. The group is 'a unity in the performance of its function'.

3.3.2.1 Importance of Primary Groups

Primary groups are of great individual as well as social importance. They are the medium through which we learn our culture. They prepare the individuals to lead a successful social life. They socialise individuals and give proper shape to their personality. Some of the primary groups may secure certain external advantages such as better wages, production efficiency, workers morale, counseling and guidance and so on.

1. Primary Group A Great Humanising Agent

The primary group enacts the role of a humanising agency. Family is the immediate primary group in which a child finds itself as soon as it is born. The family, peer groups and the neighbourhood play an important role in socialising or humanising the child. Primary groups teach the child the social norms, standards, morals, beliefs, values and ideas of the society. They introduce to the child the culture of the society. They emotionally condition the child's personality. The animal drives of man become human only through constant training. The primary groups, as MacIver says, are 'the nursery of human nature'.

2. Development of Personality

C.H. Cooley is of the opinion that the primary group, particularly the family, is the chief moulder of the human personality. The primary group is the source of 'our nations of love, freedom, justice and the like'. The qualities of behaviour that a child picks up during the early years in primary groups find their expression in his adult life.

Fair play, equality, free expression, submission to the will of the group and willingness to sacrifice for it are characteristics of family groups. These have a great impact on the personality development of the individuals. Primary groups mould our opinion, guide our affections, influence our actions, and in large measure determine our loyalties. These are not the groups in which we merely work or play. These are the groups in which we live and have our being.

3. Satisfaction of Psychological Needs

Primary groups satisfy many psychological needs of the individuals. Individuals get mental happiness, contentment and security from the primary groups. They get the advantages of companionship, sympathy and exchange of thoughts and feelings. They reduce mental tensions and emotional stresses and strains. An individual finds his nearest and the dearest companions in the primary groups. He also realises from his experience that the primary group is his noble centre of human affection, love and sympathy.

4. Provision of Stimulus

The primary group not only provides satisfaction and happiness to the individuals, but it also provides a stimulus to pursue their interests. With confidence and courage the individual members work, strive and struggle to achieve their goals. Everyone feels that he is not alone pursuing the interest but there are others who along with him are devoted to same pursuit. This feeling stimulates him to keener efforts.

5. United in Process

The primary group is a cohesive group. Direct cooperation characterises the face-to-face group. Hence the members participate in the same group process.

The group is essentially a “mode of sharing a common experience”. There is a unity in the performance of its function. Hence it meets the physical as well as psychological needs of its members. It is better equipped to face crisis also.

6. Strengthens the Democratic Spirit

The primary group serves the needs of society also. Primary groups help the individual to acquire basic attitudes towards people, social institutions and the world around him. The attitudes of kindness, sympathy, love, tolerance, mutual help and sacrifice which provide the cementing force to social structure are developed in the primary groups. From such experiences and attitudes spring the desire for democracy and freedom. The very democratic spirit is developed and reinforced in primary groups.

7. Acts as an Agent of Social Control

From the point of view of society the primary group acts as an agency of social control. Primary groups not only provide security to the members but also control their behaviour and regulate their relations. For example, family, neighbourhood, peer group or friend's group control much of the activities of their members.

3.3.3 The Secondary Groups

An understanding of the modern industrial society requires an understanding of the secondary groups. The secondary groups are almost the opposite of primary groups. The social groups other than those of primary groups may be termed as ‘secondary groups’. They are a residual category. They are often called ‘special interest groups’. MacIver and Page refer to them as ‘great associations’. They are of the opinion that secondary groups have become almost inevitable today. Their appearance is mainly due to the growing cultural complexity.

Primary groups are found predominantly in societies where life is relatively simple. With the expansion in population and territory of a society, however, interests become diversified and other types of relationships, which can be called ‘secondary’ or impersonal, become necessary. Interests become differentiated. The service of experts is required. Techniques are elaborated, and the average member has neither the time nor the energy nor the skill to attend to them. The new range of the interests demands a complex organisation. The members are numerous and too scattered to conduct their business through face-to-face relationships. Specially selected persons must act on behalf of all and hence, arises a hierarchy of officials called ‘bureaucracy’. These features characterise the rise of the modern state, the great corporation, the large church, the factory, the army, the labour union, a university, a nationwide political party and so on. These are secondary groups.

Meaning of Secondary Group

Ogburn and Nimkoff say that the ‘groups which provide experience lacking in intimacy’ can be called secondary groups.

Frank D. Watson writes, ‘the secondary group is larger and more formal, is specialised and direct in its contacts and relies more for unity and continuance upon the stability of its social organisation than does the primary group’.

Characteristics of Secondary Group

1. Dominance of Secondary Relations: Secondary groups are characterised by indirect, impersonal, contractual and non-inclusive relations. Relations are indirect because secondary groups are bigger in size and the members may not stay together. Relations are contractual in the sense, they are oriented towards certain interests or desires. Further, members are bound to one another by mutual rights, duties and obligations for the realisation of their objectives or interests. Relations are impersonal, because members are not very much interested in other

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members as 'persons'. They are more concerned with their self-centered interests than with other persons. Relations are non-inclusive, because they are partial and have limited range. These kinds of relations among people can be found in big factories, business corporations, governmental offices, banks, universities, political parties, trade unions, international associations etc.

2. Largeness of the Size: Secondary groups are relatively larger in size. City, nation, political parties, trade unions, corporations, international associations, such as the Rotary Club, Lions Club, Vishwa Hindu Parishad, Society of Jesus, etc., are, for example, bigger in size. They may have thousands and lakhs of members. There may not be any limit to the membership in the case of some secondary groups.

3. Membership: Membership in the case of secondary groups is mainly voluntary. Individuals are at liberty to join or to go away from the groups. For example, they are at liberty to join political parties, international associations like the Rotary Club, Lions Club, business corporations and so on. However, there are some secondary groups like the state whose membership is almost involuntary.

4. No Physical Basis: Secondary groups are not characterised by physical proximity. Many secondary groups are not limited to any definite area. There are some secondary groups like the Rotary Club and the Lions Club which are almost international in character. The members of such groups are scattered over a vast area.

5. Specific Ends or Interests: Secondary groups are formed for the realisation of some specific interests or ends. They are called 'special interest groups'. Members are interested in the groups because they have specific ends to aim at.

6. Indirect Communication: Contacts and communications in the case of secondary groups are mostly indirect. Mass media of communication such as radio, telephone, television, newspapers, movies, magazines, post and telegraph etc., are resorted to by the members to have communication. Communication may not be quick and effective even. Impersonal nature of social relationships in secondary groups is both the cause and the effect of indirect communication.

7. Nature of Group Control: Informal means of social control are less effective in regulating the relations of members. Moral control is only secondary. Formal means of social control such as law, legislation, police, court etc., are made use of to control the behaviour of members. The behaviour of the people is largely influenced and controlled by public opinion, propaganda, rule of law and political ideologies.

8. Group Structure: The secondary group has a formal structure. A formal authority is set up with designated powers and a clear cut division of labour in which the function of each is specified in relation to the function of all. Secondary groups are mostly organised groups. Different statuses and roles that the members assume are specified. Distinctions based on caste, colour, religion or region, class, language etc., are less rigid and there is greater tolerance towards other people and groups.

9. Limited Influence on Personality: Secondary groups are specialised in character. People's involvement in them is also of limited significance. Members' attachment to them is also very much limited. Further, people spend most of their time in primary groups than in secondary groups. Hence secondary groups have very limited influence on the personality of the members. MacIver is of the opinion that the specialised character of the secondary groups is an obstacle to the realisation of the individual's fuller life and the development of his humane impulses.

3.2.2.1 Importance of Secondary Groups

The secondary groups are playing a very important role in the modern civilised and industrialised societies. For a long time the primary groups could meet the essential requirements of people. Due to the growth of cities and population, complexity of social structure and differentiation of interests, secondary groups have become a necessity. Particularly, the processes of

Structure of Human Society

Industrialisation and urbanisation have added to the unprecedented expansion and growth of society. As a result, the simple face-to-face groups could no longer serve the basic needs of the people. Secondary groups have replaced the earlier primary groups in many fields.

The Industrial Revolution, modern science and technology on the one hand, and the new political and religious outlook and ideologies on the other, have changed the very character of the modern society. There has been a radical change in the attitudes and outlook, interests and tastes, needs and necessities, ideas and ideologies of the people. Secondary groups of innumerable kind have come into being in order to cater to the needs and demands of the modern society. Not only the number but even the varieties of the secondary groups are increasing. People are becoming more and more dependent on these groups now.

Our life is, today, to a great extent, lived and controlled by large number of secondary groups. Our social set up is such that we are often inevitably dragged into one kind of secondary group or another. For example, a labourer working in a factory is forced to join a trade union whether he wants it or not. It becomes almost a necessity for the labourer to join one union or the other to protect his rights and fulfill his interests. Secondary groups have entered almost all the fields political, economic, commercial, industrial, religious, educational, cultural etc.

More than the primary group the secondary groups are dominating our life. Much of our activities and achievements are carried on through secondary groups. They provide opportunities for us to develop our faculties and express our talents. They liberate and limit our energy. Much of our attitudes and outlook, ideas and ideologies are shaped and moulded by them. The modern civilised life is such that men have started establishing primary groups within the broader secondary groups. Small 'cliques', 'gangs', 'unions' consisting of a few may be found in the form of informal groups within the larger secondary groups.

Men have started showing their loyalties towards their larger groups. The spirit of sacrifice, helpfulness, service, cooperation, dedication, sympathy, fair play etc., which we consider to be the characteristic qualities of primary group are also often found to a very great extent in secondary groups. Commitment to a political party or religious association, loyalty to the nation, sense of duty towards society, identification with a trade union, allegiance to the army etc., are qualities which are found commonly in many secondary groups.

Primary Groups and Secondary Groups Differences

The classification of social groups into 'primary groups' and 'secondary groups' is not rigid. These groups are not watertight compartments. The groups having preponderance of primary or 'face-to-face' relations are primary groups. And the groups other than those of the primary groups are secondary groups. They constitute a residual category. Differences between the two are relative but not absolute. Even in secondary groups we find some elements of primary relations. Secondary groups too possess to some extent some attitudes of loyalty, devotion, faith, cooperation, sympathy, kindness etc., without which they cannot function. Members of primary groups such as family, neighbourhood are also members of political parties, trade unions, religious associations and so on. Still these two types of groups can be distinguished on some grounds. The following table makes evident the difference between the two.

3.3.4 Formal and Informal Groups

Some social groups are formally organized. They are regulated under a system of norms and standards of behaviour or some times regulated by law and organized to realize a specific goal. For example, political parties, business firms, governmental agencies, hospitals, prisons, armies and universities are all large formal organizations.

Members who participate in formal organizations must adhere to the rules of command, codified rights and obligations. Recruitment is based on specialized training and positions are occupied by qualified personnel. Therefore it is an arrangement in which the activities of some people are systematically planned by other people (who have authority over them) to

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achieve a special goal. The patterned sets of relationships between the members are guided by regulated norms and the organization consists of highly specialized roles. The members are culturally heterogeneous. The goals of the organization are considered highly important. Example: state bureaucracies, industrial enterprises and military offices.

Many informal structures develop in addition to the formal structures. Informal structures are unconsciously created with no specific goals. They have no established norms and legal rules that apply to them, rather they are maintained by unwritten rules and other undertakings that members must keep in mind in order to govern themselves. Families, friendship groups are typical informal group.

Formal Group

Some Social Groups in the society are formally organized. The formal group is guided by written rules of the members is determined by the place in the organization. The behaviour of the members of the formal group is regulated by the established norms and rules. The members should abide by the norms and rules of the work otherwise the goals of the group will not be realized. For example: Political parties, Business firms, Industries, Hospitals, Prisons, Universities etc., are all formal organisations. Any serious violation of the rules of these groups by the members is visited by punishment. Membership into formal groups is based on qualification. Unless the person is trained in a particular profession of the group, he will not be admitted in to the group. So it is imperative that proper arrangement and planning are made to admit the members into the formal group. Members are culturally heterogeneous.

Informal Group

Informal groups are dominant in the society. Informal groups are unconsciously developed without any specific and direct effect from any quarter. The characteristic feature of informal groups is that they have no established norms and legal rules that the members of the groups have to abide by. But their behaviour is maintained by unwritten rules regulations. Any informal group has also a code of conduct but a never a written one. It is custom and tradition that prevails in an informal group. Family and friendship groups belong to informal groups.

3.3.5 In-Groups and Out-Groups

American sociologist W.G. Summer in his book "Folkways" has classified groups into "in-groups" and "out-groups". This classification depends more on the psychological factors rather than on the external physical factors. The group which an individual belongs is an "in-group" and the rest of the groups are "out-groups". Example: One's own family, peer group, friendship group, religious group, caste group, linguistic group, occupational group etc., are "in-groups", and other groups, are "out-groups".

The explanation of what constitutes an 'in-group' and an 'out-group' is very much personal. Horton and Hunt write: "Three are some groups to which I belong - my family, my church, my clique, my profession, my race, my sex, my nation - any group which I precede with the pronoun, "my". These are "in-groups", because I feel belong to them. There are other groups to which I do not belong other families, cliques, occupations, races, nationalities, religious, the other sex. These are "out-groups", for I am outside them".

This classification hinges on two important factors: Firstly, an individual's mental preparedness or readiness to identify himself with a group or a set of groups and to separate himself from the 'other' groups, Secondly, the classification depends on a attempt to identify the boundaries of groups which serve as "in-groups" Ian Rebertson too has jointed out "All groups, however, tend to maintain their boundaries by developing a strong sense of the distinction between the "we" of the group and the "they" who are outside the group".

In Group and Out Group Relationship

In the simple tribal societies 'in-and out-group' relationships are very simple and direct. All those who belong to the same class or totemic group, or kin group are identified as members of 'in-group', and other out-siders.

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In modern society, people belong to so many groups that a number of their in-group and out-group relationships may overlap. For example, a person in the urban neighbourhood may consider all the people [who belong to different social classes, caste groups, religious groups, religious groups, political groups, linguistic groups, etc.] living in his neighbourhood as members of his 'in-group' for some limited purposes. When the question of his caste interest or linguistic interest or religious interest arises the same person may consider people who belong to his own caste or linguistic or religious group as members of his in-group and others are outsiders.

Relative Influence of In-Groups and Out-Groups

In-group and out-group relations lead to some consequences. Members tend to regard their own group, the in-group, as being something special, more worthy, more intimate, helpful, dependable and so on. On the contrary, an out-group to which other people belong is considered less worthy, less intimate, not dependable, and it may even be viewed with hostility.

Exclusion from an in-group can be a brutal process. Most primitive societies treated outsiders with hostility. The word 'stranger' meant for them nothing but "enemy"

In-Groups and Out-Groups affect Behaviour

In-groups and out-groups are important because, they affect behaviour. From fellow members of an in-group we expect recognition, loyalty and helpfulness. From outsiders our expectation varies with the kind of out-group. We expect hostility from some out-groups, a more or less friendly competition from some other; from still a few others, total indifference.

As far as in groups are concerned, they draw the members together and increase the solidarity and cohesion of the group. In the presence of a common enemy, real or imaginary, in-group plays a vital role in uniting people against the common 'danger'.

Reference Groups

There are groups which are important to us as models, even though we ourselves may not be apart of the group. Reference group denotes a kind of social relationships. Reference group therefore, is a category of social actors with whom an individual compares and contrasts himself, his behaviour, his goals and his sentiments. From this comparison much of his image develops. Sometimes the individual may need the opinion of "high society" to improve his status. At times the reference and the in-group may be the same, when the teenagers give more importance to the opinions of the gang rather than to those of his or her teachers. Likewise, an out-group serves as in-group. The prisoners of war wear dress similar to that of their enemies, in order to impress them. Further, a reference group may also be a negative group. Therefore a reference group is any group whose values and norms are adopted by us. An individual may select particular groups whose approval, or disapproval he or she especially desires.

3.4 COMMUNITY

The term Community is very loosely used. It is given different interpretations and used in different ways to mean different things. In their casual talks, people often use the term community to refer to a racial community, or a religious community or a national community or a caste community or a linguistic community or a professional community or sometimes, to refer to the entire mankind in a restricted sense, it is used to mean an association or group, and in wider sense, it is used to refer to the entire humanity.

3.4.1 Definition of Community

Community is "a social group with some degree of "we-feeling" and living in a given area"
-Bogardus

Community is "the smallest territorial group that can embrace all aspects of social life"
-Kingsley Davis

Community is "an area of social living marked by some degree of social coherence"
-R.M. Maclver

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“A community is a group or collection of groups that inhabits a locality”

-Ogburn and Nimkoff

Community is “any circle of people who live together and belong together in such a way that they do not share this or that particular interest only, but a whole set of interests”

-Manheim

Community is, therefore, a geographic area having common centres of interest and activities. A community is essentially an area of social living. It is marked by some degree of social coherence. Thus community is a circle in which common life is living. ‘Community’ is an all-inclusive term. It includes in itself all our social relationships. It includes a variety of associations and institutions. Within the range of a community the members may carry on their economic, religious, political, education and other activities. Hence community is the total organisation of social life within limited space.

Examples: village, town, tribe, city, district.

3.4.2 Elements of Community

The main bases of Community are: (i) locality, and (ii) community sentiment.

(i) Locality

A community is a territorial group. It always occupies some occupies some geographic area. Locality is the physical basis of community. Even the wandering tribe or a nomad community, for example, has a locality, though changing habitation. A group of people forms community only when it begins to reside in a definite locality. In contrast with society, a community is more or less locally limited.

Living together facilities people to develop social contacts, gives protection, safety and security. It helps the members to promote and fulfil their common interests. Further, the very physical conditions may influence social life to a great extent. Most communities are settled and derive from the conditions of their locality a strong bond of solidarity.

Locality continues to be a basic factor of community life. However, in modern times the local bond of community is weakened by the development of the means of transport and communication. In fact, the extension of communication is itself the condition of a larger but still territorial community.

The physical factors such as fertile soil, minerals, forests, fisheries, water resources, vegetation, weather, climate, etc., are included in the locality. These factors condition or influence the lives of community members in several ways. They have a close bearing on their economic activities in particular.

(ii) Community Sentiment

Locality alone cannot make a group, a community. Sometimes, people residing in the same area may not have any contacts and communications. For example, people living in different extensions of a city may lack sufficient social contacts. They may not have common outlook and share no common interests. A community is essentially an area of common living with a feeling of belonging. There must be the common living with its awareness of sharing a way of life as well as the common earth.

Community Sentiment means a feeling of belonging together. The members must be aware of their staying together and sharing common interests. The members develop a sense of we-feeling. It means a kind of identification with the group. Without a sense of identification, a sense of awareness, a sense of living and sharing some common interests in life, there cannot be any community.

Other Aspects of Community

(i) Stability

A community has not only locality and community sentiment, but also has stability. It is not a temporary group like a crowd or a mob. It is relatively stable. It includes a permanent group life in a definite place.

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(ii) Naturalness. Communities normally become established in a natural way

They are not deliberately created. They are not made or created by an act of will or by planned efforts. Individuals become its members by birth itself. Membership, hence, is not voluntary. Communities are spontaneous in their origin and development. Of course, they cannot come into being suddenly and automatically.

(iii) Size of the Community

Community involves the idea of size. A community may be big or small. A small community may be included in a wider community. A city and a village may be included in a wider community called the district. Hence, there are communities within communities. District, as a big community may enclose small communities like villages, town, cities, tribes, etc. Thus the term community is used in a relative sense.

(iv) Regulation of Relations

Every community develops in course of time, a system of traditions, customs, morals, practices; a bundle and regulations to regulate the relations of its members. The sense of what they have in common memories and traditions, customs and institutions shapes and defines the general need of man to live together.

However, in modern times, the nature of community sentiment is gradually changing. Today, the interests of men are diverse and complex. Their attachment towards their community is gradually fading. In modern highly industrialized urban communities, the spirit of community sentiment is very much lacking.

3.5 ASSOCIATION

We use the words association and institution very commonly in our daily talks. Sometimes, these words are used interchangeably to mean one and the same. But these words are used in a specific way in Sociology. Hence it is necessary for us to know the meaning and nature of and difference between these two terms.

Men have diverse needs, desires and interests and ends which demand their satisfaction. They have three ways of fulfilling their ends. Firstly, they may act independently, each in his own way without bothering about others. This is unsocial and has its own limitations. Secondly, men may seek their ends through conflicts with one another. One may clash with another or others to snatch things or objects which one wants from others. Finally, men may try to fulfill their ends through co-operation and mutual assistance. On the basis of this co-operative effort each individual will be contributing to the ends of his fellow-men. This co-operative pursuit has a reference to association. When a group or collection of individuals organises itself expressly for the purpose of pursuing certain of its interests together on a co-operative pursuit, an association is said to be born.

3.5.1 Definition of Association

An association is “an organisation deliberately formed for the collective pursuit of some interest, or a set of interests, which its members share”

-R.M. MacIver

An association is “a group of social beings related to one another by the fact that they possess or have instituted in common an organisation with a view to securing a specific end or specific ends”

-Morris Ginsberg

An association is a group of people organised for the achievement of a particular interest or interest.

An association is “a group organised for the pursuit of an interest or group of interests in common”.

Men have several interests. Hence they establish different associations to fulfill them. They have a number of associations of different kinds. Some examples may be cited here.

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- (1) **Political Associations:** The Bharatiya Janata Party, The Congress Party, The Communist Party, The Bharatiya Janata Yuva Morcha, etc.
- (2) **Religious Associations:** The Vishwa Hindu Parishad, The Ramakrishna Mission, The Arya Samaj, The Society of Jesus, etc.
- (3) **Students' Association:** The Akhil Bharatiya Vidyarthi Parishad, Delhi University Students' Association, The National Students Union of India, Chhatra Yuva-Sangharsh Vahini, etc.
- (4) **Labourers' Associations:** Bharatiya Mazdoor Sangha, The Hind Mazdoor Panchayat, Indian National Trade Union Congress, All India Trade Union Congress, etc.
- (5) **Professional Associations:** Karnataka State College Teachers' Association, Indian Medical Association, The Indian Bar Council.
- (6) **Economic Associations or Business Organisations:** Business Corporations, Hotels Owners' Association, Chamber of Commerce, The Consumers' Co-operative Society, etc.
- (7) **International Associations:** The Rotary Club, The Lions' Club, The Y.M.C.A., Y.W.C.A., The Amnesty International, Friends of India Society.

The Associations may be found in different fields. No single association can satisfy all the interests of the individual or individuals. Since man has a bundle of interests, he organises various associations for the purpose of fulfilling his varied interests. It follows then that a man may belong to more than one association. He may be member of a political association, religious association, a professional association, a cultural association, an entertainment club, a sports club, a rotary club, and so on.

3.5.2 Characteristics of Association

The characteristics of association are as follows:

- (i) **Association a Human Group:** An association is formed or created by people. It is basically a social group. Without people there can be no association. However, all groups are not associations, because, an association is basically on organised group. An unorganised group like crowd or mob cannot be an association.
- (ii) **Common Interest of Interests:** An association is not merely a collection of individuals. It consists of those individuals who have more or less the same interests. Accordingly, those who have political interests may join political associations, and those who have religious interests may join religious associations, and so on.
- (iii) **Co-operative Spirit:** An association is based on the co-operative spirit of its members. People work together to achieve some definite purposes. For example, a political party has to work together as a united group on the basis of co-operation in order to fulfill its objective of coming to power.
- (iv) **Organisation:** Association denotes some kind of organisation. An association is known essentially as an organised group. Organisation gives stability and proper shape to an association. Organisation refers to the way in which the status and roles are distributed among the members.
- (v) **Regulation of Relations:** Every association has its own ways and means of regulating the relations of its members. Organisation depends on this element of regulation. They may assume written or unwritten forms.
- (vi) **Association as Agencies:** Associations are means or agencies through which their members seek to realise their similar or shared interests. Such social organisations necessarily act not merely through leaders, but through officials or representatives, as agencies. Associations normally act through agents who are responsible for and to the association. This fact gives

association a distinctive character and its peculiar legal status. Further, association may have its own methods of operation peculiar to it as an association.

(vii) Durability of Association: An association may be permanent or temporary. There are some long-standing associations like the state, family, religious associations etc. Some associations may be purely temporary in nature. Example: Associations that are established to felicitate some great writers, scientists, and religious leaders and associations created for performing some social, religious or other ceremony or fair on a grand scale.

It is clear from the above, that an association is not merely a group, it is something more than that. It is a group expressly organised around a particular interest. The qualification “expressly organised”, helps us to distinguish between association and other social groups. Social groups like class, crowd, mob, public, etc., in this way, are not associations.

In modern society, the number of associations is on the increase. Not only their numbers is increasing, but their varieties are also increasing. In almost all the fields of our social life we have associations. The rapid changes that are taking place in different fields of our social life have necessitated the birth of a large number of associations. In modern democratic countries associations have a distinct role to play. Their role in strengthening the democratic set-up can hardly be exaggerated. The modern age today, is really an age of organisations or associations. Man’s life is, today, to a very great extent, live and controlled by the larger association.

3.6 INSTITUTION

The concept of institution is one of the most important in the entire field of Sociology. Unfortunately, it is a concept that has not been consistently used by sociologists. The importance of understanding the concept of institution in order to understand society is, at the same time, recognised by all the sociologists. In fact, Durkheim has gone to the extent of defining Sociology as the science of social institutions. Sumner and Keller have said, “Folkways are to society what cells are to the biological organism; institutions are its bones and tissues”. F.H. Giddings regard institutions as “the organs that conserve what is best in the past of human race”.

The term institution has been given various interpretations. Some sociologists have used it in a vague manner also. Commenting on this, Harry M. Johnson writes, “both laymen and sociologists often speak of school, churches, business organisations, prisons, and the like as the institutions of the community. This usage is so frequent that we should be foolish to condemn it”.

3.6.1 Definition of Institutions

Ginsberg. Institutions “may be described as recognised and established usages governing the relations between individuals and groups”.

MacIver and Page: Institutions may be defined as the “established forms or conditions of procedure characteristic of group activity”.

Kingsley Davis: Institution can be defined as “a set of interwoven folkways, mores, and laws built around one or more functions”.

H.E. Barnes: Institutions represent “the social structure and the machinery through which human society organises, directs and executes the multifarious activities required to satisfy human needs”.

C.A. Ellwood. Institutions may be defined as “the habitual ways of living together which have been sanctioned, systematised and established by the authority of communities”.

3.6.2 Characteristics of Institutions

The main characteristics of social institutions may be described here.

Social in Nature: Institutions come into being due to the collective activities of the people. They are essentially social in nature. After all, institutions are the products of the secular and repetitive forms of social relationships of the individuals.

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Universality: Social institutions are ubiquitous. They exist in all the societies and existed at all the stages of social development. The basic institutions like family, religion, property and some kind of political institutions are observed even in the tribal or primitive societies.

Institutions are Standardised Norms: An institution must be understood as standardised procedures and norms. They prescribe the way of doing things. They also prescribe rules and regulations that are to be followed. Marriage, as an institution, for example, governs the relations between the husband and wife. Similarly, the school or college has its own rules and procedures.

Institutions as Means of Satisfying Needs: Institutions are established by men themselves. They cater to the satisfaction of some basic and vital needs of man. These basic needs are (1) the need for self-preservation, (2) the need for self-perpetuation, and (3) the need for self-expression.

Institutions are the Controlling Mechanism: Institutions like religion, morality, state, government, law, legislation, etc., control the behaviour of men. These mechanisms preserve the social order and give stability to it. Institutions are like wheels on which human society marches on towards the desired destination.

Relatively Permanent: Institutions normally do not undergo sudden or rapid changes. Changes take place slowly and gradually in them. Many institutions are rigid and enduring. They, in course of time, become the conservative elements in society. Example: caste, religion, etc. But under the pressure of circumstances they also undergo changes.

Abstract in Nature: Institutions are not external, visible or tangible things. They are abstract. Thus marriage cannot be kept in a museum, religion cannot be rated or quantified; war cannot be weighed and law cannot be brought to the laboratory experiments and so on.

Oral and Written Traditions: Institutions may persist in the form of oral and/or written traditions. For the primitive societies they may be largely oral. But in modern complex societies they may be observed in written as well as unwritten forms. There may be written institutional forms like constitutions, sacred text books, syllabus, governmental orders, business contracts, examination system, etc., relating to political, religious, educational and economic institutions and so on.

Synthesising Symbols: Institutions may have their own symbols, material or non-material. Example: the state has flag emblem, national anthem as its symbols, religion may have its own symbols like crucifix, crescent, star, swastika; the school may have its own flag or school prayer, marriage may have its own wedding ring or mangala-sutra, and so on.

Institutions are Interrelated: Institutions, though diverse, are interrelated. Understanding of one institution required the understanding of the other related institutions. The religious, moral, educational, political, economic and other types of institutions are essentially interlinked.

Primary and Secondary Institutions

Institutions are often classified into (i) primary institutions and (ii) secondary institutions. The most basic institutions which are found even in primitive societies like religion, family, marriage, property, some kind of political system, are primary in character. As societies grew in size and complexity, institutions became progressive and more differentiated. Accordingly, a large number of institutions are evolved to cater to the secondary needs of people. They may be called secondary institutions. Ex. education, examination, law, legislation, constitution, parliamentary procedure, business, etc.

Sumner makes a distinction between the crecive and the enacted institutions. Those that evolved or developed naturally, unconsciously and even spontaneously are called by him crecive. Those institutions that are consciously and purposefully and in a planned way established are referred to by him as enacted. The crecive ones are more akin to primary institutions whereas the enacted ones resemble secondary institutions.

3.6.3 Functions of Social Institutions

Institutions have great functional importance. Their main functions are as follows:

- (1) **Institutions Cater to the Satisfaction of Needs:** Institutions contribute to the fulfillment of the fundamental human needs such as (i) The need for self-perpetuation, (ii) perpetuation, and (iii) self-expression. They provide and prescribe the ways and means of fulfilling them.
- (2) **Institutions Control Human Behaviour:** Institutions organize and regulate the system of social behaviour. Through the institutions the unexpected, spontaneous, and irregular behaviour of people is replaced by expected, patterned, systematic, regular and predictable behaviour. Thus, the interpersonal relationships of the individuals are regulated by institutions. They make clear for the members what is allowed and what is not; what is desirable and what is undesirable. This is particularly true of the governmental institutions.
- (3) **Institutions Simplify Actions for the Individual:** Since the institutions prescribe a particular way of behaviour for the fulfillment of our basic needs, they save much of our energy and also time. They avoid confusion and uncertainties and contribute to a system and order in society.
- (4) **Institutions Assign Roles and Statuses to the Individual:** Institutionalisation of the social behaviour consists of the establishment of definite norms. These norms assign status positions and role-functions in connection with such behaviour. Institutions such as family, marriage, education, property, division of labour, caste, religion, etc. provide some social standing for the individuals concerned.
- (5) **Institutions Contribute to Unity and Uniformity:** Institutions which regulate the relations between individuals have largely been responsible for unity and uniformity that are found in a society.
- (6) **Manifest Functions of Institutions:** Every institution has two types of manifest functions (i) the pursuit of its objectives or interests, and (ii) the preservation of its own internal cohesion so that it may survive. For example, the state must serve its citizens and protect its boundaries. At the same time, the state must escape the danger of internal revolution and external conquests.
- (7) **The Negative Functions of Institutions:** Institutions may cause harmful effects also. They do not undergo changes easily and quickly even if the circumstances demand change. When they become too conservative they retard progress. They even hamper the growth of personalities of the people. Religion and caste can be mentioned here as examples to show how they often discourage people to do achievements or adventures.

3.7 ROLE AND STATUS

The human society exhibits an 'order' because the social relations of its members and their activities are normally integrated. The varied needs of the members of society can be fulfilled only when they are prepared to work together by co-ordinating their energy talents, time and their strength and weaknesses. They realise by their common sense and experience that no one can satisfy all his ends and desires by himself. They also come to understand that no one is society occupy different places and discharge different responsibilities in the mutual interest of all. Thus the co-ordination of division of labour is achieved primarily through the assignment of duties and rights to positions or statuses. Society itself is a network of such statuses. Each status has a set of expected behaviours called 'roles'. By providing for such 'roles' associated with each status, the many things which a society wants done will be distributed among people and groups in an agreed manner. This contributes to the orderliness in society. Thus, statuses and roles constitute an important element in social structure.

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3.7.1 Definition of Role

According to **Young and Mack**, “A role is the function of a statue”.

Robert Bierstedt says that a “role is the dynamic or the behavioural aspect of status. A role is what an individual does in the status he occupies”.

Duncan Mitchell writes that “a social role is the expected behaviour associated with a social position.”

For **Kingsley Davis** role refers to “the manner in which a person actually carries out the requirements of his position”.

Nature of Role

An analysis of ‘social role’ would reveal to us the following things.

1. Every individual member of social group or society is bound to play social roles. It means role-playing is obligatory for all members. The number of roles that one plays depends on the statuses that they assumes.
2. Some social roles are shared by a great many people. Example: there are many adults, citizens, voters, authors, ministers, teachers, and so on.
3. Some social roles are enacted only by one or by comparatively a few individuals at a particular time in a particular place. Ex: In India, there can only a few governors at a time depending upon the number of states.
4. Some social roles may be assumed voluntarily. The individual may choose to enact or not enact certain roles. Example: one may choose to live in city as city dweller, play as a bowler in a cricket team, join a voluntary association and play the role of its executive member or not.
5. The assumption of certain roles is largely involuntary. The enactment of many such roles has to take place continuously. Example: Females will have to continuously enact the roles of females, males of males, whites of whites, Harijans of Harijans, and so on. They are unchangeable.

Role Behaviour

‘Role behaviour’ refers to the way in which a certain individual fulfills the expectations of his role. According to T.M. Newcomb, ‘role behaviour’ refers to actual behaviour as distinct from the role itself. T.R. Sarbin uses the term ‘role enactment’ to refer to role behaviour. Example: The status of an engineer ranks above that of a foreman. The engineer’s role includes the expectations that he tells the foreman what to do. But the role behaviour of engineers may vary considerably. Engineer Mr. Gupta gives specific orders and in a pleasant voice, while engineer Mr. Mehta gives very general instructions and in a harsh tone. The difference between them stems out from neither status nor role, but from role behaviour.

Role behaviour is influenced by some factors. It means some factors make an individual to do less or more than what is expected of him in a status. Firstly, role behaviour depends on the efforts that one puts in as an occupant of a status. He may or may not put proper efforts in the direction due to some or the other reason. Secondly, role behaviour depends on the feeling of obligation that one has towards the normative aspect of the status. For example, depending upon the strong or weak obligation that in individual may do his work and play his role as a father. Thirdly, role behaviour is also affected by one’s holding of other positions or statuses with rights and obligations attached to them. The role requirements of different statuses make it almost impossible for the individual who assumes various statuses to do ‘justice’ to all. Individual who somehow try to lead a balanced life make lot of compromises with their obligations. Thus a labourer who is capable of showing a better performance will not do that because of his membership with the trade union which has advocated a go-slow policy. Finally, role behaviour differs with the capacity of the individuals which is determined by both experience and by heredity. Experience involves cumulative learning in previous

situations and heredity influences the effect that experience has. For example, a mentally deficient person cannot ordinarily perform well the duties of husband, teacher, advocate or legislator. On the other hand, a talented person may perform them much better than an average man.

Role Taking

In the role analysis the concept of 'role-taking' has assumed importance. Role-taking or taking the role of the other, means that a person responds by putting himself mentally or imaginatively in the role of the other person in order to regulate his own behaviour. This he does only in view of other's expectations and not necessarily in the direction of conformity. Sociologists used the term 'role-taking' in their discussion of 'social interaction', that is, when some behaviour is initiated by one actor and the reaction comes to it from other actors.

Role-taking is significant in the process of socialisation, that is, in the learning of social roles. The idea of role-taking is fundamental to the theory of 'social self' established by the social psychologist G.H. Mead. The child becomes a social being by playing roles and taking the roles of other individuals. Here the term 'self' is profusely used in role literature. The term 'self' would imply what ego thinks he is as a person, that is, how he sees himself. As Mead has stated in the development of child's social self role-taking is of crucial importance at two stages: the earlier 'play' stage and the later 'game' stage. In the former, the child takes the roles of other persons such as mother, father, teacher, milk man, bus driver, etc., and plays these roles individually. In the latter, the older child can put himself in the roles of a number of other positions simultaneously. For example, in playing a team game the child is able to play the game because of its ability to imagine the roles of all, the other players. Mead used the expression 'generalised other' to refer to the other roles.

Role Conflict

Role conflict refers to the conflict experienced by the individual at the time of role playing. This may be experienced by the individual at two levels: (a) within his own body of roles, and (b) between his own roles and those of other actors.

Firstly, an individual may experience conflict there is a discrepancy between his perception of his role and his perception of his actual role behaviour. This conflict may have harmful effects upon his self-image. For example, if a person finds a vast difference between how he should act as a husband and how he actually does behave-he may experience an inner conflict. In extreme cases, one may even become neurotic.

Secondly, an individual may experience conflicts within his own body or roles. An individual may perceive some incompatibility between the role requirements of two or more roles when he is playing them together. For example, one's role as a doctor may come into clash with one's role as a husband or wife at home. The doctor is expected to serve the patients even during the non-working hours, if he need arises. It is equally expected of the same person as a husband or wife to pay attention to the needs of the family and family members at least during the non-working hours. Conflicts of this kind arise only when the occupants in the counter positions perceive the role of the individual concerned in a different way. Thus, the doctor experiences a conflict because, the doctor's wife has a different perception of her husband's role. Similarly, a factory worker may experience conflict when his opinion of his duties and obligations as a worker differs from the opinions of both his employer and his junior leader.

In a simple, culturally homogeneous and relatively 'immobile' society, there may be comparatively less role conflicts. But in a comparatively complex and heterogeneous social system role conflicts have increased a great deal. These have led to more and more group tensions as well as individual discomforts.

3.7.2 Status

Society is understood in terms of the network of social interaction and interconnection. In any interaction situation we cannot expect every one to respond to the stimulus in the same

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manner. Because everyone has his own separate identity which is already there even before entering the social situation. Example: A husband expects sexual response from his wife, but other men have no such right to expect such a response from her. Similarly, patients expect treatment for their diseases from the doctors, students expect clarification for their doubts in lessons from their teachers, and so on. Thus, everyone enters a social situation with an identity. This identity refers to his position or status.

Definition of Status

According to Duncan Mitchell, social status refers to “the position occupied by a person, family, or kinship group in a social system relative to others. This determines rights, duties and other behaviours, including the nature and extent of the relationship with person of other statuses”.

Ralph Linton says that “status is the place in a particular system, which a certain individual occupies at a particular time”.

Robert Bierstedt is of the opinion that “A status is simply a position in society or in a group... the status is the position afforded by group affiliation, group membership, or group organisation. It is ‘set’ in the structure of the group or of the society before a given individual comes along to occupy it”.

For Morris Ginsberg “A status is a position in a social group or grouping, a relation to other positions held by other individuals in the group or grouping”.

Nature of Status

1. **External Symbols to identify the Status:** As Kingsley Davis has said, a person’s identity in a social situation reveals his status. Though not always certain external symbols help the identification of one’s statuses in society. The style of dress is one such indicator. Soldiers and army officers, nurses, doctors, advocates, policemen, religious missionaries, priests wear different dresses. The status could be understood by means of their dresses. The various badges the policemen, and the army officials wear further pin point their status. Sex status of men and women could be ascertained with the help of the dress that they wear. In some societies married and unmarried persons, the old and young, the merchants and craftsmen wear different costumes. This kind of identification has its limitations because some unauthorised person may wear certain type of costumes for fun, fashion or for cheating.
2. **Every Status has its Own Rights, Duties and Obligations:** The nature of these rights and duties is decided by the normative system of society. A right is a legitimate expectation that one can entertain as an occupant of a status in relation to the behaviour of a person in another position. From the viewpoint of another person their claim represents only an obligation. For example, it is the right of an employer to expect a particular behaviour from his employee and it is the obligation of the employee to behave in the so desired manner. Similarly, it is the right of an employee to expect some rewards for his labour from his employer, and it becomes the obligation; but it becomes a duty on the part of the employer to give the rewards to the employee. Thus, ‘rights’ and ‘obligations’ are only different definitions of the same relationship.
3. **Social Statuses are Governed by Norms:** These norms vary with person, situation and statuses, even though they are believed to be common to all. For example, the norms like ‘be honest’, ‘be truthful’ etc., are believed to be common to all. But in practice we know that a doctor cannot always tell the truth to the patient regarding the state of his disease. Similarly, a merchant cannot practise honesty always in his trade. Thus norms are always relative to situations. Which norms apply in a given case depends the relations between the statuses of the interacting persons and the situations in which they interact.

Structure of Human Society

4. **One individual may have Several Statuses:** Since society can be understood as the network of statuses, it is quite natural that in every society we find a large number of groups which have many statuses. Every individual occupies many such statuses. His status will differ with the type of group.

In a modern complex society each individual during the course of a single day may find himself in a large number of statuses. Example: A college student may be a student to his teachers, a customer to the shopowner, a depositor to his banker, a passenger to the bus driver, a brother to his sister, a son to his father and mother, a secretary to the members of the cricket club, a male to all females, a patient to his doctor, and so on. It means the individual occupies the status such as student, customer, depositor, passenger, brother, son, secretary of the cricket club, patient and many such statuses in the course of a single day. It becomes thus impossible to enlist all the statuses that each one is likely to occupy at one time or other in the course of his entire life. Of course, in smaller and simpler societies an individual can have only a few statuses.

5. **Statuses Exercise an influence upon the Careers of individuals:** The behaviour of individuals can be understood only by understanding the status that they assume in their respective groups or societies. For example, an Eskimo cannot think of becoming a nuclear physicist because such a status is not there in his society. Similarly, no American boy at present wants to become a witch-doctor because there is no such status in his society.
6. **Statuses differ with their Degree of Importance:** Some statuses are more important than others in deciding the position of an individual in society. Different societies have different criteria for deciding the importance of statuses. Sociologist E.T. Hiller has made use of the concept of 'key status' to denote a man's position in society. In most of modern industrial societies, for example, 'occupational status' has become the 'key status'. It mostly influences his various other statuses. In some societies, kinship statuses, religious statuses or even political statuses may be more important and hence become 'key statuses'. In India, caste status and occupational status may be more important. Russians may attach more weightage to political status and so on. In primitive societies age, sex and kinship statuses are important than others.
7. **Statuses add to Social Order and Social Stability:** We are all born into a society in which the statuses are already there. They are the part of the structure of our society. We are not creating them afresh. The statuses of farmers, soldiers, teachers, clerks etc., are not our creations. In exceptional cases some may find out new ways and new paths of living and thus may create new statuses. Like other elements of culture, status, which is a cultural item, is also dynamic. Some statuses, may in course of time, become obsolete, and disappear from the social structure. But most of the individuals, in most of the cases occupy statuses that are already there established in the societies in which they are born.
8. **Social Status has a Hierarchical Distribution also:** All the statuses in society are not equally distributed among all. Thus a few persons occupy the highest positions while the majority assume the so called 'ordinary' statuses. The theoretical assumption behind the distribution of the statuses is that the statuses are determined competitively by the possession of abilities relative to the demand for abilities in society. Thus, it could be said in the competitive struggle those who possess greater abilities and qualities assume higher statuses in society. But in actuality, the relation between the possession of abilities and the assumption of higher statuses has not been found to be invariable. The factors such as private property, inheritance, social services, etc., all modify the form of the distribution of statuses.

3.7.2.1 The Organization of Status

Every individual in society occupies many different statuses. As an occupant of these statuses he has to fulfill his obligations and duties towards the counter positions. Hence in the

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interest of the individual and the society it is essential that these statuses get integrated or organised properly.

Sometimes we recognise a particular individual as an occupant of a particular status even though he may be an occupant of several other statuses at the same time. We also speak of the status or the social position of a given individual by which we imply the sum total of his specific statuses and roles. Example: We may speak of Mr. X as a good advocate or Mrs. Y as a renowned dancer. Here we implicitly accept that the person concerned has many statuses and we are pointing out only one of them for a particular reference.

The statuses that an individual occupies and the roles that he plays constitute an essential element in his personality. The time, energy and ability that an individual has, are very much limited. He must achieve results and satisfy needs. For this the system of his statuses must be integrated to some extent. Otherwise, he may feel unhappy. His personal efficiency, confidence and contentment also depend on the integration of his various social positions.

From the societal point of view, the total system of statuses in the entire society or group must be integrated to some reasonable extent. The very existence of society depends on such an integration. Normally, occupational, religious, political and other statuses are built in such a manner that they provide scope for such as integration through an interlocking system of rights and obligations. What is to do note is that the system of statuses remaining permanent while those who occupy these statuses may get changed. For example, in the economic system of a society; 'employer-employer' statuses and roles are designed by the society. In actually, these statuses and roles remain permanent though the occupants of these statuses may differ markedly. Thus, for the smooth functioning of the society it is essential that its innumerable statuses are properly organised or integrated.

3.7.2.2 Status and Office

The terms 'status' and 'office' are interrelated. The term 'status' designates a position in the general institutional system of a society. Since such an institutional system which is more evolved in natural is recognised and supported by the entire society and rooted in the folkways and mores, the status associated with it, is also well recognised. Example: In the institutional system of university we recognise the statuses of 'professor', 'dean of arts faculty', 'vice-chancellor', 'registrar' etc.

The term 'office', on the other hand, designates a position in a purposefully created organisation. This organisation may be governed by specific rules in a limited group. The position in the organisation which is called 'office' is generally achieved and not ascribed. Example: The 'master carpenter of Southern Timber Company, 'dean of the faculty of arts of the University of Mangalore', etc.

It is quite obvious that holding an office may, at the same time, given an individual, a status. The kind of status it gives depends upon the importance of the organisation of which office is a part. The status also depends on the importance of this particular office within the organisation. Example: An inspector general of police and a circle inspector though both occupy a place in police department have wide difference in their ranking. Depending upon their mark their positions offer them different statuses.

It is also quite likely that an individual may acquire a certain office because of his access to a particular status. Statistics have proved that the sons of professional people and businessmen have a greater chance of securing high positions and officer than the sons of labour-class people.

These two kinds of social positions, that is, status and office, are necessarily interrelated and interdependent. For example, occupational position may be both a status and an office. It appears as a 'status' from the standpoint of the general public, and sounds like an 'office' from the viewpoint of the particular business company or agency.

The esteem accruing collectively to individuals in a status can in course of time alter the prestige of that status. For example, if, over a period of years, only incompetent persons were made Vice-chancellors of a University, the prestige of Vice-Chancellorship would suffer badly. Further, we have a tendency to speak proudly of highly esteemed persons who occupy the same status as we, because we feel that their presence raises the prestige of our position.

Ascribed and Achieved Statuses

There are two ways in which an individual in society can get his status, that is, through 'ascription' or 'achievement'. Some statuses are inevitable for the individual while others can be selected by him more or less freely. Linton uses the concepts of 'ascribed' and 'achieved' to refer to this distinction of statuses. Some statuses are 'ascribed' to individuals while others are achieved by them. It is possible to find in some societies more of ascribed statuses than achieved statuses and the converse may be true in some others. But strictly speaking, all the societies make use of both the principles-of ascription and achievement-in providing for the statuses of their members.

(a) Ascribed Status

Ascribed statuses are those over which the individual has absolutely no choice. They are derived from membership in involuntary groups such as sex group, age group, racial group, etc. At the beginning stages of socialisation itself the new born individual derives such statuses. Virtually these statuses are 'ascribed' to the individual before knowing his potentialities. These statuses definitely "determine and limit the range of statuses" which he may subsequently achieve or try to achieve. Statuses are ascribed mostly on the basis of following considerations.

1. Sex

An individual's sex is a highly visible physiological fact. It appears at birth and remains fixed for life. Individuals are born as either males or females and remain so for life. This sex difference is taken as one of the bases of ascribing status to the individuals. Some of the achieved statuses are influenced by this factor of sex.

It is wrong to assume that the male-female division of statuses is mainly based on inherent traits of men and women. Because, biological attributes cannot explain the behaviour differences of men and women. Further, social differences themselves are not fixed but they change from one society to another and from one time to another. Example: Among the Tchambuli people, women are the bread-earners whereas men look after household work and spend time in combing hair, wearing different kinds of beads and other kinds of beautification. Among the Mundugumor people women and men are equally aggressive. Among the Trobriand Islanders, except for breast-feeding, all the other tasks of child nursing are done by the father. In some tribes, the father gives training to the son in the art of dancing. These differences cannot be explained by the biological attributes as such.

In reality, the assignment of 'female status' to women is mainly due to her 'child-bearing function'. Her physical weakness and limitation mainly spring from this fact. Woman is thus forced to carry the parasitic embryo in her body for a long time and nurse it later when it comes out of her womb. She is thus provided with some tasks that are compatible with reproduction. Usually, though not invariably, she is given tasks such as keeping house, cooking, gardening, sewing, making pots and baskets. These may fit in with her tasks of child-bearing and child-rearing. Very rarely women are assigned the tasks that take them away from their home for a long time, and those require heavy physical exertion, exposure to bodily injury and sheer physical strength. For this reason, female work is more uniform and localised than that of men.

In the modern complex societies the statuses assigned to women have changed greatly. Still some division of labour between the sexes persists. In the occupational sphere today though some are not excluded they are handicapped in competition against men in

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certain fields such as medicine, law, college teaching, factory work, defence, industry, etc. Certainly they are excluded in works such as coal mining, structural steel work, underwater tunneling, etc. It means for women, their ascribed statuses limit their attainment for achieved statuses.

2. Age

All societies recognise differences in statuses and roles related to age. Like sex, it is a definite and highly visible physiological fact. Unlike sex, age cannot give rise to permanent lifetime statuses. Age represents not static but a steadily changing condition. The age relationship between given persons, that is, between father and son, younger brother and elder brother etc., remains fixed throughout life. But each living individual is subject to different age statuses during his life span. Most of the societies recognise five main age statuses such as: infancy, childhood, adolescence, adulthood and old age. In some societies the unborn and the dead too are recognised as two peculiar age-periods which have their own importance.

The unborn may be believed to be the spirits of departed ancestors. Hindus think of the unborn in a vague manner as the spirits of 'souls' of persons who lived in previous incarnations or 'jamas'. The transition from the status of the unborn to the status of the living is marked by some kind of ceremonies. Some taboos have surrounded the very event of birth. The Hindus, for example, observe pollution for 11 days from the day of birth of the child. Among the Chinese and Greeks the new born child is recognised as a member of the society only after the relevant ceremonies are held.

The transition from infancy to childhood is relatively smooth one and involves no social complication. But the change from childhood to adolescent period and then to adulthood is of tremendous importance. During this transitional period obvious physiological and mental changes do take place in the individual. The individual who has been absorbing culture now starts participating in it. The change to adulthood is widely recognised in ceremony, custom and law. In some communities 'puberty rites' are observed. In some societies marriage takes place soon after this change, though in the civilized societies it takes place after a long time.

In the modern society, the transition from the childhood to adulthood involves great strains for the following reasons. Firstly, the child becomes an adult not when he is physiologically mature but socially mature. The physiological maturation takes place long before the individual is admitted socially as an adult. Secondly, man is not all at once considered socially as competent to take up any kind of activity. Physiological maturation does not guarantee that the person is fit for any kind of socially important tasks. Thirdly, there is no universally accepted and publicly expressed procedure or step as such to declare that an individual has become an adult. It becomes a matter of private definition in each family. Fourthly, there is a long time interval between sexual maturity and marriage. But this prolonged period of bachelorship and the disapproval of pre-marital sex relationship that introduce an element of sexual strain have further complicated the period of adolescence.

The passage of individuals from adulthood to old age is not very much visible. It varies with individuals also. Normally in old age mental and physical powers decline and dependence on others increases. Hence the range of thought and action of the old become very much limited. The roles assigned to the old also vary considerably from society to society. In some societies they are relieved of their work while in others they are made to work hard. The old may receive a high degree of reverence in some societies such as those of Indians, Chinese, Japanese, etc., while their counterparts in the West may not enjoy that much of respect. In extreme cases, as it has been among the Eskimos, the old may even be abandoned and hence made to meet death. In some societies, the transition to old age status is socially distinguished. For example, in Japan, it was customary for the old father to hand over to the son his power in a formal to enter a period of voluntary retirement. The Hindu concept of 'Vanaprastharam' also reveals the same thing.

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In settled cultures normally, an individual's power and prestige increases with age. The older persons seek to hold their power which they have enjoyed so far. Society too may expect their service especially for political and administrative purpose. They are able to hold their power because of a superiority which is based on knowledge and experience. The younger ones may appreciate this superiority or envy it. This superiority is definitely developed by the ascription of status on the basis of age in an organised society.

Not only the living individuals but also the dead are given a status in society. The main reason is the livings are descended both physically and socially from the dead. The practice of ancestral worship clearly indicates the recognition of the status of the dead. Among the Hindus, there is the ritual of 'Shraddha' in which the dead are given some offerings. In some societies the great deeds of the great men are remembered. In this case, their status would indicate an achieved status.

Finally, as Ralph Linton has pointed out, "In the case of age, as in that of sex, biological factors involved appear to be secondary to the cultural ones in determining the content of status".

3. Kinship

Kinship status reveals the individual's relation to his parents and siblings. The new born infant's status in the community is normally identified with that of the parent's. This ascription is highly arbitrary because there is no necessary relation between the capacities of the parents and those of the offspring. Stupid parents may have wise children and vice-versa. Still it is socially convenient to relate the child to the society through the parents. When the child is born the father and mother become responsible for it. They only socialise him in the initial stage. It is quite natural that the child's first status connection rests with the parents only.

The child may take the status of parents soon after its birth as it is in the case of caste or race. But sometimes it may acquire the parental status sometimes later as it is in the case of succession or inheritance. The latter one is often referred to as the process of "delayed ascription". Further, the child in its later life may seek to acquire some achieved statuses that are different from those of parents. The relative advantage or disadvantage that the child enjoys in securing these statuses is mostly provided by his parents. Example: The son of an upper-class man has greater advantages in making achievements in academic field than the son of poor-class man. This is also true in the case of open-class occupational placement. This is often referred to as "fluid ascription". Here the element of achievement does not completely dismiss the element of ascription.

It is true that a number of important statuses of the child are dependent on the factor of kinship. The ascription of citizenship, religious affiliation, and community membership, for example, in most cases are, a matter of identification with parents. The class or the caste position is transmitted from parents to the child.

Due to kinship ties the child acquires not only a status in larger society but also a position in the family. The child acquires the status as a son or daughter. To his parents' kinsmen he may be a grandson, a nephew, a brother, a cousin and son. Mutual rights and obligations go along with kinship connections. Even in the modern society, if not extended kinship ties, the immediate family ties remain socially important. In some societies much of social life is governed by them.

4. Other Bases of Ascription

In addition to age, sex and kinship there are also other bases of status ascription. Since the individual manifests certain racial traits at the time of his birth itself, it is possible to ascribe him a racial status. An individual has no choice about his place of birth and hence his regional and national statuses are ascribed. Though these may be changed later, there is no initial choice. Similarly, we are born as Hindus, Christians, Muslims etc., for our religious status is ascribed at birth itself. A different religious status may, however be, acquired later. Our initial

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class-status is likewise ascribed. At birth, we take on the class position of our parents for we have no choice. We can however change it later. But our caste status which is ascribed at birth cannot be changed. Illegitimacy, for example prevents full identification with the parents. Similarly, the total number of children born in the family, the fact of adoption, the fact of the death of a parent, the occurrence of divorce-all can affect the infant's status independently of his will. Thus, the "accident of birth" is universal and extremely important in society.

(b) The Achieved Status

The statuses about which the person has some choice, however much or little, are achieved statuses. All societies have some achieved statuses and no society depends completely on ascribed statuses. The proportion of the statuses in a social structure which are open to achievement varies widely around the world.

Even if a society is very particular about providing ascribed statuses to its members, there will be some individuals who will alter the place which they are assigned to occupy in the structure because they have special talents or ambitions. The history of all societies and all times is filled with their names, for they are the men who make history. In order to make use of their capacities for common social ends the society institutionalizes the achievement of status. By doing so society can capitalize on the deviant instead of punishing him. Further, by making certain changes of status legitimate, a society may admit members with unusual abilities for statuses where average ability is not just enough. It can also prevent the filling of high positions by some incompetent persons. The leader of combat teams, the creator of artistic products, and the inventor are examples of statuses which a society might find it worthwhile to throw open to achievements rather than ascribing to a few on the basis of birth.

In primitive societies one can find that greater stress is laid on ascribed statuses. The civilized societies on the contrary, have placed high premium on achieved statuses. Factors such as the dominance of commercial activities, urban conditions of life, greater division of labour, and rapid social change have compelled the individuals to achieve their statuses on the basis of accomplishments in the modern societies. In urban centres and in commercial fields no mediocre person can thrive. They provide better opportunities for achievement also. Decision of labour offers a chance to a talented man for a competitive advantage to work with efficiency to secure a status. Rapid change provides continually new statuses. Since they are new they cannot be filled by ascription.

As we know all kinds of statuses are not thrown open to all in all societies. Only some of them are thrown to achievement on some basis. Firstly, the statuses that require the possession of unusual talents are obviously thrown open. For example, no mediocre person can achieve the status of a great artist or a great physicist, or a great writer or a great actor, etc. Secondly, the statuses that depend on the informal and spontaneous approval of the people are predominantly achieved. For example, the sportsmen, singers, drama artists, film actors, public speakers and such men can achieve very high status in spite of their humble birth. Finally, the statuses that require long and costly education are normally achieved. For example, only through high level of education that one can attain the status of a doctor, psychiatrist, judge, advocate, engineer, etc.

In the modern civilized societies most of the occupational statuses are achieved. The existence of a number of secondary groups indicate that our organizational membership is an achieved status. Marital status, parental status, educational, etc., are all achieved. Because one is not obliged to become a husband or a wife or a parent or an educated person.

The outstanding function of a social structure with many achieved statuses is that, it provides not for the isolation of roles but for their combination into a necessary interdependence. A structure characterised by achieved statuses enhances competition for those statuses, but the specialization of roles also necessitates co-operation.

Interrelationship between Roles and Statuses

- (a) **The Terms 'Role' and 'Status' are interrelated:** A status is simply a position in society or in a group. A 'role' is the behavioural aspect of status. Statuses are occupied and roles are played. A role is the manner in which a given individual fulfills the obligations of a status and enjoys its privileges and prerogatives. A position or status is simply the means of identifying a particular social role. The two terms are often used interchangeably. For example, the position of 'advocate' identifies a particular body of expected behaviour or role. Strictly, from the sociological point of view, to define a social position completely means to define or to indicate its (status) entire role prescriptions. In this way these two terms 'position' or status and role are only analytically separable.
- (b) **Role is a Relational Term:** An individual plays a role vis-a-vis another person's role which is attached to a 'counter-position'. For example, an advocate plays his role as advocate in relation to the client's role. Role concept is relevant at the level of individual when he is interaction. Because, it is individuals, not organisations, institutions, or sub-systems, who play roles and occupy positions.
- (c) **'Role' and 'Status' in a way Point out the Divergent interests of the two Sciences - Social Psychology and Sociology:** Status is a sociological concept and a sociological phenomenon. On the contrary, role is a concept and a phenomenon of social psychology. Individual differences in personality, ability, talents and behaviour can alone explain as to why different individuals play different roles in the same status. For example, though the status of Prime Minister has been same for Pandit Nehru, Lal Bahadur Shastri, Indira Gandhi and Rajiv Gandhi. They have played different roles in that status.
- (d) **Both Status and Role are Dynamic and Constantly Changing:** Hence, role changes with each new incumbent in a status. The status changes as the norms attached to it are altered. It is quite likely that in course of time, new obligations and new responsibilities may be added to a status or old ones may be removed. Sometimes more rigorous role playing may expand and functions of a status. Similarly, these functions may change due to the newly felt needs of the system of which status is a part. For example, when an association increases in size, its office-bearers may acquire new duties, or new statuses may be established. Thus, both status and role are dynamic elements in the life of a society. But the statuses are cultural and roles are behavioural in nature.
- (e) Though statuses and roles are correlative phenomena, it is possible to have one without the other. A status without a role may simply denote an unfilled position in an association. For example, when the Vice-Chancellor of a University resigns it may take some time to find a suitable successor for the post. During this time gap the duties of the Vice-Chancellor may be looked into by some of his assistants. These assistants can never enjoy privileges of the status of Vice-Chancellor.
- In the same manner, roles are often played without occupying a status. For example, a mother plays the role of nurse when a member of her family is ill. Nurse is a status in hospital, but in home it may be a role. Similarly, some are known as good practical jokers. Still they do not occupy the status of clown. Clown is a status only in the circus.
- (f) As Robert Bierstedt has pointed out, in a formal sociological language a status may be called an institutionalised role. It is a role that has become regularised, standardised, and formalised in the society at large or in any specific association with society. The structure of society consists of statuses and not roles. "It is statuses, together with norms, that give order, predictability and even possibility to social relations".

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3.8 NORMS

The concepts of 'social norms' is of special interests for Sociology because they constitute the very foundation of the social structure. The primary task of Sociologist to discover the

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source of 'order' that society exhibits. Norms here, represent such a source of social order. No society and no social group can exist without Norms. Norms have made it possible the orderly social intercourse of people in societies. Hence, everywhere they serve the individual as guides to conduct. They are generally known as "standards of group behaviour".

The term 'social norms' is relatively a newcomer to the dictionary of Sociology. M. Sheriff in 'The Psychology of Social Norms', 1936, used the term for the first time to describe the common standards or ideas which guide members; responses in all established groups. Today, the word norm is very often used as a generic term to represent folkways, mores, laws, customs, etc. If, today, some action is called a norm or normative it only emphasises that it conforms to community expectations of behaviour. The degrees of conformity may, however, vary very much.

Meaning of Norm

"Social norms" refer to the group-shared standards of behaviour. Norms represent "standardized generalization" concerning expected modes of behaviour. They are based on social values. A norm is a pattern setting limits on individual behaviour. Norms are the 'blueprints' for behaviour. They determine, guide, control and also predict human behaviour.

Norms are group shared expectations. Such expectations are reflected in statements such as A good citizen always respects laws, A gentleman pays his debts, Younger one must always respect elderly people, One is supposed to be quite and respectful, and not to disturb others in a place of worship, A lawyer must not produce damaging evidence in the court against his own client, A scientist must be a restless searcher of truth and free from prejudices, Any occupant of any profession must follow the professional ethics associated with it, He should not have done that, Countless such norms govern our social life in all situations.

Definition of Norms

According to **Young and Mack**, 'norms' refer to the "group-shared expectations".

According to **H.M. Johnson**, "A norm an abstract pattern held in the mind, that sets certain limits for behaviour".

Norms refer to "the rules that guide behaviour in everyday situations and are derived from the value"

- **Donald Light Jr. and Suzanne Keller.**

As **Robert Bierstedt** has pointed out, "A norm is a rule or standard that governs our conduct in the social situations in which we participate". He further writes that a norm can be treated as "a cultural specification that guides our conduct in society".

Social norms are rules developed by a group of people that specify how people must, should, may, should not and must not behave in various situations

- **G.R. Leslie, R.F. Larson and B.L. German.**

It is clear from the above definition that norms can be understood as rules and regulations that groups live by. Norms are the means through which values are expressed in behaviour.

Characteristics of Social Norms

1. **Social Norms are Universal:** Social norms are the very basis of social order. No society can function smoothly in the absence of norms. In fact, the concept of society pre-supposes the presence of norms. Even in the uncivilized and barbaric societies also we find some norms.
2. **Norms are related to the Factual Order:** In every society we find two types of order (i) the normative order that insists how the individuals should or ought to behave, and (ii) the factual order that is related to and based on the actual behaviour of the people. It is through the normative order or system that society regulates the behaviour of its members. But this normative order should be related to the events in the real world for it is meant to achieve result in the factual world. The factual order also exercises

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an influence on the normative system. For example, a rule requiring all men to have three wives would be valueless if the sex ratio did not permit it. Similarly, a rule requiring everybody to bathe in salt water in order to prevent tuberculosis would be valueless if bathing in salt water had nothing to do with curbing the disease. Thus norms in order to become effective must represent correctly the relations between real events. They must take into account the factual situation.

3. **Norms Incorporate Value Judgement:** A norm is a standard or behavioural expectation shared by group members. They represent “standardized generalization” concerning expected modes of behaviour. As standardized generalizations, they are concepts which have been evaluated by the group and they incorporate value judgements. It is in terms of norms that we judge whether some action is right or wrong, good or bad, wanted or unwanted, expected or unexpected. Norms are normally based on values. Norms do not refer to an average tendency of man. But they denote expected behaviour or even ideal behaviour.
4. **Norms are Relative to Situations and Groups:** Norms vary from society to society. Sometimes, within the same society they differ from group to group. Each group in a society, to a certain extent at least, has its own norms. There is no social group without norms. Within the same society they differ with age, sex, occupation and social status of the individuals. Some norms do not govern the behaviour of all the people always. Norms of behaviour meant for old people are not applicable to the children. What is ‘alright’ for a man is not ‘alright’ for a woman. Norms meant for soldiers and policemen are different from those of teachers and advocates. Behaviour patterns meant for married people cannot be followed by unmarried people. Especially, in a multigroup society or a complex society such wide variation in norms is found. But in primitive societies, in general, single set of religious beliefs, practices and norms is found, because their culture exhibits high degree of integration.
5. **Norms are not Always Obeyed by all.** It is wrong to assume that people in a society obey all the norms always. Some obey some norms at some times and disobey or ignore some others at some other times. Even those who normally respect and obey norms may go against some norms in some particular situations. This we can observe in some big political and religious gathering when highly religious and law abiding people break laws and behave in a frenzy mood when they are provoked. If everyone always did the ‘right’ things at the ‘right’ time and place, there would be no need to have rules or laws.
6. **Norms Vary with Sanctions:** Norms also vary in the kinds of sanctions that are attached to the violation of norms. Norms and sanctions go hand in hand. Norms are the group’s rules of proper behaviour; sanctions are the group’s punishments for violation of the norms. Sanctions are the rewards or punishment used to enforce the norms in a society. In addition to being punished for violation of norms, people tend to be rewarded for the proper observance of them. Sanctions may be applied in various ways, ranging from the use of physical force to symbolic means such as flattery. They are used to enforce or persuade an individual or group to conform to social expectations. Rewards may include smiles, approval, praise, appreciation, money, prestige, etc. Conformity to social norms is secured through both rewards and punishments in most of the instances.
7. **Norms are Normally Internalised by the People:** People in most of the instance accept norms and follow them or obey them. They do not question most of the norms and accept them implicitly. It is because norms become the part and parcel of personality of the individual through the process of socialization. In fact, socialization is often described as the process whereby an individual internalises the group. The cultural rules and restrictions or norms are internalized by the new born individual through socialization and hence, in most of the times they tend to honour and obey them implicitly.

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According to **H.M. Johnson**, a social norm would state the following: Who is expected, by whom, to do what, or refrain from, doing what, and in what circumstances. Further, it would specify what penalties will be imposed if the norm is violated, or what rewards will be conferred if it is conformed to. It would decide who will administer the penalties or give the rewards. It would also specify under what circumstances a violation of norms will be regarded as unimportant or ignorable.

3.8.1 Conformity to and Violation of Norms

Conformity to Norms

Society exerts its pressure upon people to conform to the norms. A norm by definition implies a sense of obligation. It lays down a standard of behaviour which everyone ought to follow. Conformity to norms is normal. The sanctions behind the mores make us to follow them. But hope of reward and fear of punishment are not the only reasons for conformity to the norms of our society. There are other bases for conformity. Some are mentioned below:

1. **Indoctrination:** We conform to the norms because we have been indoctrinated to do so from our very childhood.
2. **Habituation:** We conform to them because we become habituated to them,
3. **Utility:** We appreciate the utility of the norms and hence we conform to them.
4. **Group Identification:** By conforming to the norms we gain identification with the group. Hence we prefer to conform to them.

Violation of Norms

Society functions in orderly fashion most of the time because most people conform to the norms of their group unthinkingly. Thus, ordinarily people wear what is expected of them, eat what is expected of them, do what is expected of them, talk what is expected of them, and think what is expected of them. And so long as this occurs the society functions smoothly.

But this is not the whole story. People not only conform to the norms automatically but also violate the normative expectations with more or less the same frequency. The violation of the norms is often called “deviance”. The violation of norms may be traced to at least three sources:

- (a) **Simple Violation of Norms:** Some norms which are not strongly enforced are often violated. Government officials may often use their official vehicles for personal purposes. Some may force their entry into the bus without observing the rule of queue, etc.
- (b) **Norm Conflict:** Complex societies have multiple, and sometimes conflicting value systems. It follows then, that norms frequently are in conflict. Example: American sex norms. In America, there are some groups which condemn and disapprove of pre-marital and extra-marital sex relations and some others that approve of such relations. Normative conflict is deeply involved in the process of social change.
- (c) **Existence of Systematic Norms Evasion:** Sometimes norms are systematically or cleverly evaded on certain occasions. For example, forbidden drugs are sold and used in festivals, causal gathering places, university campuses in an illegal way. Law enforcement officials also fail to take actions on some such occasions. Some of the norms are carefully evaded permanently. Tax payers often evade taxes in such a way.

Functional Importance of Social Norms

1. **Norms assist Survival:** The human beings would not have survived in the absence of proper norms concerning courtship, marriage, childbearing and childcare, etc. Hence the first function of norm is that of ensuring survival itself. Unlike the young ones of other species, human infants must be cared and instructed for at least some years. For example, if the young matured girls are not protected by proper norms they would be subject to sexual exploitation which would lead to serious consequences.

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2. **A normless Society is Impossibility:** Norms constitute an important element of society. Norms and society go together. Without norms social interaction would be dangerous, difficult and chaotic. The normative order of the society makes the factual order of society possible. Man cannot live alone. He depends upon society for his existence. Living together in society is made possible because of norms. Man's dependence on society is ultimately a dependence upon a normative order.
3. **Norms Guide Behaviour:** Norms guide behaviour in all aspects of social life. There are norms of dress which define the type of clothing appropriate for members of each age, sex and social situation. There are norms governing behaviour with family, friends, neighbours and strangers. There are norms which define acceptable behaviour in the home, in the classroom working place, worshipping place, at a party, wedding and funeral, in a cinema, market place, doctor's waiting room, etc.
4. **Norms Permit Efficient Functioning:** Norms provide for the routinisation of behaviour so that complex learnt tasks come to be performed efficiently and automatically. Most of our responses to most of the situations must be habitual ones; norms ensure such habitual responses. If we had to think about what we are going to do when we enter a shop, a showroom, a classroom, a cafeteria, or meet a bank clerk, an advocate, an insurance agent, a ticker seller, we should be able to do only a few tasks in the course of a day. But norms reduce the necessity for decision in the innumerable social situation which we face and in which we participate. Without them we would be faced with the problem of almost intolerable burden of decision. Norms thus provide practical solutions to everyday problems. Even cooking becomes problematic if cooking norms are not known. Social life would be much less efficient if the methods of doing had to be constantly reinvented by trial and error.
5. **Norms help the Maintenance of Social Order:** The social order is developed and maintained through social norms. Groups are able to function because human behaviour is generally predictable. If this were not so chaos would result. Thus, a classroom would be chaotic in which teachers and students fail to establish a set of rules for conducting lessons. Drivers of vehicles are bound to meet with accidents if they fail to conform to traffic rules in a busy street.
6. **Norms give Cohesion to Society:** A society without norms would be, as Hobbes pointed out, 'solitary, poor, nasty, brutish and short'. The collective and co-operative life of people is made possible because of norms. The normative system gives to society an internal cohesion without which social life is possible. This cohesion or unity contributes to co-operation and mutual helpfulness.
7. **Norms Help self-Control:** Norms not only lessen the problems of social control but also help individuals to have self-control is mastered. Because of the pressure of norms the individual is able to exercise discipline by himself over his own actions and behaviour. Norms in this way influence an individual's attitude and his motives and impulses. They determine and guide his intuitive judgements of others and his intuitive judgements of himself. They lead to the phenomena of conscience, of guilt feelings, of striving, of elation and depression. They are deeper than consciousness. Through internalisation they become an inseparable part of the personality of the individual.

3.9 VALUES

The term 'value' has different meanings in economics, philosophy and Sociology. In economics, 'value' means 'price'. The "theory of value" is almost co-terminus with "the theory of price". The philosophical treatment of 'values' is part of ethics, political philosophy and aesthetics. In Sociology, the term 'values' represents constituent parts of social structure.

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Meaning and Definition of Values

'Social Values' form an important part of the culture of a society. Social values, norms and institutions explain the way in which social processes operate in a given society. They are the social sources of patterned interaction. Values account for the stability of the social order. They provide the general guidelines for conduct. In doing so, they facilitate social control. Values are the criteria people use in assessing their daily lives, arranging their priorities, measuring their pleasures and pains, choosing between alternative courses of action.

G.R.Lesile, R.F.Larson, H.L.Gorman-Values are group conceptions of the relative desirability of things

According to H.M. Johnson, "Values are general standards and may be regarded as higher order norms".

Young and Mack- "Values are assumptions, largely unconscious, of what is right and important"

Michael Haralambos- "A value is a belief that something is good and worthwhile. It defines what is worth having and worth striving for."

Peter Worsley- "Values are general conceptions of "the good", ideas about the kind of ends that people should pursue throughout their lives and throughout the many different activities in which they engage."

Functions of Values

1. As it is already made clear, values provide goals or ends for the members to aim for.
2. Values provide for stabilities and uniformities in group interaction. They hold the society together because they are shared in common. Some sociologists argue that shared values form the basis for social unity or social solidarity. Since they share the same values with others, the members of a society are likely to see others as "people like themselves". They will, therefore, have a sense of belonging to a social group. They will feel a part of the wider society.
3. Values bring legitimacy to the rules that govern specific activities. The rules are accepted as rules and followed mainly because they embody the values that most people accept. The Americans for example, believe that the capitalist organisation is the best one because it allows people to seek success in life.
4. Values help to bring about some kind of adjustment between different sets of rules. The people seek the same kinds of ends or goals in different fields of their life. Hence it is possible for them to modify the rules to help the pursuit of this end. For example, if the Indian people cherish the value of "the principle of equality", then they will have to modify the rules governing the interpersonal relationship of husband and wife; and man and woman. As and when new activities emerge, people create rules in the light of their beliefs about what is 'good' and 'right'.

For Aspects of Values

1. General and Specific Values

- (a) **General Values:** Values such as democracy, freedom, the right to dissent, respect for fundamental rights and dignity of labour, etc., for example, are very general in character. These values are abstract in nature and they pervade many aspects of life. A large proportion of values are found to be very general in nature. Sociologically, these are more significant.
- (b) **Specific Values:** Values are often stated in specific terms. For example, we may value physical health or affluence. More specifically, we may value silk over nylon or the writing of a particular novelist over that of another. Values normally range from highly abstract to specific levels.

2. Values are Hierarchically Arranged

All the values are not equally significant. We can make a distinction between 'Means Values', 'Ends Values', 'Dominant Values' and 'Ultimate Values'.

- (a) 'Means Values' are instrumental values. They are sought as part of the effort to achieve other values,
- (b) 'Ends Values' are more general and more important from the point of view of the groups who are doing the valuing work.
- (c) 'Dominant Values' are those values which influence and condition the behaviour of the people to a great extent. Sociologist Williams has suggested the following criteria for dominant values: (i) Extensiveness. Whether the value is extensively found in the total activity of the people? (ii) Duration. Whether the value has been durable and observed over a long period of time? (iii) Intensity. With what intensity the value is pursued or maintained by the people? (iv) Prestige of Value Carriers: To what extent the value carriers such as persons, objects, or organisations enjoy prestige in the society? For example, 'sacrifice' and 'service' are the two among many dominant values of the Indian society. Similarly, 'individual enterprise' and 'success in life' represent two dominant value of American society.
- (d) The 'Ultimate Values' refer to those values of the group that give meaning, substance and direction to the lives of people. Example: If we take the above-mentioned example of the physical health we may say, that it is required for longevity. Longevity or longer life span can be justified in terms of 'ultimate value' to do service to the humanity and to be worthy of God's creation. There can be no higher or more ultimate value than this.

3. Explicit and Implicit Values

Most of the social values are clearly stated and explicitly held. They are deliberately taught to the children. Through official, governmental and other organisational means they are reinforced to the adults. They are also promoted through mass media. Example: democracy, freedom, fundamental rights, social equality, etc. These values are explicitly held and cherished.

Some of the values are implicitly held by the people. Public leaders, spokesmen for the society and even religious leaders may not stress upon these much.

They may even ignore them. For example, respect for elders and conformity, taking care of old parents, respects for authority are values implicitly held in our society.

4. Values may Conflict with One Another

Values may often conflict with one another. In complex societies we generally observe not just one value system but more than one. We find multiple, overlapping and sometimes even opposing value systems in the same society. For example, the right to dissent, conformity, respect for authority, respect for elders are values that are in conflict.

Some of the values are potentially conflicting. When they are pervasive, it becomes impossible for us to pursue some of the without violating others. For example, we value religious worship for personal gratification. At the same time we equally value achievement of status, accumulation of wealth, etc. Here, the first one may clash with the latter.

Normally, in modern complex society, we find conflict between groups that hold mutually opposite values. For example, some may value patriotism, respect for authority and disapprove of dissent. Some others, may give high importance to the value of establishment of peace.

3.10 POWER

Power is a fundamental entity of human society. It is a universal phenomenon. Society itself is built of power relations the father exercising his power over his child, a master over his

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slave, a teacher over his student, a victor over the vanquished, an employer over his employee, an army commander over the soldiers and so on. All these are examples of social power. What then do we mean by power?

Max Weber defined power as “the ability to control the behaviour of other, even in the absence of their consent”.

As **Ian Robertson** says, “power is the capacity to participate effectively in a decision-making process”.

According to **N.J. Demerath and Gerald Marwell**, “power may be defined as the capacity to get things done despite obstacles and resistance”.

Social power has been identified in different ways with prestige, influence, eminence, competence, dominance, rights, strength, force, and authority.

- (i) **Power and Prestige are Closely Linked:** As Ross said, “The class that has the most prestige will have the most power”. It can be said that the powerful groups tend to be prestigious and prestigious groups powerful.
- (ii) **Knowledge, Eminence, Skill, and Competence:** all contribute to prestige, but they need not necessarily accompany power. If at all power is accompanied by these factors then the association is only incidental.
- (iii) **Power and Influence and more Intimately Connected:** Still they are different. Influence is persuasive whereas power is coercive. We submit voluntarily to influence but power requires our submission. They are, so as to say, independent variables. Influence does not require power and power may dispense with influence.
- (iv) **Power and Dominance are also to be Distinguished:** Power is a sociological, and dominance a psychological phenomenon. The locus of power is in both persons and groups, and in important cases it is in the latter. But dominance is a function of personality or of temperament. It is a personal trait. It is also possible to find dominant individuals playing roles in powerless groups and submissive individuals playing roles in powerful ones. Power is one thing and dominance quite another.
- (v) **Power and Rights:** Rights are more closely associated with privileges and with authority than they are with power. A right is one of the prerequisites of power and not power itself. One may have a right without the power to exercise it. The man who has the power rarely waits for the right to use it. A right always requires some support in the social structure. No individual can successfully claim a right that is unrecognized in the law and non-existent in the mores. Rights in general, like privileges, duties, obligations, responsibilities, etc., are attached to the statuses. Whereas, power does not necessarily require the backing of the status.
- (vi) **Power, Force and Authority:** Power is not force and power is not authority, but it is related to both. As Robert Bierstedt said, “Power is latent force; force is manifest power, and authority is institutionalized power”. Power is the prior capacity that makes the use of force possible. Only groups that have power can threaten to use force and the threat itself is power. Power is the ability to employ force, not its actual employment. Power is always successful; when it is not successful, it ceases to be power. Power thus symbolises the force that may be applied in any social situation and supports the authority that is applied. “Power is thus neither force nor authority but it makes both force and authority possible”.

- **Robert Bierstedt**

3.11 AUTHORITY

The exercise of authority is a constant and pervasive phenomenon in the human society. Human society maintains itself because of ‘order’ and it is the authority that serves as the

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foundation of social order. It is wrong to assume that 'authority' is purely a political phenomenon. In fact, in all kinds of organisations, political as well as non-political, authority appears. Every association in society whether it is temporary or permanent, small or big, has its own structure of authority.

Definition of Authority

"Authority is that form of power which orders or articulates the actions of other actors through commands which are effective because those who are commanded regard the commands as legitimate" By E.A. Shils in Dictionary of Sociology.

Max Weber used the term authority to refer to legitimate power.

In simple words, it can be said that authority refers to power which is regarded as legitimate in the minds of followers.

3.11.1 Types of Authority

Max Weber distinguished three basic types of legitimate authority: which also correspond to three types of dominance or leadership. Weber spoke of traditional authority, legal-rational authority, and charismatic authority. Each type of authority is legitimate because it rests on the implicit or explicit consent of the governed. One who can successfully claim any of these types of authority is regarded as having the right to compel obedience at least for some time.

1. Traditional Authority

Of all the legitimations of authority, the appeal to tradition is certainly the most common. People obey traditional authority because "it has always been that way". The right of the king to rule is not open to question. People obey a ruler because they know that doing so in past generations has given their society order and continuity. Thus it is not tradition alone here that is at issue, rather the stability of the social order that is being accepted for its own sake.

2. Rational-legal Authority

In this kind of authority power is legitimated by explicit rules and procedures that define the rights and obligations of the rulers. Such rules and procedures are commonly found in a written constitution, and set of laws. Legal-rational authority stresses a "government of laws, not of people". Officials here can exercise power only within legally defined limits that have been formally set in advance. This kind of authority is commonly found in most of the political systems of modern societies.

3. Charismatic Authority

"In a system based on charismatic authority, power is legitimated by the unusual, exceptional, or even supernatural qualities that people attribute to particular political, religious, or military leaders". Weber called this extraordinary quality 'Charisma'. Robert Bierstedt calls this kind of authority, not authority at all, but leadership. Human history provides classical examples of such leaders with that quality of 'Charisma'. Example: Jesus Christ, M.K.Gandhi, Hitler, Napoleon, Mao, Castro, Julius Caesar, Alexander the Great, Churchill, and so on. "The charismatic leader is seen as a person of destiny who is inspired by unusual vision, by lofty principles or even by God. The charisma of these leaders is itself sufficient to make their authority seem legitimate to their followers".

- Ian Robertson

3.12 SUMMARY

The most fundamental concept in Sociology is society. It is necessary to define a subject before it is studied scientifically and that is why at the outset the different ways and means of looking at "human society" at the conceptual level was discussed. This was followed by a discussion of the nature of human society and the inherent advantages of societal life for individuals. Sociological analysis of human society is made by identifying and explaining its

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characteristics and functions. In this unit we have discussed the meaning of social structure, nature of social organization and the fundamental order that society exhibits for this, certain universal components of Social Structure norms, status, roles, values, power and authority, groups, associations and institutions are identified. But only some of these structural elements like roles, status, norms and institutions have been analysed and explained in this lesson, since the others will be covered in subsequent lessons, it is shown how norms, roles, status and institutions are interrelated and interdependent and constitute the very basis of social structure and organization. A firm sense of the social order and knowledge of the factors that contribute to structure and stability of human societies have been enumerated.

3.14 REVIEW QUESTIONS

1. Explain the group mind theory.
2. What is socialisation? Discuss the agencies of socialisation.
3. Define culture. Explain the elements and contents of culture.
4. Differentiate between the primary and secondary groups.
5. Explain the different types of institutions.
6. Briefly explain the concepts role and status.
7. Examine the importance of norms and values in maintaining the society.

Unit 4

BASIC SOCIAL INSTITUTIONS

Structure

- 4.0 Aims and Objectives
- 4.1 Introduction
- 4.2 Marriage Types of Marriage
- 4.3 Traditional forms of Hindu Marriage
- 4.4 Hindu Marriage as a Sacrament
- 4.5 Legislation and Changing Trends Domestic Violence
 - 4.5.1 Legislation of Marriage
 - 4.5.2 Changing Trends in Marriage
 - 4.5.3 Domestic Violence in Marriages
- 4.6 Marriage among Muslims and Christians
- 4.7 Family System
 - 4.7.1 Nature and Characteristics of Indian Family
 - 4.7.2 Types and Forms of Family
 - 4.7.2.1 Joint Family: Nature, Types and Characteristics
 - 4.7.3 Changing Pattern of Family
- 4.8 Kinship, Types, Theories and Kinship Organisation
 - 4.8.1 Regional Variations in kinship System and its Socio-Cultural Correlates
- 4.9 Summary
- 4.10 Review Questions

4.0 AIMS AND OBJECTIVES

At the end of this unit you will be able to understand:

- Describe Marriage and Types of Marriage
- Discuss Traditional forms of Hindu Marriage
- Legislation and Changing Trends Domestic Violence
- Discuss Family System and its types
- Explain Kinship and its types
- Delineate Forms of kinship Organisation

4.1 INTRODUCTION

A social institution is a complex, integrated set of social norms organized around the preservation of a basic societal value. Obviously, the sociologist does not define institutions in the

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same way as does the person on the street. Lay persons are likely to use the term “institution” very loosely, for churches, hospitals, jails, and many other things as institutions.

Sociologists often reserve the term “institution” to describe normative systems that operate in five basic areas of life, which may be designated as the primary institutions.

- (1) In determining Kinship;
- (2) In providing for the legitimate use of power;
- (3) In regulating the distribution of goods and services;
- (4) In transmitting knowledge from one generation to the next; and
- (5) In regulating our relation to the supernatural. In shorthand form, or as concepts, these five basic institutions are called the family, government, economy, education and religion.

The five primary institutions are found among all human groups. They are not always as highly elaborated or as distinct from one another as into the United States, but, in rudimentary form at last, they exist every where. Their universality indicates that they are deeply rooted in human nature and that they are essential in the development and maintenance of orders. Sociologists operating in terms of the functionalist model society have provided the clearest explanation of the functions served by social institutions. Apparently there are certain minimum tasks that must be performed in all human groups. Unless these tasks are performed adequately, the group will cease to exist. An analogy may help to make the point. We might hypothesize that cost accounting department is essential to the operation of a large corporation. A company might procure a superior product and distribute it then at the price which is assigned to it, the company will soon go out of business. Perhaps the only way to avoid this is to have a careful accounting of the cost of each step in the production and distribution process.

Groups of persons banded together for common purposes having rights, privileges, liabilities, goals, or objectives distinct and independent from those of individual members.

Types of Social Institutions

- Economic Institutions
- Political Institution
- Family Institution
- Educational Institution
- Religious Institution
- Medical
- Social Welfare Institution.

4.2 MARRIAGE TYPES OF MARRIAGE

Marriage is a social union or legal contract between people that creates kinship. It is an institution in which interpersonal relationships, usually intimate and sexual, are acknowledged in a variety of ways, depending on the culture or subculture in which it is found. Such a union, often formalized via a wedding ceremony, may also be called matrimony.

People marry for many reasons, including one or more of the following: legal, social, emotional, economical, spiritual, and religious. These might include arranged marriages, family obligations, the legal establishment of a nuclear family unit, the legal protection of children and public declaration of commitment. The act of marriage usually creates normative or legal obligations between the individuals involved. In some societies these obligations also extend to certain family members of the married persons. In cultures that allow the dissolution of a marriage this is known as divorce.

Marriage is usually recognized by the state, a religious authority, or both. It is often viewed as a contract. Civil marriage is the legal concept of marriage as a governmental institution irrespective of religious affiliation, in accordance with marriage laws of the jurisdiction. If recognized by the state, by the religion(s) to which the parties belong or by society in general, the act of marriage changes the personal and social status of the individuals who enter into it.

The type, functions and characteristics of marriage vary from culture to culture, and can change over time. In general there are two types: civil marriage, religious marriage, and typically marriages employ a combination of both (religious marriages must often be licensed and recognized by the state, and conversely civil marriages, while not sanctioned under religious law, are nevertheless respected). Marriages between people of differing religions are called interfaith marriages, while marital conversion, a more controversial concept than interfaith marriage, refers to the religious conversion of one partner to the other's religion for sake of satisfying a religious requirement.

The following are various forms

- Civil marriage,
- Common-law marriage,
- Monogamy,
- Nikah urfi,
- Polygamy,
- Same-sex marriage.

1. Civil Marriage

Civil marriage is marriage performed by a government official and not a religious organisation. Every country maintaining a population registry of its residents keeps track of marital status, and most countries believe that it is their responsibility to register married couples. Most countries define the conditions of civil marriage separately from religious requirements. Certain countries, such as Israel, only allow couples to register on the condition that they have first been married in a religious ceremony recognized by the state, or were married in a different country.

In England

In medieval Europe, marriage was governed by canon law, which recognised as valid only those marriages where the parties stated they took one another as husband and wife, regardless of the presence or absence of witnesses. It was not necessary, however, to be married by any official or cleric. This institution was cancelled in England with the enactment of "Lord Hardwicke's Marriage Act" of 1753, which required that, in order to be valid and registered, all marriages were to be performed in an official ceremony in a religious setting recognized by the state i.e., Church of England, the Quakers or in a Jewish ceremony. Any other form of marriage was abolished. Children born into unions which were not valid under the Act would not automatically inherit the property or titles of their parents. For historical reasons, the Act did not apply in Scotland. Consequently until 1940, it continued to be enough in Scotland for a man and a woman to pledge their commitment to each other in front of witnesses to legalize their marriage. This led to an industry of "fast marriages" in Scottish towns on the border with England the town of Gretna Green was particularly well known for this. In 1836 the requirement that the ceremony take place in a religious forum was removed, and registrars were given the authority to register marriages not conducted by a religious official.

Today marriages in England must be held in authorized premises, which may include register offices, premises such as stately homes, castles and hotels that have been approved by the local authority, churches or chapels of the Church of England or Wales, and other

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churches and religious premises that have been registered by the registrar general for marriage.

Civil marriages require a certificate, and at times a license, that testify that the couple is fit for marriage. A short time after they are approved in the superintendent registrar's office, a short non-religious ceremony takes place which the registrar, the couple and two witnesses must attend; guests may also be present.

In other European countries

A couple waiting to get married in the town of Alghero on the island of Sardinia, Italy. Many European countries had institutions similar to common law marriage. In 1566, the edict of the Council of Trent was proclaimed denying Catholics any form of marriage not executed in a religious ceremony before a priest and two witnesses.

The Protestant pastor and theologian of Geneva John Calvin decreed that, in order for a couple to be considered married, they must be registered by the state in addition to a church ceremony.

In 1792, with the French Revolution, religious marriage ceremonies in France were made secondary to civil marriage. Religious ceremonies could still be performed, but only for couples who had already been married in a civil ceremony. Napoleon later spread this custom throughout most of Europe. In present-day France only civil marriage has legal validity. A religious ceremony may be performed after the civil union, but has no legal effect.

In Germany the Napoleonic code was valid only in territories conquered by Napoleon. With the fall of his empire, civil marriage in Germany began to die out. However, certain sovereign German states introduced civil marriages, which were either obligatory (like the French model) or optional, with either a religious or civil ceremony being accepted. Already before 1848 the Duchy of Saxe-Weimar-Eisenach enacted optional civil marriages, followed by the German republics of the Free City of Frankfurt upon Main (1850, obligatory), Free and Hanseatic City of Hamburg (1851, optional) and Free and Hanseatic City of Lubeck (1852, optional). German grand duchies such as Oldenburg (1852/1855, optional), Baden (1860) and Hesse (1860) as well as the Kingdom of Württemberg (1863) followed suit.

Civil marriages enabled interfaith marriages as well as marriages between spouses of different Christian denominations. After the union of Germany as one empire in 1871, the Reichstag adopted a bill initiated by Chancellor Otto von Bismarck as the "Civil Marriage Law" in 1875. Since then, only civil marriages have been recognised in Germany. Religious ceremonies may still be performed at the couple's discretion. Until December 31, 2008, religious marriages could not be performed until the couple had first married in a civil ceremony.

Civil Marriage in the World Currently

In all states in the United States, it is possible to obtain a civil marriage. Such ceremonies are conducted before a local civil authority, such as a mayor, judge, deputy marriage commissioner or other public official. It is not uncommon for these ceremonies make mention of a deity, but most do not reference any specific religion. Many of these ceremonies take place in the town hall or local courthouse. As part of such ceremonies, a religious official such as a rabbi, pastor, or qadi may be given the authority to conduct the marriage by the state, thus unifying the religious with the civil ceremony.

In many countries such as France, Germany, Turkey, Argentina and Russia, there is a civil ceremony requirement. Following the civil marriage ceremony, couples are free to marry in a religious ceremony. Such ceremonies, however, only serve to provide a religious recognition of the marriage, since the state's recognition has already been given.

There is no civil marriage in Israel and Lebanon; all marriages are conducted by religious authorities. In Israel civil marriages made in a different country are recognized by the state and registered in a civil registry.

As there are many restrictions on eligibility for marriage in Israel, particularly when men refuse their wives a divorce preventing them from remarrying, many Israelis travel to other countries to marry.

Civil Unions of same-sex couples

People leaving a town hall in a Danish town after a civil marriage of same sex marriage. Since April 2001 to today, there are ten countries, the Netherlands, Belgium, Spain, Canada, South Africa, Norway, Portugal, Sweden, Iceland and Argentina, which recognize marriages between same-sex couples, thus giving them the same rights afforded to heterosexual married couples. (This does not mean that all same-sex marriages in these countries are civil marriages.) Palestine, Aruba, France, the Netherlands Antilles and two U.S. states and one territory, New York, Rhode Island and the District of Columbia, recognize same-sex marriages registered in other countries, but do not recognize such marriages performed within their borders.

Five states in the United States legally allow same-sex civil marriage. These are Massachusetts, Connecticut, Iowa, New Hampshire and Vermont. In 29 countries worldwide, and several other states within the U.S., a same-sex couple can be legally partnered in a civil union or registered partnership. Couples in these partnerships, first recognized in Denmark in 1989, are afforded rights and obligations similar to, but not identical to, those of a married couple.

At the federal level in the United States, The Defense of Marriage Act (DOMA) defines marriage as being between a male and female. Additionally, many individual states in the U.S. do not recognize civil unions and refuse to afford same-sex couples in sexual relationships the same rights and responsibilities as married opposite-sex couples.

2. Common-law marriage

Common-law marriage, sometimes called *sui juris* marriage, informal marriage or marriage by habit and repute, is a form of interpersonal status that is legally recognized in some jurisdictions as a marriage even though no legally recognized marriage ceremony is performed or civil marriage contract is entered into or the marriage registered in a civil registry. A common-law marriage is legally binding in some common law jurisdictions but has no legal consequence in others.

In some jurisdictions without true common-law marriages, for example, Hungary, the term “common-law marriage” is used as a synonym for non-marital relationships such as domestic partnership or reciprocal beneficiary’s relationship.

A *Sui Juris* Marriage might only apply in the United States in this form.

Essential Distinctions

The essential distinctions of a common-law marriage are following:

1. Common-law marriages are not licensed by government authorities, although they may be recorded in the public records of some governmental entities, but do not need to be registered at all.
2. Common-law marriages are not solemnized.
3. Cohabitation alone does not create a common-law marriage; the couple must hold themselves out to the world as spouses (Saskatchewan, Canada, excepted); and
 1. There must be mutual consent of the parties to the relationship constituting a marriage (Saskatchewan excepted).
 2. Both parties must be of legal age to enter into a marriage or have parental consent to marry.
 3. Both parties must be otherwise qualified to enter into a marriage, including being unmarried (Saskatchewan excepted), of sound mind, and, in many states, not sentenced to or serving a term of life in prison.

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4. In some jurisdictions, a couple must have cohabited and held themselves out to the world as husband and wife for a significant period of time, not defined in any state, for the marriage to be recognized as valid. With the exception of Saskatchewan, Canada, no Western World legal jurisdiction is known to allow common law marriages to be created while one or more of the cohabitants are civilly married and not divorced.

There is no such thing as “common-law divorce”. Once a marriage is validly contracted, whether according to statute or according to common law, the marriage can be dissolved only by a legal proceeding in the pertinent trial court, usually family court or probate court. In the U.S. state of Texas, a new provision was added to the Family Code; either partner in a common-law marriage has two years after separation to file an action in order to prove that the common-law marriage existed. To use the provision, the separation must have occurred after September 1, 1989.

Since the mid-1990’s, the term “common-law marriage” has been used in parts of Europe and Canada to describe various types of domestic partnership between persons of the same sex as well as persons of the opposite sex. Although these interpersonal statuses are often, as in Hungary, called “common-law marriage” they differ from true common-law marriage in that they are not legally recognized as “marriages” but are a parallel interpersonal status, known in most jurisdictions as “domestic partnership”, “registered partnership”, “conjugal union” or “civil union” etc.

Not all agreements break statutes. Some are illegal because they break public policy, which is generally “to discourage any interference with the freedom of choice” (Saskatchewan, Canada, excepted). An agreement forbidding a party to marry or bribing a party to refrain from marriage is considered “Interference with Marriage Relation” or an “Agreement in Restraint of Marriage” such agreements are typically held to be nonbinding.

In medieval Europe, marriage came under the jurisdiction of canon law, which recognized as a valid marriage one where the parties stated that they took one another as wife and husband, even in absence of any witnesses.

The Roman Catholic Church abolished clandestine marriage at the Council of Trent (1545-1563), ruling that in the future a marriage would be valid only if witnessed by the pastor of the parish or the local ordinary (i.e., the bishop of the diocese), or by the delegate of one of said witnesses, the marriage being invalid otherwise, even if witnessed by a Roman Catholic priest. This was not meaningful for Protestants or for the Eastern Orthodox. England abolished clandestine or common-law marriages in the Marriage Act 1753, requiring marriages to be performed by a priest of the Church of England unless the participants in the marriage were Jews or Quakers. The Act applied to Wales, and to Ireland after the Act of Union 1800, although the requirement for a Church of England priest created problems in predominantly Roman Catholic Ireland. The law did not provide an exception there. The Act did not apply to Scotland because by the Acts of Union 1707 Scotland retained its own legal system. To get around the requirements of the Marriage Act, such as minimum age requirements, couples would go to Gretna Green, in southern Scotland, to get married under Scots law.

The Marriage Act of 1753 also did not apply to Britain’s overseas colonies of the time, so common-law marriages continued to be recognised in the future United States and Canada. In the United States, new common-law marriages arising in the state are still recognised in Alabama, Colorado, Iowa, Kansas, Montana, Rhode Island, South Carolina, Texas, Utah, the District of Columbia, under military law, and in Canada, several provinces recognize them. All states of U.S. recognize common-law marriages validly entered into at a time and place where common-law marriage was recognized, although some impose certain public policy exceptions to the recognition of common-law marriages involving minors or persons who would not be entitled to marry in that state for some reason. A common-law marriage occurring under military law is not binding on the non-military spouse (if a mixed marriage) and therefore unlikely to be recognized by some jurisdictions.

All countries in Europe have now abolished “marriage by habit and repute”, with Scotland being the last to do so in 2006.

Common-law Marriage by Countries

Australia

In Australia the term de facto relationship is often used to refer to relationships between any two persons who are not married but are effectively living in certain domestic circumstances. The legal term for such relationships varies by state and territory.

Although property aspects of these relationships are dealt with under state law, the law relating to children of such relationships is contained in the federal Family Law Act 1975. Most laws dealing with taxation, social welfare, pensions, etc., treat de facto marriages in the same manner as solemnized marriages.

The Family Law Act states that a de facto relationship can exist between two people of different or the same sex and that a person can be in a de facto relationship even if legally married to another person or in a de facto relationship with someone else. Family property laws however, are excepted from jurisdiction when a person is both married and in a de facto relationship at the same time. This exception is due to federal polygamy laws. Same-sex de facto relationships have been recognised in New South Wales since 1999. There are a number of methods by which these relationships are recognised in Australian law and they include the same entitlements as “Christian” marriage.

Canada

In Canada, the legal definition and regulation of common-law marriage fall under provincial jurisdiction. With the exception of Saskatchewan, a couple must meet the requirements of their province’s “capacity to marry” within the Marriage Act for their common-law marriage to be legally recognized under civil jurisdiction. Saskatchewan does allow married persons to have same time multiple spouses when one conjugal union is a civil marriage and the other conjugal union is a common law marriage (at the same time). Although Saskatchewan’s Marriage Act does not stipulate whether a person must have no existing marriage to be eligible to marry, common law marriages may occur even while one or more civil marriages exist amongst the common law couple.

According to the Canada Revenue Agency, as of 2007, a common-law relationship is true if at least one of the following applies:

- a) The couple have been living in a conjugal relationship for at least 12 continuous months;
- b) The couple are parents of a child by birth or adoption; or
- c) One of the couple has custody and control of the other partner’s child (or had custody and control immediately before the child turned 19 years of age) and the child is wholly dependent on that person for support.

Marital Status

In many cases common-law couples have the same rights as married couples under federal law. Various federal laws include “common-law status,” which automatically takes effect once two people (of any gender) have lived together in a conjugal relationship for five full years. Common-law partners may be eligible for various federal government spousal benefits. As family law varies between provinces, there are differences between the provinces regarding the recognition of common-law marriage. No province, other than Saskatchewan, sanctions married persons to be capable in family law of having more than one spouse at the same time.

Ontario

In Ontario, the Ontario Family Law Act specifically recognizes common-law spouses in sec. 29, dealing with spousal support issues; the requirements are living together for no less than three years or having a child in common and having “cohabitated in a relationship of some

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permanence". The three years must be continuous, although a breakup of a few days during the period will not affect a person's status as common-law. No married person may become eligible to begin the three-year countdown to have a recognized common law spouse until divorce from the first spouse occurs. However, the part that deals with marital property excludes common-law spouses, as sec. 2 defines spouses as those who are married together or who entered into a void or voidable marriage in good faith. "Good faith" in a voidable marriage cannot occur if one or more of the persons are already married to another. Thus, common-law partners do not always evenly divide property in a breakup, and the courts have to look to concepts such as the constructive or resulting trust to divide property in an equitable manner between partners. Another difference that distinguishes common-law spouses from married partners is that a common-law partner can be compelled to testify against his or her partner in a court of law.

Quebec

The Civil Code of Quebec has never recognized a common-law partnership as a form of marriage. However, many laws in Quebec explicitly apply to common-law partners (called *conjoints de fait*) in "de facto unions" (marriages being "de jure unions"), as they do to marriage spouses. Same-sex partners are also recognized as "conjoints de fait" in de facto unions, for the purpose of social benefit laws. However, common-law partners do not have any legal rights between them, such as alimony, family patrimony, compensatory allowance and matrimonial regime. A 2002 amendment to the Civil Code recognizes a type of domestic partnership called a civil union that is similar to marriage and is likewise available to same-sex partners.

Other provinces

The requirements in some other provinces are as follows:

In British Columbia, a person who has lived and cohabited with another person, for a period of at least two years is considered a common law spouse, unless one or both of them were married to another person during this time, according to the "Estate Administration Act".

In Nova Scotia, a couple must cohabit for two years in a marriage-like relationship, and may not have been married to another person during this time. In New Brunswick, a couple must live together for three years or have a natural or adopted child together. They cannot have been married to another person during this time.

Israel

Israeli law recognizes common-law marriage particularly since an apparatus for civil marriage is absent, and many couples choose to avoid a religious marriage or are barred from it. Israeli law makes provisions for common-law spouses, but is murky as to the period of time that needs to pass before a relationship can be recognized as common-law marriage. Unlike marriage, the spouses need to provide proof of their relationship in order to gain access to the various benefits and rights which accompany a common-law marriage.

United Kingdom

The term "common-law marriage" has been used in England and Wales since the 1960's to refer to unmarried, cohabiting heterosexual relationships. However, this is merely a social usage. The term does not confer on cohabiting parties any of the rights or obligations enjoyed by spouses or civil partners. Unmarried partners are recognised for certain purposes in legislation: e.g., for means-tested benefits. For example, in the Jobseekers Act 1995, "unmarried couple" was defined as a man and woman who are not married to each other but who are living together in the same household as husband and wife other than in prescribed circumstances. But in many areas of the law cohabitants enjoy no special rights. Thus when a cohabiting relationship ends ownership of any assets will be decided by property law. The courts have no discretion to reallocate assets, as occurs on divorce.

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It is sometimes questionably claimed that before the Marriage Act 1753 cohabiting couples would enjoy the protection of a “common-law marriage”. In fact, the precise status of couples who had not undergone a formal marriage ceremony before this act is open to question. Neither the name nor the concept of “common-law marriage” was known at this time. Far from being treated as if they were married, couples known to be cohabiting risked prosecution by the church courts for fornication. Couples who lived together without undergoing a marriage ceremony before the Marriage Act 1753 are sometimes thought to have undertaken a “contract marriages” by mutual consent. However, contract marriages (or more strictly contracts per verba de praesenti), were not acknowledged as having the legal status of a valid marriage until the decision in *Dalrymple* in 1811. This decision would have had no impact on the subsequent development of English law had it not been for the fact that the Marriage Act 1753 did not apply overseas. English courts later held that it was possible to marry by a simple exchange of consent in the colonies although most of the disputed ceremonies involved the ministrations of a priest or other clergyman. The influence of American law led to such marriages being described as “common-law marriages”.

Scotland

Under Scots law, there have been several forms of “irregular marriage”, among them:

Irregular marriage by declaration de present Declaring in the presence of two witnesses that one takes someone as one’s wife or husband. Irregular marriage conditional on consummation. Marriage contracted by correspondence. Irregular marriage by cohabitation with habit and repute. The Marriage (Scotland) Act 1939 provided that the first three forms of irregular marriage could not be formed on or after 1 January 1940. However, any irregular marriages contracted prior to 1940 can still be upheld. This act also allowed the creation of regular civil marriages in Scotland for the first time. (The civil-registration system started in Scotland on 1 January 1855.) Until this act the only regular marriage available in Scotland was a religious marriage. Irregular marriages were not socially accepted and many people who decided to contract them did so where they were relatively unknown. In some years up to 60% of the marriages in the Blythswood Registration District of Glasgow were “irregular”.

In 2006, “marriage by cohabitation with habit and repute” the last form of irregular marriage that could still be contracted in Scotland was abolished in the Family Law (Scotland) Act 2006. Until that act had come into force, Scotland remained the only European jurisdiction never to have totally abolished the old-style common-law marriage. For this law to apply, the minimum time the couple has lived together continuously had to exceed 20 days.

As in the American jurisdictions that have preserved it, this type of marriage can be difficult to prove. It is not enough for the couple to have lived together for several years, but they must have been generally regarded as husband and wife, e.g., their friends and neighbors must have known them as “Mr. and Mrs. So-and-so” (or at least they must have held themselves out to their neighbors and friends as Mr. and Mrs. So-and-so). And, like American common-law marriages, it is a form of lawful marriage, so that people cannot be common-law spouses, or husband and wife by cohabitation with habit and repute, if one of them was legally married to somebody else when the relationship began.

United States

The tradition of common-law marriage was affirmed by the Supreme Court of the United States in *Meister v. Moore* (96 U.S. 76 (1877)), which ruled that Michigan had not abolished common-law marriage merely by producing a statute establishing rules for the solemnization of marriages. Since Michigan did not require marriages to be solemnized, the court held, the right to marry that existed at common-law existed until state law affirmatively changed it. The Court held that in order to bar common-law marriage, a state’s general marriage statute must indicate that no marriage would be valid unless the enumerated statutory requirements were followed.

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A common-law marriage can still be contracted in the District of Columbia and nine states: Alabama, Colorado, Iowa, Kansas, Montana, Oklahoma, Rhode Island, South Carolina, and Texas. Additionally, New Hampshire law provides for posthumous recognition of common-law marriage in probate cases and Utah will recognize a common-law marriage if the parties get a judicial decree to the effect a common law-marriage exists or existed between them. Otherwise, common-law marriages can no longer be contracted in any of the other states. (Eleven states never permitted common-law marriage). All states, however, recognize a common-law marriage that was validly contracted in another state under the principles of comity and their choice of law/conflict of laws rules. In California, for example, a marriage validly contracted in another jurisdiction is valid in California, even if it could not be legally contracted within California; and a marriage that is not validly contracted in another U.S. jurisdiction is not valid in California, even if it could have been legally contracted in that state. The only exceptions to this rule, in California and many other states, are polygamous marriages, same-sex marriages, and any other marriage that is deemed “odious to public policy.”

The requirements for a common-law marriage to be validly contracted differ from state to state, and among Native American tribes. The Navajo Nation, for example, allows common-law marriage and allows its members to marry using tribal ceremonial processes as well as traditional processes.

There is no such thing as “common-law divorce.” Only the contract of the marriage is irregular everything else about the marriage is perfectly regular. People who marry per the old common-law tradition must petition the appropriate court in their state for dissolution of marriage. Texas, however, permits common-law marriages to be effectively annulled, if not established legally within a specified time after the parties separate. Likewise, common-law legal presumptions that a person who obtains a marriage license has obtained a divorce from all prior marriages before remarrying, in the absence of proof to the contrary, can have a similar practical effect.

3. Monogamy

Monogamy refers to a form of marriage in which an individual has only one spouse at any one time. However, monogamy may also refer to the more general state of having only one mate at any one time and as such may be applied to the social behavior of some animals. In current usage monogamy often refers to having one sexual partner irrespective of marriage or reproduction.

Aspects of Monogamy

- **Social Monogamy** refers to two persons/creatures who live together, have sex with each other, and cooperate in acquiring basic resources such as food, clothes, and money.
- **Sexual Monogamy** refers to two persons/creatures who remain sexually exclusive with each other and have no outside sex partners.
- **Genetic Monogamy** refers to two partners that only have offspring with each other.
- **Marital Monogamy** refers to marriages of only two people.

Incidence of Social Monogamy

The United Nations World Fertility Report of 2003 reports that 89% of all people get married before age forty-nine. The percent of women and men who marry before age forty-nine drops to nearly 50% in some nations and reaches 100% in other nations.

Not all marriages are socially monogamous. Anthropological studies have reported that 80-85% of societies allow polygamous marriage. However, most of the men in societies that allow polygamy do not obtain sufficient wealth or status to have multiple wives, so the majority of marriages in these societies involve one husband and one wife. Murdock has estimated that 80% of marriages in societies that allow polygamy involve only one husband and one

wife. White has analyzed the distribution of husbands by number of wives in societies that allow polygamy. His analysis also supports the claim that around 80% of marriages in these societies involve only one husband and one wife. In fact, so many marriages are socially monogamous that Murdock had years earlier stated:

Incidence of Sexual Monogamy

The incidence of sexual monogamy can be roughly estimated as the percentage of married people who do not engage in extramarital sex. Several studies have looked at the percentage of people who engage in extramarital sex. These studies have shown that extramarital sex varies across cultures and across genders. The Standard Cross-Cultural Sample describes the amount of extramarital sex by men and women in over 50 pre-industrial cultures. The amount of extramarital sex by men is described as “universal” in 6 cultures, “moderate” in 29 cultures, “occasional” in 6 cultures, and “uncommon” in 10 cultures. The amount of extramarital sex by women is described as “universal” in 6 cultures, “moderate” in 23 cultures, “occasional” in 9 cultures, and “uncommon” in 15 cultures. These findings support the claim that the amount of extramarital sex differs across cultures and across genders.

Recent surveys conducted in non-Western nations have also found cultural and gender differences in extramarital sex. A study of sexual behavior in Thailand, Tanzania and Cote d’Ivoire suggests about 16–34% of men engage in extramarital sex while a much smaller (unreported) percentage of women engage in extramarital sex. Studies in Nigeria have found around 47–53% of men and to 18–36% of women engage in extramarital sex. A 1999 survey of married and cohabiting couples in Zimbabwe reports that 38% of men and 13% of women engaged in extra-couple sexual relationships within the last 12 months.

Nowhere has extramarital sex been examined more frequently than in the United States. Many surveys asking about extramarital sex in the United States have relied on convenience samples. A convenience sample means surveys are given to whoever happens to be easily available (example: volunteer college students or volunteer magazine readers). Convenience samples do not accurately reflect the population of the United States as a whole, which can cause serious biases in survey results. It should not be surprising, therefore, that surveys of extramarital sex in the United States have produced widely differing results. These studies report that about 12–26% of married women and 15–43% of married men engage in extramarital sex. The only way to get scientifically reliable estimates of extramarital sex is to use nationally representative samples. Three studies have used nationally representative samples. These studies have found that about 10–15% of women and 20–25% of men engage in extramarital sex.

Incidence of Genetic Monogamy

The incidence of genetic monogamy may be estimated from rates of extra pair paternity. Unfortunately, rates of extra pair paternity have not been extensively studied in people. Many reports of extra pair paternity are little more than quotes based on hearsay, anecdotes, and unpublished findings. Simmons, Firman, Rhodes, and Peters reviewed 11 published studies of extra-pair paternity from various locations in the United States, France, Switzerland, United Kingdom, Mexico, and the Yanomamo Indians in South America. The rates of extra pair paternity ranged from 0.03% to 11.8% although most of the locations had low percentages of extra pair paternity. The median rate of extra pair paternity was 1.8%. A separate review of 17 studies by Bellis, Hughes, Hughes, and Ashton found slightly higher rates of extra pair paternity.

The rates varied from 0.8% to 30% in these studies, with a median rate of 3.7% extra pair paternity. A range of 1.8% to 3.7% extra pair paternity implies a range of 96% to 98% genetic monogamy. Although the incidence of genetic monogamy may vary from 70% to 99% in different cultures or social environments, a large percentage of couples remain ge-

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netically monogamous during their relationships. A review paper surveying 67 other studies of non paternity reporting rates of non paternity in different societies ranging from 0.4% to over 50% was recently published by Kermyt G. Anderson.

Value of Monogamy

Some cultures value monogamy as an ideal form of family organization. However, many cultures prefer other forms of family organization. Anthropological data suggests many societies prefer polygamous marriage as a cultural ideal. There are multiple forms of non monogamy that are used to organize families, as well multiple forms of monogamy such as marriage, cohabitation and extended families.

Critics of monogamy, such as author and commentator Andrew Sullivan, argue that it involves a damaging self-denial that pushes people out of their natural instincts and that it can be psychologically damaging.

The dominant culture of the gay community disdains monogamy since open relationships are perceived as more honest to the inherent sexual desires of gay men, which means in that view, that monogamous relationships are shorter and involves less trust. However, a significant minority of gay men are monogamous.

4. Nikah Urfi

Nikah Urfi is a kind of Muslim marriage. It is similar to the Nikah ceremony. An Urfi marriage is a marriage without an official contract. Couples repeat the words, "We got married" and pledge commitment before God. Usually a paper, stating that the two are married, is written and two witnesses sign it. Most Islamic countries do not recognize 'Urfi marriages and no partner can get a 'legal' divorce since the government does not recognize the legality of the marriage in the first place.

Etymology

Urfi comes from the Arabic word 'Urf', which means custom, convention, or a customary act. Only some Sunnis believe in 'Urfi' whereas a large majority do Misyar. Misyaar marriages are very common in Arabian countries and are meant to receive sexual gratification in a legitimate way.

Legal issues

There are three criteria for defining legal issues in Islamic jurisprudence:

Shari : something that is clearly defined in the shariah.

Urfi : conventional or common tradition. An Urfi definition is acceptable to the common people without any scientific or shari precision.

Ilmi : a definition presented by science.

If the shariah defines something, all Muslims must follow that definition. If the shariah is silent on an issue, Muslims should follow the Urfi definition. The Urfi marriage has always existed, but for different reasons. In the past, it was common among the widows of soldiers who had huge pensions and they did not want to lose it by officially re-marrying. Now, however, it is mostly among university students and young couples who cannot afford the high cost of marriage.

Undocumented Urfi marriages are increasingly popular among Egyptian youth. The high cost of marriage forces many young couples to wait several years before they marry. Conservative Egyptian society forbids sex before marriage; so many young people consider the 'Urfi marriage a solution. Urfi marriages are conducted by a Muslim cleric in the presence of two witnesses. However, they are not officially registered and are not legally financially binding on the man. Couples married in this way often meet in secret and avoid the expense of renting an apartment. The Urfi marriage can be disastrous for the wife in legal terms. If the husband leaves her without granting her a divorce, she had no legal right to seek a divorce since Urfi marriage is considered illegal. Her husband could remarry. The wife is in

a more difficult position. If the wife remarries, she can be accused of polyandry, which is punishable by seven years in prison in Egypt, or she could remain single for the rest of her life.

5. Polygamy

Polygamy is a heterosexual marriage which includes more than two partners, which is a monogamous marriage. When a man is married to more than one wife at the one time, the relationship is called polygamy, and there is no marriage bond between the wives; and when a woman is married to more than one husband at the one time, it is called polyandry, and there is no marriage bond between the husbands. If a marriage includes multiple husbands and wives, it can be called group marriage. Though there are three or more parties to such marriages, sexual activities between the parties are normally only heterosexual.

The term is used in related ways in social anthropology, sociobiology, sociology, as well as in popular speech. In social anthropology, polygamy is the practice of a person's making him/herself available for two or more spouses to mate with. In contrast, monogamy is a marriage consisting of only two parties. Like monogamy, the term is often used in a de facto sense, applying regardless of whether the relationships are recognized by the state (see marriage for a discussion on the extent to which states can and do recognize potentially and actually polygamous forms as valid). In socio-biology, and zoology polygamy is used in a broad sense to mean any form of multiple mating.

Forms of Polygamy

Polygamy exists in three specific forms: polygyny where a man has multiple simultaneous wives; polyandry where a woman has multiple simultaneous husbands; or group marriage where the family unit consists of multiple husbands and multiple wives. Historically, all three practices have been found, but polygyny is by far the most common. Confusion arises when the broad term "polygamy" is used when a specific form of polygamy is being referred to. Additionally, different countries may or may not include all forms in their Polygamy laws.

Polyandry

Polyandry is a practice where a woman has more than one husband at the same time. Fraternal polyandry was traditionally practised among nomadic Tibetans in Nepal, parts of China and part of northern India, in which two or more brothers are married to the same wife, with her having equal sexual access to them. Polyandry is believed to be more likely in societies with scarce environmental resources, as it is believed to limit human population growth and enhance child survival. It is a rare form of marriage that exists not only among poor families, but also the elite.

Group Marriage

Group marriage is a marriage where the family unit consists of more than one man and more than one woman, any of whom share parental responsibility for any children arising from the marriage. Group marriage is a form of non-monogamy and polyamory. Another possibility, which has been conceived in fiction (notably in Robert Heinlein's *The Moon Is a Harsh Mistress*), is a line marriage, where a deceased or departing spouse in the group is continually replaced by another so that family property never becomes dispersed through inheritance.

6. Same Sex Marriage

Same-sex marriage (also called gay marriage) is a legally or socially recognized marriage between two persons of the same biological sex or social gender. Since 2001, ten countries and various other jurisdictions have begun legally formalizing same-sex marriages, and the recognition of such marriages is a civil rights, political, social, moral and religious issue in many nations. The conflicts arise over whether same-sex couples should be allowed to enter into marriage, be required to use a different status (such as a civil union, which either grant equal rights as marriage or limited rights in comparison to marriage), or not have any such rights. A related issue is whether the term marriage should be applied.

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One argument in support of same-sex marriage is that denying same-sex couples legal access to marriage and all of its attendant benefits represents discrimination based on sexual orientation; several American scientific bodies agree with this assertion. Another argument in support of same-sex marriage is the assertion that financial, psychological and physical well-being are enhanced by marriage, and that children of same-sex couples benefit from being raised by two parents within a legally recognized union supported by society's institutions. Court documents filed by American scientific associations also state that singling out gay men and women as ineligible for marriage both stigmatizes and invites public discrimination against them. The American Anthropological Association avers that social science research does not support the view that either civilization or viable social orders depend upon not recognizing same-sex marriage. Other arguments for same-sex marriage are based upon what is regarded as a universal human rights issue, mental and physical health concerns, equality before the law, and the goal of normalizing LGBT relationships. A Sharpton and several other authors attribute opposition to same-sex marriage as coming from homophobia or heterosexism and liken prohibitions on same-sex marriage to past prohibitions on interracial marriage.

One argument against same-sex marriage arises from a rejection of the use of the word "marriage" as applied to same-sex couples, as well as objections about the legal and social status of marriage itself being applied to same-sex partners under any terminology. Other stated arguments include direct and indirect social consequences of same-sex marriages, parenting concerns, religious grounds, and tradition.

Etymology and Terminological Usage

The word "marriage" comes from Old French marriage, from marrier ("to marry"), from Latin maritare ("to marry", literally "give in marriage"), from maritus ("lover", "nuptial"), from mas ("male", "masculine", "of the male sex").

Anthropologists have struggled to come up with a definition of marriage that absorbs commonalities of the social construct across cultures. Edvard Westermarck defined marriage in the 1922 edition of *The History of Human Marriage* as "a relation of one or more men to one or more women which is recognized as custom or law and involves certain rights and duties" to the individuals who enter into it, and any children born from it. Such definitions failed to recognize same-sex marriages that have been documented around the world, including in more than 30 African cultures, such as the Kikuyu and Nuer.

In lexicography, words have changed and expanded in accordance to the status quo. In the last 10 years, in the English-speaking world, all major dictionaries have either dropped gender specifications, or supplemented them with secondary definitions to include gender-neutral language or same-sex unions. The Oxford English Dictionary has recognized same-sex marriage since 2000.

Proponents of same-sex marriage such as Freedom to Marry and Garden State Equality use the term marriage equality to stress that they seek equality as opposed to special rights. Opponents of same-sex marriage such as The Church of Jesus Christ of Latter-day Saints, the United States Conference of Catholic Bishops, and the Southern Baptist Convention use the term traditional marriage to mean marriages between one man and one woman. Maggie Gallagher argues that equating same-sex and opposite-sex marriages change the meaning of marriage and its traditions.

4.3 TRADITIONAL FORMS OF HINDU MARRIAGE

According to the holy texts there are eight different types of Hindu marriages. According to many of these eight types of marriages prevailed in ancient India. Among these eight types all have religious procedure. The last four are not religiously defined and most of the times were condemned.

Brahma Marriage

According to the Brahma marriage if the boy completes his Brahmacharya (student hood), he is eligible to be married. This marriage is done when the father of the boy approaches the girl's parents and asks for her hand. And then the Brahma marriage is arranged. In this there is no system of dowry. One of the most important ritual of this marriage is kanyadaan (where the father gifts his daughter to the groom.) Among the eight types the highest type of marriage is the dharmasastras.

Daiva Marriage

In the case of Daiva marriage the girl is married to a priest. In this kind of a marriage the girl's family look for a suitable man for their daughter and if nobody turns up they go looking for a groom in such places where a sacrifice is being conducted. According to the religious texts Daiva marriage is inferior to Brahma marriage. It is considered degrading for the woman to look for groom by herself or by her family.

Arsha Marriage

The third type of marriage is called Arsha marriage that is marriage with the sages. In Arsha the bride is given in exchange for two cows, which is received, from the groom. Marriages of this type are said to have happened when the parents of the bride couldn't afford the expense of their daughter's marriage at the right time. Without choice the girl is married to an old sage. This is not considered as a noble marriage as it involves monetary or business transaction.

Prajapatya Marriage

This kind of marriage is almost similar to the Brahma marriage. There are only two major differences, one is that there is no monetary transaction and Kanyadaan is not a part of Prajapatya marriage. In this marriage the bride's father goes in search for a groom for his daughter.

Gandharva Marriage

Next is Gandharva marriage, is like the modern day love marriage. Here the bride and the bridegroom marry secretly without the knowledge of their parents. It is not believed to be a right kind of marriage as it is against the will of the parents so it is inferior kind of marriage.

Asura Marriage

In the Asura kind of marriage the groom is not considered suitable for the bride. He is in no way a match for the girl. The bridegroom gives as much wealth as he can afford to the bride's parents. So this system of marriage is more like business.

Rakshasa Marriage

The Rakshasa marriage is done, when the groom fights battles with the bride's family, defeats them and then carries her away and then persuades her to marry him. This is not at all considered as the right kind of marriage as it includes force.

Paishacha Marriage

Paishacha marriage is the last kind of marriage. It is considered as the most inferior type of marriage. In this the girl is married against her wishes. This kind of marriage is prohibited.

4.4 HINDU MARRIAGE AS A SACRAMENT

The aims of Hindu marriage are said to be dharma, praja (progeny) and rati (pleasure). Through sex is one of the function of marriage it is given third place, indicating there by that it is least desirable aim of the marriage. To stress the lower role of sex in marriage, the marriage of a Sudra is said to be for pleasure only. The Sudra is considered to be a contemptible fellow who has no high purpose in life. Because the Sudra is despised, relations with a Sudra woman are viewed unfavorable through they can't be stopped. Consequently the brahmanic legislators enjoined that a sudra wife would be taken only for pleasure. This

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association of Sudra wife with sex is another way of indicating the proper place of sex in marriage. The institution of Hindu marriage occupies a prominent place in the social Institution of the civilized world. Hindu marriage can be defined as religions sacrament in which a man and woman are bound in permanent relationship for physical, social and spiritual purpose of dharma, procreation and sexual pleasure.

The Hindu marriage is not really a social contract but a religious sacrament. It results in a more or less permanent relationship between a man and woman. Their aim is not nearly physical pleasure but spiritual advancement. It is not merely an individual function but has a serial enjoyment of sexual pleasure. It exhibits unintegral approach to this serial institution. The main aim of Hindu marriage can be summarized as follows.

- (i) **Fulfillment of Dharma or Religions Duties:** According to the Hindu scriptures marriage is a basic of all religion activities. Marriage is primarily for the fulfillment of duties; the basic aim of marriage was dharma”.
- (ii) **Procreation:** In Hindu families the child is given a very important place. According to Riga Veda, the husband accepts the palm of wife in order to get a high breed progeny. According to manu, the chief aim of marriage is procreation Mahabarat has also maintained the same view.
- (iii) **Sexual Pleasure:** The Hindu scriptures have compared the sexual pleasure with the relation of divine bliss. According to vatsyanyan sexual pleasure is the chief in aim marriage.

As marriage is said to be sacred it is irrevocable, other parties to the marriage can't dissolve it at will. Each is bound to the other until the death of either of them and the wife is supposed to be bound to her husband even after his death. Concept of marriage, that it is, indissoluble, is a lofty one because it means that the husband and wife after marriage age to adjust their tastes and temper their ideas and interest, instead of breaking with each other when they find that these differ. Hindu marriage, thus viewed, is not an ordinary affair where in the weakness of flesh plays a dominant part. On the contrary, demands of personal gratification and pleasures are subordinated, and the individual is called upon to make marriage a success by means of compromise and adjustment. Despite the fact that marriage was considered to be irrevocable the two partners were not regarded as beings equal in their obligations, privileges there was obvious discrimination made in their responsibility towards each other and in responsibility for succession of marriage.

It is a sacrament also in another sense. A Hindu male goes through the performance of several sacraments during the course of his life. Which begins with the laying of the fetus and end with the cremation of his body. Their importance in Hindu life can be understood from the fact that while in the early law cremation was prescribed for a child who had completed two years, in the later law it was enjoined in the case of a child who had undergone the sacrament of tonsure. Similarly, marriage is said to be essential for woman because that is the only sacrament that can be performed for her. Even in the performance of religious duties the wife was more of a passive partner and was generally selected from a family, which did not neglect the performance of sacred rites. Marriage was a serious duty towards the family and the community and there was little idea of individual interest. The social background provided by the authoritarian joint family, and caste with its dominion small spheres of life, afforded no scope for the recognition of any personal factor, individual, interest or aspiration, in the relations between husband and wife. Dharma, Artha, Kama and even moksha are some of the guiding factors of Hindu marriage. Attainment of lines is also the main object of a married life. A man is only half of a whole unless he is not married. Marriage is also essential according to Hindu scriptures because only by entering a matrimonial alliance with opposite sex, a man can enter into grahs thaskram, and it is only this asharma where he is allowed to practice

dharma, artha, kama and moksha. On the other hand, marriage is considered to be self-contented social institution. But is not a social institution in the same sense in which family is. Mr. Sumner has rightly pointed out that the term marriage has always been elastic and variable usage.

4.5 LEGISLATION AND CHANGING TRENDS DOMESTIC VIOLENCE

4.5.1 Legislation of Marriage

Programmes for Women and their Impact

Marriage Legislation

In March 1961, when the bill on unequal marriages was being discussed in the Rajya Sabha, one member quoted epic against its inclusion in the institution of Hindu marriage. Dr. Radhakrishnan, the then chairman of the Rajya Sabha, had remarked: the ancient history cannot solve the problems of modern society. This is an answer in one sentence to those critics who want to maintain a gap between social opinion and social legislation.

Legislation must meet the social needs of the people and because the social needs change, legislation also must change from time to time. The function of social legislation is to adjust the legal system continually to a society, which is constantly out growing that system. The gulf between the current needs of the society and the old laws must be bridged. The laws have got to give recognition to certain de facto changes in society. One of the changes in modern India is the change in the attitude towards marriage; hence the necessity of laws on different aspects of marriage.

The laws enacted in India relate to: (i) age at marriage (ii) field of mate selection, (iii) number of spouses in marriage, (iv) breaking of marriage, (v) dowry to be given and taken, and (vi) remarriage. The important legislations relating to these six aspects of marriage passed from time to time are: (i) The Child Marriage Restraint Act, 1929 (dealing with age at marriage), (ii) The Hindu Marriage Disabilities Removal Act 1946 and Hindu Marriage Validity Act, 1949 (dealing with field of mate selection), (iii) The Special Act. 1954 (dealing with age at marriage, freedom to children in marriage without parental consent, bigamy, and breaking up of marriage), (iv) the Hindu Marriage Act, 1955 (dealing with age at marriage with the consent of parents bigamy, and breaking up of marriage) (v) The Dowry Act 1961, and (vi) The Widow Remarriage Act, 1856.

4.5.2 Changing Trends in Marriage

The concept of Indian wedding has seen drastic changes, over the last few years. In the yesteryears, the ceremony was a brief affair, confined to an economical budget, even though the guest list was long. On the contrary, in the present time, the occasion is generally celebrated in an elaborated way, with number of rituals that are conducted before, during and after it. A long guest list, colorful and extravagant venue, lavish feast and a series of rituals are the key ingredients of the 'big fat Indian wedding' that we see today. In the following lines, we have discussed about the changing trends in Indian marriages.

Wedding Trends in India

The Concept of Arranged and Love Marriage

The custom of arranged marriages has been a part of Indian culture since the fourth century. The practice was begun primarily to maintain and pass on the family traditions from one generation to the other. It is still prevalent in both rural and urban parts of India, former being more inclined towards the system. In fact, arranged marriages are in majority, because not all people have accepted the concept of love marriage. However, with the changing time, people in India have accepted the concept of love marriage, which is otherwise considered against the Indian culture. People in the rural India are now more liberal, when it comes to love

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marriages. Therefore, both arranged and love marriage find equal importance in the wedding scenario of India.

Inter-Caste and Inter-Religion Marriage

Until some time back, marrying a person belonging to some other caste or religions was strictly not permitted by the families. With the modernization of the Indian society and social awareness of the people, inter-caste and inter-religion marriages have become a common sight. This is primarily due to the acceptance of the concept of love marriage. Nonetheless, people with an orthodox or conservative outlook of life are still firm about marrying within the same caste, community and religion. Contrary to this thought, people in the present time do believe in solemnizing weddings of two different individuals belonging to different family background and culture. The recent trend in Indian marriages is the acceptance of the concept of homosexual marriage.

Wedding Attire

The wedding attire has also seen a drastic change, over the passing years. Initially, the bride and the groom used to wear traditional dress, of their respective religions, regions or community. Today, although they still wear their traditional dress during the important wedding ceremonies, they resort to the outfit that is different from the traditional ones for other rituals. With the changing fashion trend, the way of getting dressed for a wedding has also been changing. People, especially in the elite class, are now hiring fashion designers to choose the wedding attire for the bride and the groom. Inspired by the high-profile weddings of business tycoons and Bollywood stars, people now want to look like a celebrity, on their 'important day'. Hence, the attire chosen for the wedding ceremony is often a reflection of the hot trend.

Planning

People's perception of planning the wedding has also changed over the passing years. Few years back, wedding and engagement were the sole responsibility of the bride's family. People within the family took efforts in decorating the venues chosen for conducting different ceremonies. Moreover, the wedding expenses were also borne by the bride's parents. Today, although the bride's parents still finance for the wedding ceremony, (except the reception party, which is thrown by the groom's family), people are now resorting to professionals to make arrangements for their weddings, right from the menu to the decorations. They hire wedding planners for the purpose. This is especially prevalent in the urban upper-middle class of India, where they want their wedding to be a trendsetter and the talk of the town for a long time.

4.5.3 Domestic Violence in Marriages

The term 'domestic' denotes 'within the realm or territory of home'. Violence that is committed on a woman by her married partner or his relatives is the major cause of domestic violence. This notion carries with it, the demolition of the assumption that home is a secured place for the protection of an individual. The women are made hostages at home in a way and their life becomes a prey to the whims and fancies of the people exercising violence. In fact, the horror present is even more formidable since law is hesitant to enter into the private sphere to address the wrongs committed against women.

It is not consensual, but rather a pattern of behavior used by an individual to maintain coercive control over another. The abusive behavior may become more frequent and severe. It is divided into 5 heads

- 1) **Verbal Abuse:** like name calling, threatening, intimidating,
- 2) **Emotional Abuse:** criticizing constantly, displaying extreme jealousy, publicly humiliating, isolating the partner, domination.
- 3) **Financial Abuse:** controlling the money, concealing joint assets, keeping the other impoverished, using partner's money without consent. These abuses though may be wit-

nessed in an infant form in the initial stages but in later stages they might take an inhumane form as listed below.

- 4) **Physical Abuse:** pushing, slapping, hitting, kicking, choking, pulling hair, biting, using weapons, tying the partner up, locking the partner in a room with denial of food.
- 5) **Sexual Abuse-** raping, physically attacking sexual parts, forcing the partner to perform sexual acts.

As researched by various scholars there have been mainly three causes irrespective of the culture of the victims:

- 1) Husbands had been used to the idea of solving their problems with wives through the use of violence.
- 2) They have effectively exercised violent control over others.
- 3) No one ever stopped them from being violent in the past.

According to Dr. Charlotte Watts “Violence is a highly stigmatized issue as society often blames women for the violence that they experience”. She conducted a WHO study in various countries like Ethiopia, Japan, Brazil, etc. designed to estimate the prevalence of violence. It was found out that the violent acts on woman by their intimate partners was continuous and at times didn’t end even when the woman was pregnant. In India, these features have been observed to a large extent.

It was also revealed that the majority of women considered abuse at the hands of their partners to be a ‘normal’ occurrence. This feature is most prevalent in Indian context. The feeling of ‘false consciousness’ is the culprit behind such ideas. Women under the false belief, identify with the opinion that once married to their husbands, they have to appease him in every way possible. They perceive it as their duty to go through the atrocities committed by partners, since he attains the place of God rather ‘Pati Parmeshwar’. They fear the strictness of the orthodox sentiments and are unaware of the prospect that the violence endured, could even be considered a crime or that they have a right to rebel. They accept the situation as their sealed fate. It is accepted as a norm by the abused woman. Also in developing countries like India, there has been found a general inadequacy of effective laws against the realm of domestic violence. The law fails to give enough attention to such areas which have long been ignored and domestic violence is one such area.

Not only that, in India various surveys have been conducted which revealed that such violence is mostly prevalent in rural areas as compared to urban areas. It has also been observed that women are largely ignorant about the laws that protect them from dowry deaths, harassments and violence at home. They are unaware of the new reforms undertaken. The Indian context would be discussed again in detail in subsequent parts.

Consequences and Statistics

Women, going through domestic violence have reported sleeping problems, depression, anxiety attacks, low self-esteem, lack of trust in others, feeling abandonment, anger, sensitivity to rejection, diminished physical and mental health, inability to work and even poor relations with their relatives and loved ones. Such victimized women are more likely to report miscarriages and abortions, suicidal thoughts and attempts. The physical and mental health effects may last long after the violence has ended.

The children who grow up in such environment are rather confused, agitated from inside. Later in life, they have a strong inclination to turn aggressive. Moreover, the sons loose respect for womenfolk if they are used to seeing them in subversive position. The negative ideas are carried forth in the next generation.

In to a survey done by UNICEF in India, 6902 men were surveyed in the state of Uttar Pradesh during 1996. It was seen that 45% of the married men acknowledged beating up their wives.

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According to Women's Feature Service, every 6 hours in India, a young married woman is burnt alive, beaten to death, or forced to commit suicide. Former additional commissioner of police, Sewa Doss, said that nearly 7,000 complaints of domestic violence are reported annually in Delhi. However most cases are tried very slowly.

Proportion of women suffering domestic violence in India varies between 20-45%. Country reports 2004 cited data from the Indian Ministry of Home Affairs, which claimed 130 reported cases of dowry deaths, 490 instances of rape and 1211 cases of cruelty by the husband or in-laws in Delhi alone.

According to the Hindu, a study cited 'unequal citizens: a study of Muslim women in India' and published by Oxford Press, greater proportion of women suffered from violence than Muslim women. Research conducted in Kerala; found that approx. 49% of women who didn't own property were victims of violence at home against 7% of those who did. However, this result could be due to underreporting among the more privileged women.

According to the Tribune of Chandigarh, domestic violence is increasing in Punjab since link between alcoholism and violence could be seen and Punjab had the highest per capita consumption of alcohol. Now if we look at some cases of domestic violence, you can see it's an issue of global concern.

In New York, USA, in People vs. Cahill case, Jill Cahill was beaten in the head with aluminum baseball bat, repeatedly by her husband and later murdered by him while in coma.

In Saudi Arabia, Rania Al Baz had to go through beating just because her husband found her talking on the phone in his absence. He repeatedly smashed her face against the marble floor and walls and tried to strangle her. He left her unconscious in a hospital where her face was found fractured in 13 places.

When one comes across such hideous cases of atrocities, one is left to ponder over the rampant display of violence. In India women are sacrificed at the altar of unjustified reasons: be it inadequacy to pay dowry, failure to respond to sex in trying circumstances etc.

Laws Against Domestic Violence

In 1983, domestic violence was recognized as a specific criminal offence by the introduction of section 498-A into the Indian Penal Code. It highlights the criminal dimension of mental and physical cruelty inflicted by the husband or his relatives for reasons that may extend beyond 'unlawful demands'. It is believed to have a strong deterrent value because of its immediate repercussions. It classifies such violence as cognizable offence, so the accused can be arrested without a warrant. It also gives a woman a lawyer to negotiate a solution to her plight. Four types of cruelty are dealt with by this law:

- Conduct that is likely to drive a woman to suicide.
- Conduct which is likely to cause grave injury to the life, limb and health of the woman.
- Harassment with the purpose of forcing the woman or her relatives to give some property.
- Harassment if the women's relatives couldn't yield to demands for more money or property.

The punishment is imprisonment for up to three years and a fine. The complaint could be lodged by the person itself or by any relative on her behalf. This is an important merit since the victimized women are often not in a position seek help.

The forms of 'cruelty' recognized by the Indian courts are persistent denial of food, insisting on perverse sexual conduct, constantly locking a woman out of the house, denying the woman access to children thereby causing mental torture, physical violence, taunting-demoralizing and putting down the woman with intention of causing mental torture, confining the woman at home and not allowing her normal social intercourse, abusing children in their mother's presence and denying the paternity of children with the intention of causing mental

torture and threatening divorce until dowry is given. The matrimonial home is the household a woman shares with her husband, whether it is rented, officially provided or owned by the husband or his relatives. She has the right to remain in that home as long as she is married. If the victim is being pressurized to leave the home, she can ask the court for an 'injunction' or 'restraining order' protecting her from being thrown out. An injunction is a court order directing a person to do or not to do something.

The IPC addresses dowry death in section 304B. If a woman dies of 'unnatural death' within 7 years of marriage and has been harassed for dowry before her death, the courts assume that the death is due to it. A dowry death is punishable by imprisonment of at least 7 years.

Under section 306, it deals with the crime of abetting a woman to suicide. If a woman is judicially separated, her husband cannot have sexual intercourse with her without her consent. Section 376-A of IPC deals with it. Indian President A.P.J. Abdul Kalam gave assent to domestic violence bill, 2005 which aims at protecting women from verbal, economic, emotional and sexual abuses.

As per the Act, a police officer, protection officer, service provider or magistrate who receives a message of domestic violence shall inform the aggrieved person of her right to make an application for obtaining relief by way of protection order. The Act provides the rights for free legal services under the Legal Services Authorities Act, 1987 and right to file a complaint under Sec. 498-A of the IPC, wherever relevant. The aggrieved person may be provided shelter in the home and also medical facilities, if needed. Any woman subjected to mental/physical injuries, physical abuse, criminal intimidation by force, sexual abuse (any conduct of a sexual nature that abuses, humiliates, degrades, or otherwise violates the dignity of woman), will be covered under domestic violence. The state governments may appoint, by notification, such number of protection officers, as far as possible women, in each district as may be considered necessary and shall notify the area within which a protection officer may exercise the powers and perform duties conferred on him or under this Act.

On the international sphere, the Beijing Declaration, 1995 condemned domestic violence. It was discovered there was a lack of information about the prevalence, nature, causes and consequences of global violence against women and that not having the knowledge was an obstacle to the development of effective intervention strategies. It offers to help research projects undertaken in this hitherto unexplored sphere.

The Universalistic Human Rights approach put forth in Universal Declaration of Human Rights supports the crusade against domestic violence since it favors protecting the basic right of everyone to live a dignified life. CEDAW (Convention on Elimination of Discrimination Against Women) makes it mandatory for its member nations to make laws prohibiting domestic violence. It also receives reports from the members about the steps taken in this direction. Fortunately, India is a member of CEDAW.

Theoretical Perspectives of Mackinnon And West

Catherine Mackinnon in her article 'Difference and Dominance', 1984 in 'Feminism Unmodified' has argued how sex has become a parameter of distinction between man and woman hindering equality. It is the concept of treating likes alike and unlikes unlike, thus the definition of sex has been restricted to the narrow idea of their mutual unlikeness. The laws discriminating among people on the basis of sex support this idea. It brings a kind of conflict between equality which advocates sameness and sex which advocates difference.

There are two ways available to a woman to gain liberty under such circumstance

1) To be the same as Man: The woman in such case has to measure up to a certain standard. She has to live the life of a 'man'. She has to prove to the society that she is identical to him. It is considered as gender neutrality. It is supposed to encourage formal equality.

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2) To be different from Man: Here, some type of a rule of sex discrimination comes into play, recognizing the obvious difference between a man and a woman. Gender neutrality is thus married to the concept of male as a parameter. In both 'same' and 'unlike' ways, female is compared to a male.

Mackinnon has termed the second way as 'difference' approach, as the whole concept is revolving around difference in sex. According to her theory, on the first day difference between man and woman arose, on the second day division was created and on the third day dominance arose without any rational explanation. Among these, difference is most real and justified. She argues that in society, women have been carrying the burden of being 'different', and then the compensation for this discrimination should be worth the trouble. But women have been excluded from contact jobs in male only prisons for the fear that they would be raped. The courts also take into account the temptation of prisoners, and instead of stopping them, take away the rights of the woman. Excluding woman from the situation is the easiest option when equality and sex create an in-built tension.

So actually men have it both ways. If they want to be the same, then equality is chosen and if they want to be different to promote their interests, then again woman suffers. Woman's equality is thus a prey to the whim and fancy of man.

In her 'dominance' theory, she states that the whole point of woman's weakness is the things done to her are not done to a man. For e.g. marital rape in domestic violence. Her suggestion is equal protection of laws "where protection is not a dirty word and equality not a privilege".

Robin West in '**the difference in women's hedonic lives** a phenomenological critique in feminist legal theory' states that women's subjective, hedonic lives are different from men's as the quality and quantity of suffering is distinct from that of man's. Reasons for this are:

- Women find the same event painful which men find pleasurable e.g. rape.
- Men are oblivious to the painful torture through which the women go.

The women's distinctive, gender-specific injuries are treated as trivial e.g. sexual harassment on street. Legal culture doesn't pay heed to women's problems because those in power hardly care for the disempowered. Feminist theorists fail to cover certain areas because of such problems:

- Linguistic women lack descriptive vocabulary necessary to convey the 'different' pain suffered.
- Psychological before convincing others about the gravity of their problems, women need to be convinced themselves.
- Political when subjugation is offered for the resistant efforts taken, it discourages women.

West gives her opinion on two forms of feminist theory

1) Liberal Feminism- According to it, women should be given freedom of choice in economic, political and personal areas since her free consent determines her welfare. It is based on the assumption that women are same-equal to men. But, West argues that women sometimes don't consent to changes to satisfy her desires rather to appease the desires of others 'giving selves'. Then the liberal's presumption that essentially wishes are taken selfishly on the basis of one's own interests, won't apply on such women. It would risk missing the real cause of woman's misery.

2) Radical Feminism- According to it, feminists want more power for women since they are not equal to men in society. Their principles are: Submission makes women miserable and substantive equality will make her happy. Women should oppose not what makes them miserable the expropriation of sexuality but the hierarchy of power that facilitates it. Women are victims of 'false consciousness' if they are at odds with the equalitarian idea.

But West argues that desire 'sexual submission' is judged to be 'false' not because the woman considers it such rather someone else has come to judge it as such. Once again, women's choice will be dictated by someone else's conception of sexual right/wrong.

West's suggestion is to insist on women's humanity, on the 'difference' of choice she has when compared to men. The aim should be simply to increase women's happiness and to lessen her pain. Women should speak out about their unique pain in their internal lives.

Application of the Theories

According to Mackinnon, society treats women either differently or equally to men to suit the convenience of 'man'. In India, women don't generally report cases of domestic violence. This hesitance on the part of the women is partly due to the burden of expectation which the society has from her and not from the husband. The wife is blamed for the failure of a marriage. The woman who offers resistance and is not thus unable to sustain her marriage is looked down upon, as someone who failed to perform her duties as an 'ideal wife'. Divorcees are either shunned or looked upon by 'hungry/ penetrating' eyes. Another example of where women are treated differently to men because of their sexual difference is in education. Some of the Indians have this notion that women are not entitled to sound education and job and their only duty is to look after the household. Even educated women are married off before they could secure a job. So when such women try to rebel against the domestic injustice meted out to them, the question of financial security after separation faces them. In such cases, even the women's own parents refuse to help. The parents are imbued with the idea that they partake off their duties towards their daughters after marrying them.

Moreover, men also sometimes choose to advocate 'sameness' formal equality to suit their interests as opined by Mackinnon. The few laws through which Indian women can legally fight are being criticized by men's organization which claims that law is being misused by the women to harass their husbands. Men are wrongfully imprisoned because the law allows a man to be arrested solely on the testimony of a woman.

According to West, there is a biological difference between a man and a woman. Right from prehistoric times, man has undertaken the tougher task of hunting while women had taken over the lighter task of household duties. A man is generally physically stronger than a woman. Being frail in body, she couldn't possibly offer effective resistance against a man's physical advances and violence. This leads to the discrimination of man being the stronger, and therefore the more dominant being.

As put forth by West, women sometimes themselves trivialize their suffering. In India, the woman victim transforms her pain into punishment, pleasure, inevitable and natural. Instead of speaking out, she tries to suppress her pain. Therefore, her response is to endure the pain by giving it a more acceptable form.

West argues that women are 'giving selves' maybe because of her biological pregnability. Women are by nature sacrificing, loving, nurturing beings because of the innate sense of motherhood in them. Some of them are willing to go through traumatic marital experiences provided their children develop in a healthier atmosphere of united family. As West puts it, they respond by changing themselves rather than protesting against the conditions which cause it.

General Recommendation

- One of the drawbacks of Indian laws is there is no prohibition or stopping marital rape. Sexual intercourse without a wife's consent within a marriage is not termed 'rape' legally. As observed by Justice Pasayat 'while a murderer destroys the physical frame of victim, a rapist degrades and defiles the soul of a helpless female'. Since it occurs within the confines of home, as in other forms of domestic violence, there are often no witnesses. Excessive demand for sex comes under 'cruelty' and may entitle a woman to divorce. Marital rape can be more damaging than rape since it is repeated number of

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times and the victim feels emotionally betrayed by her own loved one. Strict law against such form of rape should be enacted.

- Moreover, the woman actually becomes homeless when her husband or in-laws come back from jail. They should therefore be given alternative assistance. Some women, who face threat of life, should be kept protected by law while they await justice. This gives them the necessary assurance to move ahead with their protest.
- It has been seen that male police officials in India are hesitant in filing complaints because of its adverse impact on husband's family. The husband's family often proposes withdrawing the case as a precondition for an easy divorce. The stat still considers home violence as an element of private world and remains conscious of an 'invalid encroachment'. To help more women in seeking relief and making such violence more amenable to legal intervention, the law should rise above such the public-private dichotomy and give preference to human rights.
- Individual country reports should be created about domestic violence so that a reliable study could be made in international forums like CEDAW. Fast Track courts in India lack punitive power so more resources should be provided to them and to police stations in terms of competent personnel, maintenance and authority. The authorities should stop taking women's issues as secondary and relegating them to later dates according to leisure. We should encourage collaboration between NGO's and state to prevent duplication of service/surveys and ensure better utilization of scarce resources. Gender sensitization programs advocating women's right to life, liberty should be part of the curriculum of training of police, judiciary, bureaucracy etc. Regular training is more common for senior officials but it is at lower rank that constant skill upgrades and checks are needed since they are directly in touch with the victims. Raise public awareness and provide assurance to the women by showing solutions to their problems.

A strong crusade against domestic violence could be launched only when we try to implement the already-existing measures. Making more laws is not the only solution. Its only when we are sincere in our efforts at the grassroots level also, we can expect a change to happen. It is through a collective determination to support women's rights not only 'outside' but also 'inside' the hitherto restricted boundary of home, that we can attain the objective of destroying the well-embedded thorns of domestic violence from our society.

4.6 MARRIAGE AMONG MUSLIMS AND CHRISTAINS

Marriage among Muslims

Muslim society is stratified not only among Shias and Sunnis but also among Ashraf (Saiyed, Sheikh, Pathan, etc.), Azlab (Momins, Mansooris, Ibrahims, etc.) and Arzal (Halalkhor, etc.). The Ashrafs are the noble-born, the Azlabs are low-born, and the Arzals are the lowest of all. All these groups are endogamous and inter-marriages among them are condemned and discouraged.

Muslim marriage, called nikab, unlike the sacramental marriage of the Hindus, is considered to be a civil contract. Its important objectives are: control over sex, procreation of children and perpetuation of family, upbringing of children, and ordering of domestic life. S.C. Sarkar also maintains that marriage among Muslims is a civil contract. But it will be wrong to say that Muslim marriage has no religious duty. It is devotion and an act of ibaddat. Jang (1953) is, therefore, more correct in maintaining that nikah, though essentially a contract, is also a devotional act. But it is surely not a sacrament like Hindus.

The Muslim marriage has five features: (i) proposal and its acceptance, (ii) capacity to contract marriage, (iii) doctrine of equality, (iv) preference system, and (v) mahar. The proposal is made by the bridegroom to the bride just before the wedding ceremony in the pres-

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ence of two witnesses and a Maulvi (priest). For recognising marriage as *saht* (regular), it is necessary that both the proposal and its acceptance must be at the same meeting. Not doing so makes marriage '*fasid*' (irregular) but not *batil* (invalid). Further, female testimony has been rejected in Muslim marriage. *Fasid* marriage can be converted into *sahi* marriage but not the *batil* one. Examples of *fasid* marriages are: absence of witnesses at the time of making and accepting the proposal, fifth marriage of a man, marriage of a woman during the period when she is undergoing *iddat* (period of seclusion for three menstrual periods after husband's death or divorce), and difference of religion between husband and wife. Examples of *batil* marriages are: marriage with a person who worships idol or fire, polyandry, and marriage with some consanguineous kin (say, father's sister, mother's sister, own sister or brother, sister's daughter, son's wife and so on). The feature of capacity to contract marriage refers to not recognizing child marriage or marriage of a person of an unsound mind. The Shia law gives the right to the guardian of a minor to contract his/her marriage. The marriage contracted by the *fazuli* relative of a minor gives the right to the minor to ratify the marriage on attaining puberty. The practice of ratification and option of repudiation is called *khairulbalig*. The doctrine of equality refers to marriage with a person of low status. Such marriages are looked down upon. Similarly, runaway marriages (called *kifa*) are also not recognised. The preferential system refers to giving preference first to parallel (*Chachera* and *mausera*) cousin and then to cross-cousin. But these days, cousin marriages are discouraged. *Mahr* (dower) custom in marriage refers to money which a wife is entitled to get from her husband in consideration of marriage. *Mahr* can be specified (fixed) or proper (considered reasonable). It can also be prompt (payable on husband's death or divorce) or deferred. At one time, the Muslims had a practice of *muta* (temporary) marriage but that practice has been abolished now.

Divorce (*talaq*) in Muslim society can be given with or without the intervention of the court. A woman can divorce her husband only through the court but a man can divorce his wife without approaching the court and by making a single pronouncement during one *tubr* (one menstruation period, i.e., one month) (called *Talaq-e-Abasan*) or three pronouncements in three *tuhrs* (called *Talaq-e-Ifasan*) or three pronouncements in a single *tubr* (called *Talaq-e-Ulbidat*). In addition to these three types of divorce, there are three other kinds of divorce too: *ilia*, *zihar*, and *lian*. In *ilia*, the husband swears by Allah (God) to abstain from sexual relations with his wife for a period of four or more months or for a specified period. After making *ilia*, if he really abstains from sexual inter-course, the marriage is considered to be dissolved. In *zihar*, the husband declares in the presence of two witnesses that his wife is like a mother to him. *Zikar* does not dissolve the marriage but it provides a ground to the wife to sue her husband for divorce. In *lian*, the husband accuses his wife of adultery. This provides ground to wife to approach the court for divorce. Divorce given by mutual consent of husband and wife is called *khula* (initiated at the instance of the wife) or *muharat* (initiative coming from wife or husband). After divorce, the wife is not entitled to get maintenance allowance from her husband. However, about fifteen years ago, the Supreme Court allowed maintenance allowance to one *Shah Bano*. Since this decision was questioned by the Muslim leaders, describing it as interference the Muslim Personal Law, the government had to amend the legislation. In February 1993, the Uttar Pradesh High Court also ordered the payment of maintenance allowance to one *Hameedan* and her two children. The All India Muslim Personal Law Board then filed a review petition in the High Court.

All these features point out the difference between the Hindu and the Muslim marriages in terms of aims and ideals of marriage, nature of marriage, characteristics of marriage, and dissolving marriage.

It is now contended that the belief that Muslims practise polygyny and easy divorce in large numbers is a misconception. The number of Muslims who have more than one wife is negligible now. There are more cases of bigamy amongst Hindus. Likewise, there are more divorces among Hindus and Sikhs than among Muslims. The statistics compiled by the Indian

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Statistical Institute reveal that 72 out of 1,000 non-Muslims have more than one wife, while only 15 out of 1,000 Muslim males have more than one wife (Hindustan Times, June 27, 1998). Earlier, the report compiled by the Committee on the Status of Women, published in 1975 had also revealed that the incidence of polygamy was the highest among tribals (15.25%), followed by Buddhists (7.97%), Jains (6.75%), Hindus (5.8%), and Muslims (5.7%).

Uniform Civil Code (UCC)

The unilateral divorce and polygyny among Muslims is so much criticised that many people clamor for uniform civil code regarding marriage. The Muslims oppose it because they not only consider it interference in Muslim personal laws but also because the content of the UCC will be mainly drawn from the Hindu Act. A survey was conducted among 395 persons (187 Hindu and 208 Muslims) in Aligarh in 1995 by the Institute for Development Studies (The Hindustan Times, January 1, 1996). About 60 per cent of the total respondents expressed undesirability of the UCC irrespective of their religious background. On the other hand, on religious background basis, 74 per cent Hindus and 9 per cent Muslims expressed the desirability of the UCC. The arguments in favor of the UCC were: (1) national integration and secularism will be promoted; (2) growing communal and caste violence will be contained; (3) the process of civil justice will be strengthened; and (4) the gender biases will be mitigated and feelings of equality amongst women will be perpetuated. The 34 Muslims who supported the UCC were professional and white-collared persons (doctors, lawyers, engineers, college teachers, office workers and students). The arguments against the UCC were: (1) Muslims themselves do not feel any necessity for the change. (2) The political groups are exploiting the religious sentiments of the people for creating their vote bank. (3) Muslims hold that Hindus are trying to impose their cultural values on Muslims as the provisions in the UCC are mainly taken from the Hindu law. (4) The UCC will generate heat, discontent and intolerance among different religious groups, particularly amongst minorities. (5) Most Muslims hold that the UCC will tantamount to a denial of the fundamental right of freedom to religion and will hamper the development of the concept 'unity in diversity'. The Hindus, however, do not share this opinion. It may be averred that if the UCC is not perceived from the 'religious' perspective but is viewed as a measure to check evils of polygyny and easy verbal divorce, a detailed discussion with non-orthodox religious leaders of different communities can help in the formulation of legislation.

Marriage among Christian

As among Hindus and Muslims, we find stratification among Christians too. The two groups in which Christians are divided are: Protestants and Catholics. The latter are further subdivided as Latin and Syrian Christians. All these groups and sub groups are endogamous.

The main object of marriage among Christians, as among Hindus and Muslims, is to get social sanction for sex relations and procreation. Further, religion also has great significance in Christian marriage. Christians believe that marriage takes place because of the will of God, and after marriage man and woman submerge themselves in each other. The three objects of Christian marriage are believed to be: procreation, escape from fornication (sex relations without marriage), and mutual help and comfort.

The marriage partner's are selected either by parents, or by children, or jointly by parents and children. However, in 9 out of 10 cases, selection is made and marriage is settled by parents. While selecting partners, the focus is on avoiding blood relations, and giving importance to social status of family, character, education, physical fitness, etc. Restrictions on consanguinity and affinity among Christians and Hindus are almost the same. Christians have no practice of 'preferred persons' like the Muslims. After the engagement ceremony, the formalities to be fulfilled before the marriage are: producing a certificate of character, and submitting an application for marriage in the church three weeks before the due date. The church priest then invites objections against the proposed marriage and when no objection is received, marriage date is fixed. The marriage is solemnized in the church and the couple

declares that they take each other as wedded partner in the presence of two witnesses and in the name of Lord Christ.

Christians do not permit polygyny and polyandry. The Indian Christian Marriage Act, 1872, amended six or seven times since then, covers all aspects of marriage. Christians practise divorce too, though the church does not appreciate it. The Indian Divorce Act, 1869 refers to the conditions under which divorce may be obtained. The Act covers dissolution of marriage, declaring marriage null and void, decree of judicial separation and restitution of conjugal rights. There is no practice of dowry or dower among Christians. Remarriage of widows is not only accepted but also encouraged. Thus, Christian marriage is not a sacrament like Hindu marriage but is a contract between a man and a woman like Muslim marriage in which there is greater stress on companionship. It is necessary that till a uniform civil code is enacted, the Divorce Act of Christians, which is a century and a quarter old, be amended and certain new laws-passed. For example, the grounds for divorce are too limited and harsh. Even as between husband and wife, there is discrimination in as much as the husband has simply to prove adultery whereas the wife has to prove another matrimonial offence along with adultery for getting relief. Even when both parties wish on mutual consent basis to separate and the courts are convinced that living together is impossibility, no relief can be given. The wife is considered to be a property of the husband as the provision in the Divorce Act entitles a husband to claim damages from the wife's adulterer. The Divorce Act was first challenged in the Madras High Court in 1953 and again in the Supreme Court in 1995 for being gender discriminative but the petitions were turned down.

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4.7 FAMILY SYSTEM

Values can be defined as certain attitudes and beliefs that a person follows in his conduct. Those standards as per which an individual judges his own actions, whether he is right or wrong can be called as values. Value system comprises of all those beliefs and viewpoints that the parents pass on their next generation, they further pass it on to their offspring and so, the legacy goes on and on. Now let us come to the 'Indian Family Value System' what is it and how does it influence individuals. In the Indian culture, there are certain rules and regulations that each and every child is taught right from his childhood.

Examples of Indian family values are a young person should always touch the feet of his elders; he should never speak in a high or rude tone to those who are older to him; he should always give respect to elders and refer to them as 'aap'; he should not consume alcohol and tobacco or smoke cigarettes; he should respect women; he should always speak truth and try to engage in non-violent behavior and so on. Most of the values that the parents impart to their children in India, as a part of the family value system, are similar in nature.

However, there may be some variations too, depending upon different families. For instance, in some houses, girls are not allowed to wear skirts after they reach certain age, while in others, they can wear anything, as long as it is decent and not body-revealing. Even these variations are quite trivial, as the basic essence behind them remains, more or less, the same. Most of the values that the Indian parents believe in imparting to their children do not appeal to the outside world. But then, it is these beliefs that make India the wonderful country that it is today.

Some other values that are part of India's cultural heritage are

- Living peacefully and respecting each other's rights.
- Never ever compromising on integrity for the purpose of prosperity.
- Maintain strong bonds with the family members as well as relatives.
- Being hospitable to everyone who comes to your home, irrespective of his caste, creed, financial position or status.

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- Treating guest as God i.e., 'Atithi Devo Bhava'.
- Remembering and bowing to God first thing in the morning.
- Indulging in yoga and meditation.
- Always taking the advice of elders in case of any important decision.

4.7.1 Nature and Characteristics of Indian Family

The beauty about the Indian culture lies in its age-long prevailing tradition of the joint family system. It's a system under which even extended members of a family like one's parents, children, the children's spouses and their offspring etc., live together. The elder-most, usually the male member is the head in the joint Indian family system that makes all important decisions and rules, whereas other family members abide by it dutifully with full respect.

Importance given to Protocol in Joint Family System in India

A major factor that keeps all members, big and small, united in love and peace in a joint family system in India is the importance attached to protocol. This feature is very unique to Indian families and very special. Manners like respecting elders, touching their feet as a sign of respect, speaking in a dignified manner, taking elders' advice prior taking important decisions, etc., is something that Indian parents take care to inculcate in their kids from very beginning. The head of the family responds by caring and treating each member of the family the same.

Discipline in Indian Joint Family System

The intention behind the formation of any social unit will fail to serve its purpose if discipline is lacking and the same applies to the joint family system as well. Due to this reason, discipline is another factor given utmost importance in the joint family system in India. As a rule, it's the say of the family head that prevails upon others. In case of any disagreement, the matter is diligently sorted out by taking suggestions from other adult members. One usually also has to follow fixed timings for returning home, eating, etc.

Researches reveal on Joint Family System

The reason why Indians are proving to emerge as a prosperous lot globally, many researches claim, is because of the significance they attach to the joint family system. All working cohesively to solve a problem faced by any one or more members of the joint family, is what works magic in keeping one tension-free, happy and contented even in today's highly competitive environment. An Indian may be a top corporate honcho or a great sportsperson or a movie actor and so on in a particular professional field, but all these accomplishments relegate to the backseat when at home.

Characteristic of Indian Family

1. The Rural Family is Patriarchal in Nature

Father is head of the family. He shoulders the responsibility towards, government, societies etc. He possesses some authority and takes all the decisions. He settles the marriages of other sub-ordinate members of the family and distributes the work. If father is not alive then mother or elder brother act as a head of family.

2. Rural Family is Orthodox in Nature

They generally do not want to change their ways of behavior because of limited education, limited sources, and their occupation depending upon nature. They cannot afford to take risk and hence they follow the old ways of living.

3. Family Works as the Unit of Production and Unit of Consumption

All the members of the family members work as a team. The adult family members carry out heavy and major operations in the field like ploughing, sowing, transplanting etc. while children help than in to field operations like watching crops, looking after cattle, picking of fruits, har-

vesting of vegetables etc. Ladies also helps by carrying the meals to fields. Whatever produces family gets from farm is kept for his own consumption.

4. Dominance of Family Age

In the rural area there notices what is known as feminization: The rural people are religious as well as family minded. They always think about the well being of the family. The family pervades in to all acts of individual members of family. They tries to protect food name of the family even with the biggest sacrifice. In Urban area people are less attached to the family. Familization is that act in which the name of the family pervades in to all action.

5. Rural Family is Joint Family

This joint pattern is showing sends of breaking still however it is a common form in rural area.

6. Rural Family is based on Peasant Household

The family has also peasant neighborhood. All the neighbors of rural family are farmers. They always come in contact with each other and talk is generally cantered around the agriculture and alide subject.

7. Rural family is more homogenous

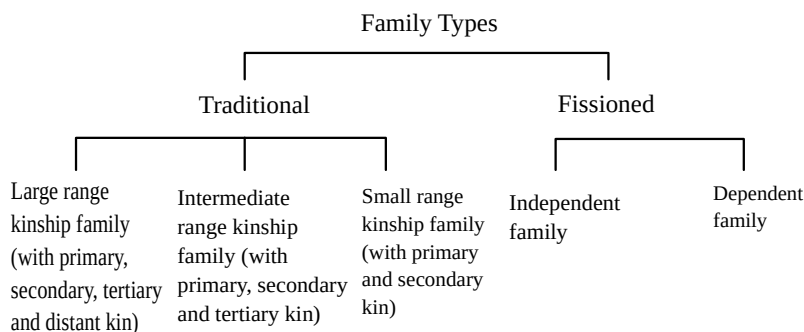
Stable, integrated and organically functioning than urban family. The ties, bindings of the members of rural families for instance the husbands and wife parent and children are stronger and last longer than.

8. There is greater

Discipline and interdependence in the rural families.

4.7.2 Types and Forms of Family

Family System



Family, as a reproductive or a biological unit, consists of a man and a woman having a socially approved sexual relationship and whatever offspring (natural or adopted) they might have. As a social unit, a family is referred to as “a group of persons of both sexes, related by marriage, blood or adoption, performing roles based on age, sex and relationship, and socially distinguished as making up a single household or a sub-house hold”. Aileen Ross definition of family includes physical, social and psychological elements of family life. According to her (1961:31), family is “a group of people usually related as some particular type of kindred, who may live in one household and whose unity resides in patterning of rights and duties, sentiments and authority”. She, thus, makes distinction between four sub-structures of family: (i) ecological sub-structure, i.e., spatial arrangement of family members and their households, or how relatives live geographically close to each other. In simple words, this refers to the size of the household and type of the family; (ii) sub-structure of rights and duties, i.e., division of labour within the household; (iii) substructure of power and authority, i.e., control over the action of members; and (iv) sub-structure of sentiments, i.e., relationship between different sets of members, say, between husband and wife, parents and children, and siblings and siblings, etc. Different scholars have given different forms of family. K.P. Chat-topadhyay

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(1961:75) has given three types of family: simple (man, wife, and unmarried children), compound (two simple families, say, ego, his wife and unmarried children, and ego's parents and unmarried brothers and sisters), and composite (i.e., lineal and collateral joint families). On the basis of authority, families have been classified as husband-dominant, wife-dominant, equalitarian, and autonomic families. Burgess and Locke (1963:26) have classified them as institutional and companionship families on the basis of the behaviour of the individual members. In the former family, the behaviour of the members is controlled by mores and public opinion, while in the latter family, behaviour arises from mutual affection and consensus. On the basis of kinship ties, families are classified as conjugal (priority given to marital ties) and consanguine (priority given to blood ties). Zimmerman (1947:20) has classified them as trustee (where members have to conform to family norms and they have no individual rights), atomistic (in which conventional mores lose their significance and each member can make his own choice) and domestic (which is an intermediate type between trustee and atomistic), I have introduced the concept of fissioned family which in structure and functioning is a nuclear family, separated from the parental family.

4.7.2.1 Joint Family: Nature, Types and Characteristics

The concept of joint family has varied with different scholars. While Irawati Karve regards 'co-residentiality' as important in jointness, Harold Gould, I.P. Desai, S.C. Dube, B.S. Cohn, and Pauline Kolenda do not regard coresidentiality and commensality as essential ingredients of jointness. F.G. Bailey and T.N. Madan give importance to joint ownership of property, irrespective of the type of residence and commensality. I.P. Desai gives importance to fulfilment of obligations towards kin, even if residence is separate and there is no common ownership of property. According to Irawati Karve (1953:21), the traditional ancient Indian family (Vedic and Epic periods) was joint in terms of residence, property, and functions. She has given five characteristics of joint family: common residence, common kitchen, common property, common family worship, and some kinship relationship. On this basis, she defines joint family as "a group of people who generally live under one roof, eat food cooked at one hearth, hold property in common, participate in common family worship, and are related to each other as some particular type of kindred". The word 'common' or 'joint property' here (according to the Hindu Succession Act, 1956) means that all the living male and female members up to three generations have a share in the paternal property.

According to I.P. Desai (1956:140), co-residence and common kitchen are not as important dimensions of joint family as intra-family relationships. He thinks that when two families having kinship relationship are living separately but function under one common authority, it will be a joint family. He calls it functional joint family. He calls a traditional joint family as one which consists of three or more generations. He calls two generation family as a marginal joint family. Ramakrishna Mukherjee while giving five types of relations conjugal, parental-filial, inter-sibling, lineal and affinal has maintained that a joint family is a co-resident and commensal kin-group which consists of one or more of the first three types of relations and either lineal and/or affinal relations among the members.

While I.P. Desai has given five types of family nuclear, functionally joint, functionally and substantially (in terms of property) joint, marginally joint, and traditional joint, K.M. Kapadia (1959:74) has given five types of family: nuclear (husband, wife and unmarried children), nuclear with married sons (what I.P. Desai calls Marginal Joint and Aileen Ross calls small joint family), lineal joint, collateral joint, and nuclear family with a dependant (widowed sister, etc.) Aileen Ross (1966:34) has given four types of families; large joint, small joint, nuclear, and nuclear with dependants.

Taking all these types of families together as given by different scholars, a joint family may be defined as 'a multiplicity of geneologically related nuclear families, joint in residence and commensal relations and functioning under one authority'. M.S. Gore (1968:6-7) has said

that a joint family should be viewed as “a family of co-parceners and their dependants” instead of viewing it as a multiplicity of nuclear families. He holds that in a nuclear family, the emphasis is on conjugal relationship while in a joint family, emphasis is on filial and fraternal relationships. According to Gore, joint family is of three types: filial joint family (parents and their married sons with their offspring), fraternal joint family two married brothers and their children) and filial and fraternal (contained) joint family.

When you consider a nuclear family which has separated from father’s or married brother’s family, as a fissioned family. This fissioned family can be totally independent or dependent on some other nuclear family related through some type of kinship. On the other hand, when you classify the joint families in terms of types of kin (primary, secondary, tertiary and distant) involved. Thus, we propose five family types as given in below. The characteristics of joint family may be described as below:

1. Jr. has an authoritarian structure, i.e., power to make decisions lies in the hands of the head of the family (patriarch). Contrary to the authoritarian family, in a democratic family, the authority is vested in one or more individuals on the basis of competence and ability.
2. It has familistic organisation, i.e., individual’s interests are subordinated to the interests of the family as a whole, or the goals of the family are the goals of the individual members.
3. Status of members is determined by their age and relationship. The status of a man is higher than his wife; in two generations, the status of a person in the higher generation is higher than the status of a person in the lower generation; in the same generation, the status of a person of higher age is higher than the status of a person of lower age; and the status of a woman is determined by the status of her husband in the family.
4. The filial and fraternal relationship gets preference over conjugal relationship, i.e., husband-wife relationship is subordinated to father-son or brother-brother relationship.
5. The family functions on the ideal of joint responsibility. If a father takes loan to marry his daughter, it is also the responsibility of his sons to repay the loan.
6. All members get equal attention. A poor brother’s son will be admitted to the same school (even if costly) as rich brother’s son.
7. The authority in the family (between men and men, men and women, and women and women) is determined on the principle of seniority. Though the eldest male (or female) may delegate the authority to someone else yet even this delegation is based on the principle of seniority, which limits the scope for the emergence of individualism.

4.7.3 Changing Pattern of Family

My contention is that “joint-ness of family in India is not disappearing and that stage can never be envisaged when the joint family will be lost in the mental horizon of the people; only the cutting off point of joint-ness is changing. Instead of large joint families, we will have only locally functioning effective small joint families of two generations or so. At the same time, a nuclear fissioned family (of husband, wife and unmarried children) will not be totally independent but will be functionally dependent on (i.e., remain joint with) some primary kin like father or brother, etc. This is evident from various empirical studies conducted by various scholars in different parts of the country. We will analyse change in jointness at two levels: structural and interactional.

Structural Changes

We cite six empirical studies conducted in last four decades by scholars like I.P. Desai, K.M. Kapadia, Aileen Ross, M.S. Gore, A.M. Shah and Sachchidananda.

Desai (1964:41) studied urban families (in Mahuva in Gujarat) in 1955 and found that: (i) nuclearity is increasing and jointness is decreasing; (ii) spirit of individualism is not grow-

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ing, as about half of the households are joint with other households; and (iii) the radius of kinship relations within the circle of jointness is becoming smaller. The joint relations are mostly confined to parents-children, siblings, and uncles-nephews, i.e., lineal relationship are found between father, son and grandson, and the collateral relationship is found between a man and his brothers and uncles.

Kapadia (1956:112) studied rural and urban families (18% urban and 82% rural) in Gujarat (Navasari town and its 15 surrounding villages) in 1955. His main conclusions were: (1) In the rural community, the proportion of joint families is almost the same as that of the nuclear families. (2) Viewed in terms of castes, in villages, higher castes have predominantly joint family while lower castes show a greater incidence of nuclear family. (3) In the urban community, there are more joint families than nuclear families. (4) In the 'impact' villages (i.e., villages within the radius of 7 to 8 km from a town), the family pattern closely resembles the rural pattern and has no correspondence with the urban pattern. (5) Taking all areas (rural, urban and impact) together, it may be held that joint family structure is not being nuclearised. (6) The difference in the rural and the urban family patterns is the result of modification of the caste pattern by economic factors.

Ross (1961:303) studied only Hindu families in an urban setting (Bangalore in Karnataka state) in 1957. She found that: (1) The trend of family form is towards a breakaway from the traditional joint family form into nuclear family units. (2) The small joint family is now the most typical form of family life. (3) A growing number of people now spend at least part of their lives in single family units. (4) Living in several types of family during life-time seems so widespread that we can talk of a cycle of family types as being the normal sequence for city-dwellers. (5) Distant relatives are less important to the present generation than they were to their parents and grand-parents. (6) City-dweller son has become more spatially separated from all relatives.

Shah studied families in one village in Gujarat between 1955 and 1958. Classifying families as simple (consisting of whole or part of the parental family) and complex (consisting of two or more parental families), he found that one-third families were complex and two-third were simple, indicating the breakdown of joint family system in rural India.

Gore studied families in an urban (Delhi), rural, and fringe areas (of Rohtak and Hissar districts in Haryana) in 1960 and found that two types of families: one, husband, wife and unmarried children, and two, husband, wife, unmarried and married sons-dominated over all others.

Sachchidananda (1977) studied families in 30 villages in one district (Shahabad) in Bihar and found that: (1) One-fourth families were nuclear and three-fourth were joint, indicating predominance of traditional families. (2) There were more nuclear families in upper castes than in middle and lower castes. (3) Nuclearity tends to rise with the level of education.

Kolenda (1968) used data from 26 studies conducted between the 1950's and 1970's and found that: (1) Majority of the families are nuclear. (2) There are regional differences in the proportions of joint families. There are higher proportions of joint families in Gangetic plain than in Central India or Eastern India (including West Bengal). (3) The joint family is more characteristic of upper and landowning castes than of lower and landless castes. (4) Caste is more closely related to the size and the proportion of joint families.

Ram Ahuja studied families in 1976 in an urban area and in 1988 in rural areas during his two research projects (on 'Drug Abuse Among College Students' and 'Rights of Women') in Rajasthan. Both studies pointed out that though the number of nuclear families is growing yet it does not indicate the disappearance of joint family system.

Ramakrishna Mukherjee studied family in West Bengal in 1960-61. He found (1975: 5-50) that: (1) Size is not an indicator of nuclear or joint .structure of family. His own survey of 4,120 family units gave 4.50 and 4.83 as the average size of a nuclear and a joint family

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respectively. (2) Size of joint family is not large because the 'root couple' does not remain alive beyond 75 years or so. The husband and wife become 'parents' for the first time when the man is in the age group of 25-29 and the woman in that of 20-24. They become 'grand-parents' for the first time when the man is in the age group of 45-49 and his wife in that of 40-44. They become 'great grandparents' for the first time when man in the 'root couple' is in the age group of 75-79 and his wife in that of 70-74, and their first son in the age group of 25-29 becomes a 'parent' for the first time with his wife in the age group of 20-24. The expansion of collateral relationship in a family is between two 'distant' cousins. Subsequently, the joint families expand within a limited generational extension. (3) In his analysis of studies on families (44,657) made in 30 villages and towns in 15 states in India by 18 scholars (like S.C. Dube, M.S.A. Rao, Kolenda, I.P.Desai, Kapadia, Irawati Karve, Kulkarni, T.N.Madan, Driver, Sovani, Mukherjee, Bose, Srivastava, etc.) Mukherjee found that the percentage of nuclear to total families ranged from 35 to 63. This point out the central tendency in Indian society to pursue the joint family organisation. (4) The joint family is successively shaking off the collateral relations beyond grandparents generation. Taking all studies on structural changes in family together, we conclude:

- (1) The number of fissioned families is increasing but even living separately, they fulfill their traditional obligations towards their parental families.
- (2) There is more jointness in traditional (rural) communities and more nuclearity in communities exposed to forces of industrialisation, urbanization and westernization.
- (3) The size of the (traditional) joint family has become smaller.
- (4) So long the old cultural values persist among people, the functional type of joint family will be sustained in our society.
- (5) Changes from 'traditional' to 'transitional' family include trends toward new local residence, functional jointness, equality of individuals, equal status for women, increasing opportunity to individual members to achieve their aspirations and the weakening of family norms.

What are the set of values which nurtured, stabilized and sustained the joint family organisation and the values which are now breaking the joint family in India? The important values which sustained joint family structure are: (1) Filial devotion of sons. (2) Lack of economic viability of some brothers, i.e., their inability to support their children economically. (3) Lack of a state-organised system of social security for the old-age men and women. (4) A material incentive for organising the size of labour unit since it constituted the major share of the capital required for production of goods and services and people had to depend on family labour.

The factors which are now breaking the joint family are: (1) Differential earnings of brothers generating tensions in the family, as unit of production and service today is predominantly an individual. Up to a point, the values the members inculcate may enable them to subside tension by mutual adjustment and compromise but brothers separate when they focus on the conjugal units. (2) The death of the 'root couple' who holds economic power, and inability, incompetence and self-interest of sons and their wives to take up the role of 'parental couple'. (3) Incentive of depending on family labour is disappearing with the emergence of a cash nexus. (4) System of social security, savings and extended earning opportunities of the people are leading to nuclearisation of joint family structures.

Interactional Changes

The changes in intra-family relations may be examined at three levels: husband-wife relations, parental-filial relations, and relations between daughter-in-law and parents-in-law.

The relations between husband and wife in Indian family have been reviewed by Goode (1963), Kapadia (1966), Gore (1968) and Murray Straus (1969). These studies indicate change in (a) power allocation in decision-making, (b) emancipation of wife, and (c) closeness.

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In traditional family, wife had no voice in family decision-making. But in contemporary family, in budgeting the family expenditure, in disciplining the children, in purchasing goods and giving gifts, the wife now credits herself as equal in power role. Though husband continues to play the instrumental role and wife the expressive role, yet both often talk things over and consult each other in the process of arriving at a decision. This also does not mean that husband-dominant family is changing into wife-dominant or equalitarian family. The assumption of economic role and the education of wife have made wives potential equals. The source of power has shifted from 'culture' to 'resource', where 'resource' is 'anything that one partner may make available to the other helping the latter satisfy his/her needs or attain his/her goals'. As such, the balance of power will be on the side of that partner who contributes greater resources to the marriage. Murray Straus study (1975:141) on 'husband to wife power score' also supported the hypothesis based on 'resource theory' rather than the 'cultural values theory'. He found that the middle-class husbands have a higher 'effective power' (+) score than the working class husbands. It indicated that compared to middle-class families, working class families are more role-segregated or 'autonomic', i.e., working class families have less joint husband-wife activity of all types. It also means that in middle class families, both husband and wife take more active part than do working class families in attempting to direct the behaviour of the family group toward solution of the problem. Straus's study thus indicated that both nuclearity and low socio-economic status are associated with reduction in the husband's power.

Emphasising 'resources' factor does not mean that 'culture' (what Max Weber has called 'traditional authority') has lost its importance. In fact, both factors are important today in 'conjugal bonds'. It may thus be averred that though an average Indian family is husband-dominant yet the ideological source of power of women is giving place to pragmatic one.

The change in conjugal bonds is also evident from the increasing emancipation of wife. In urban areas, wife going with husband for social visits, taking food with husband or even before he does, going together to restaurants and movies, etc., indicate increasing 'companion' role of wife. Husband no longer regards his wife as inferior to him or devoid of reasoning but consults her and trusts her with serious matters. As regards closeness of man to his wife and mother, man, particularly the educated one, is now equally close to both (Gore, 1968:180).

The relations between parents and children may be assessed in terms of holding authority, freedom of discussing problems, opposition of parents by children, and modes of imposing penalty. In traditional family, while power and authority was totally vested in the patriarch and he was virtually all powerful who decided everything about education, occupation, marriage and the career of children in the family (Kathleen Gough, Cf: McKim Marriott, 1955:44 and Ruth Anshen, 1949:94), in contemporary family not only in nuclear but also in joint family the grandfather has lost his authority. The authority has shifted from patriarch to parents who consult their children on all important issues before taking any decisions about them. Ross (1961:93) also maintains that grand-parents are no longer as influential as they were earlier. Gore (1968:138) also found that it is now parents who take decisions about schooling, occupation and marriage of their children. Children have also started discussing their problems with parents. They even oppose their parents. Kapadia (1966:323) and Margaret Cormack (1969) also found that children today enjoy more freedom. Some legislative measures have also given powers to children to demand their rights. Perhaps, it is because of all this that parents do not use old methods of punishing their children.

They use economic and psychological methods (denying money, scolding, restricting freedom, reasoning) more than the physical methods (beating). In spite of these changes in relations between parents and children, the children do not think only of their rights and privileges but also of the welfare of parents and siblings. They respect and fear their elders.

The relations between daughter-in-law and parents-in-law have also undergone change. However, this change is not so significant in daughter-in-law and mother-in-law (DIL-MIL)

relations as in daughter-in-law and father-in-law (DIL-FIL) relations. The educated DH. does not observe purdah from her FIL and discusses not only the family problems but also the social and even the political issues.

Taking all three types of relations (husband-wife, parents-children, and DIL-FIL) together, it may be said: (1) Younger generation now claims more individuality. (2) Consanguineous relationship does not have primacy over conjugal relationship. (3) Along with 'culture' and 'ideological' factor, the 'resource' factor also affects relations.

Future of Indian Family

Stresses and Adoption

Are the arguments against the joint family system appropriate and relevant? Are the values of people really changing? Is there any evidence of a qualitative change in the value system of the people which will lead to complete nuclearisation of the joint family structures? If no, why are earlier values losing their influence in the contemporary period? What is the future of the Indian family?

The perspective on family in India is usually developed on the conceptual scale of 'tradition to modernity' by undertaking either opinion-surveys of youths or general public belonging to different forms of family structure, or making socio-economic surveys of people of different castes and classes in the rural and the urban areas. Do the studies that have been made so far on Indian family indicate some direction of change in future?

The question of future of family in India is concerned with two aspects: one, what is the future of joint family, and two, what is the future of family as an institution? As regards the first question, it has already been pointed out (in earlier pages) that joint family will never be completely nuclearized in our society. The two structures (joint and nuclear) will continue to survive. Only the nature of jointness will change from residential to functional one and the size of joint family will shrink to two or three generations. As regards the future of family (as an institution), it may be discussed in terms of four factors (which are not mutually exclusive) affecting the family:

- (a) **Technological Revolution:** access to such conveniences as electricity, piped water in homes, intricate home appliances like gas and fridge, telephone, buses and other vehicles have all changed common man's living and raised his standard of life. Effects of the industrial-technological changes on family are quite evident, like those of productive function, abandonment of self-sufficiency in family economy, occupational and population mobility, weakening of kinship ties, and so forth;
- (b) **Population Revolution:** shift from agriculture to manufacturing and service, migration from rural to urban areas, decrease in birth and death rates, increase in average expectation of life and availability of elderly persons in family, replacement of early marriages by post-puberty and late marriages, etc., have created problems of readjustment, changes in power structure, desire for smaller families and so on;
- (c) **Democratic Revolution:** ideals of democracy have filtered down to the level of family living. Demand of rights by women, emancipation of children from patriarch's authority, willingness to approach decision-making through democratic process, and change from familism to individualism may be described as important trends in family; and
- (d) **Secular Revolution:** there is a shift away from religious values to rational values. Change in wife's attitude towards husband, demand for divorce on maladjustment, children's reluctance to support parents in old age, elimination of family worship are all the result of rational thinking and deviation from moral and religious norms.

Succinctly stated, we find several dominant trends in Indian family in the last few decades. These are: (1) Increasing importance of nuclear family. (2) Transference of some

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functions (e.g., educational, recreational, protective, etc.) to some other institutions. (3) Fundamental change in family age structure, i.e., proportionately fewer children to care for and proportionately more elderly persons surviving. This has created the necessity of transferring support function from the family to the state and to private insurance companies. This has affected the family power structure too. (4) Freedom to women due to their education and increasing economic independence. (5) Declining reliance of children upon family controls. (6) Changing values of youth. Though they have respect for and fear of parents yet they want parental 'support' for achieving their individual interests. (7) Liberalisation of attitudes and practices towards sex (8) Change from pre-puberty to post-puberty marriages. (9) Decreasing family size. These characteristics of the present-day Indian family point out change in structure and family ties.

These family trends are ongoing processes. They have not come to a stop. Nevertheless, it is possible to get a fair idea of what the family will be like in the future, say in the next 25 to 30 years. Following Harold Christensen, we envisage the following possible changes in Indian family in the first quarter of the twenty-first century:

- (1) The family will continue to exist. It will not be replaced by state-controlled systems of reproduction and child bearing.
- (2) Its stability will depend more on interpersonal bonds than on social pressures from outside or upon kinship loyalty.
- (3) It will more depend upon community support and services.
- (4) With medical advances, the family will have greater control over its biological processes {of separating sexual from reproductive function, controlling sickness and death, and determining sex of the offspring}.
- (5) Remarriage and divorce rates will be high.
- (6) Parents and grand parents will continue to support their children and grandchildren even after their retirement.
- (7) Woman's position of power within the family will further improve with increase in gainful employment.
- (8) Viewed generally, the family will not be equalitarian but will remain husband-dominant family.

Functionalist and Marxist Perspectives

The future of family can be perceived with two perspectives: functionalist and Marxist. Functionalists perceive family as an important 'organ' in the 'body' of society. They are concerned with the functions that the family performs sexual, reproductive, socializing or educational, and economic. The first two functions indicate that family is useful biologically while other functions point out that it is useful socially and culturally too. Can other institutions take over the functions of the family? It is argued that even when other institutions perform the functions of the family, they only 'help' the family in these functions and not that they 'deprive or relieve' family from performing them. Family's functions have been modified in recent years. The family gives 'something' to and gets 'something' from other sub-systems. Family's role is primary.

Other perspective on family is Marxist. The Marxists adopt a structural perspective on the family and gender relations. They explain male dominance in family in a historical context. Their hypothesis is that in the nomadic stage of man's social development, men performed only the 'launching' function; there was no exclusive sexual possessiveness nor did any private property exist. Gradually, the male sphere of activity became more specialized and along with hunting they also took up cattle-breeding, mining and trade. As men acquired greater control over wealth and property, they sought means to ensure that it stayed with

them and passed on to their children. For this, they wanted to be sure who their offspring were. Thus, free sexual relations had to be replaced by monogamy. Family became male-dominated and patriarchal.

The division of labor was gendered and females were subordinated. Women's oppression is thus a problem of history rather than of biology. Marxists, in this way, talk of the influence of class on family life, specially on socialization. They see gendered division of labour as socially constructed, which is contrary to functionalists naturalistic approach. Feminist Marxists thus recognise that sex, reproduction, socialization and economic function 'need' to occur but not necessary in ways that 'exploit' female labour and leave them powerless. They (pluralist-feminist Marxists) thus believe that family will continue to survive in future but there will be changes (including individual freedom, political voice to women, etc.). This approach is political and has the emancipation of women at its heart. In other words, family will not break up; it will only adapt itself.

Inter Generational Conflict and Youth Unrest

Youth, as a distinct social category, is largely a modern phenomenon. This stage in life is the outcome of the long and ever expanding period between childhood/adolescence, and work. Earlier, the child took to his family work at an early stage but now with work specialisation and required skill, he has to wait for several years before he finds work. The early modern industrial economy first required a literate and a disciplined labour supply but now it requires a skilled worker. Specialized education was, thus, imparted to meet this demand and modern youth is largely a by-product of it. Just as proletariat is the product of the factory system, so modern youth is partly the product of the education system. At first, education was mainly an upper and middle class privilege but now even the lower class (including SC, ST, OBC) person has a universal and a legal right to get education. All youths thus have now developed a shared interest. S.N. Eisenstadt observes that it is in the informal peer groups that intra-generational interaction is most free to flourish. In much the same way as universal education, though to a lesser extent, work in industry and service in office have also provided a basis of collective experience and identity to young men. Sometimes, the young people turn against dominant norms and adopt culturally deviant lifestyles. The young group, generated largely within the educational context, reflects the influence of class, gender and individuality. Thus emerged the youth culture (and subculture) after the 1950's. The political independence and democratic values further gave youth the opportunity to ask for more rights. They developed new values and started opposing those persons whom they considered barriers in achieving their goals and aspirations. All this led to inter-generational conflicts, like conflicts between parents and children in family, between students and teachers in educational institutions, and between young and old employees in offices. Between the 1950's and 1990's, the media and the general public also seemed obsessed with youth.

What motivated the youth to come in conflict with and oppose older generation people were factors like influence of western culture, value picked up from commercial means of entertainment, increased leisure, greater affluence, and power of parents. Western culture changed their values based on individualism and equality; commercial recreation made them realize the importance of violence and threat of violence in achieving their goals, 'part-time' education provided them increased leisure and time to do things which busy life would not have permitted them to do; and parental affluence and power provided them power to influence. All this created a distinct culture leading to unrest and inter-generation conflict.

But could we say that youth in India oppose their parents and elders. In the same way as in other societies? Has Indian culture lost its moorings? While it is true that surveys point out change in relations between parents and children in India, these studies also show that children respect their parents, are generally fairly satisfied with life, and want important decisions about their education, marriage, etc., to be taken by the parents. In traditional family, the patriarch was all powerful. It was considered bad manners for the youngsters to

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argue with or talk back to their seniors. They were not to question the orders or deeds of the elders. Even those children who moved away to distant cities were theoretically still members of the family and therefore, under the control of the patriarch, although he could not supervise their day-to-day affairs.

In 1961, M.S. Gore in his study on family, asked his respondents as to who made major decisions regarding schooling, occupation, and the choice of bride/groom for children in the family? He found (1968:138) that in a very large number of cases, the children were not free to take their own decisions. He maintained that only a small number of children took the matter into their own hands. Margaret Cormack (1969) found in her study that more than half (55%) of her total respondents (500) from colleges sometimes opposed their parents, a few (6%) often opposed them, and one-third (33%) never opposed them. I.P. Desai (1953) in his study of high school students in Pune found severe strain on parent-ward relationship. As many as 168 respondents in his survey reported that they had wished at times to leave home. Of these, 117 students also gave reasons for it. About 64 per cent wanted to separate because of the authoritarian, humiliating, unfair, and unjust behaviour of their parents, 19 per cent because of the uncongenial atmosphere in the family and strain arising from it, 10 per cent due to quarrels in the family, and remaining 7 per cent for some other reasons. The causes of conflicts between the younger and the older generations were: (1) Feeling among the youngsters that elders try to impose their authoritarian, unfair and unjust behaviour upon them. (2) Growing belief among young children that they are more culturally advanced than their parents. (3) Children's feeling that their individualism is curbed due to temperamental strictness on the part of the elders. (4) Expectations of the younger members as to the way in which their needs should be served are not fulfilled. (5) Difference in attitudes to social customs and religious beliefs.

B.V. Shah's study (1964) of 200 students of Baroda university showed that children did not want complete freedom of selecting their partners but wanted selection jointly by parents and children. About two-third students (66.5%) wanted to select their brides in consultation with their parents, one-third (32.5%) wanted to give more importance to their own choice, and only 1 per cent wanted selection exclusively by parents' choice. Margaret Cormack also found that 65 per cent of her respondents (students from different universities) wanted that marriages should be arranged by parents with the consent of their children, in 3 per cent by parents without children's consent and in 32 per cent cases by their own choice.

Vimal Shah (1975) in his study of 281 Hindu graduate students (boys and girls) of different castes of Gujarat University found that 92 per cent girls and 66 per cent boys believed in arranged marriage. This points out young persons' adherence to and slight deviation from the traditional norms.

Some legislative measures have also created disruptive relations between parents and children. Parents no longer can deprive their children of a share in the paternal property. The Hindu Succession Act, 1956 enjoins that the property of a male Hindu dying intestate shall devolve upon his specified heirs. On the other hand, there are cases where children file legal cases against their parents on property issues, criticise them (parents) for neglecting them because of which they take to alcoholism, drug abuse, etc. and suffer from feeling of insecurity. Decline in parental authority is also reported. The charge is that family is failing to act as effective agency of social control.

But the same charge is also made against the schools and the police. The causes of juvenile delinquency, youth crime, drug abuse, etc., must, therefore, be sought in wider society rather than in integration conflicts or in the failure of family. Here, we can only hold that the more permissive and democratic ideals of the last few decades reduce the credibility of physical punishment as means of maintaining control both within the family and within society. It is difficult to imagine a widespread reversion to more traditional forms of discipline within the family without some comparable broader change in society.

4.8 KINSHIP DEFINITION TYPES THEORIES AND KINSHIP ORGANISATION

The family forms the basic unit of social organization and it is difficult to imagine how human society could function without it. The family has been seen as a universal social institution an inevitable part of human society. According to Burgess and Lock the family is a group of persons united by ties of marriage, blood or adoption constituting a single household interacting with each other in their respective social role of husband and wife, mother and father, brother and sister creating a common culture. G.P Murdock defines the family as a social group characterized by common residence, economic cooperation and reproduction. It includes adults of both sexes at least two of whom maintain a socially approved sexual relationship and one or more children own or adopted of the sexually co-habiting adults.

Nimkoff says that family is a more or less durable association of husband and wife with or without child or of a man or woman alone with children. According to Maclver family is a group defined by sex relationships sufficiently precise and enduring to provide for the procreation and upbringing of children. Kingsley Davis describes family as a group of persons whose relations to one another are based upon consanguinity and who are therefore kin to one another. Malinowski opined that the family is the institution within which the cultural traditions of a society is handed over to a newer generation. This indispensable function could not be filled unless the relations to parents and children were relations reciprocally of authority and respect. According to Talcott Parsons families are factories which produce human personalities.

1. Main characteristics of family
2. Types and forms of the family
3. Types, functions and changes

Kinship is the relation by the bond of blood, marriage and includes kindered ones. It represents one of the basic social institutions. Kinship is universal and in most societies plays a significant role in the socialization of individuals and the maintenance of group solidarity. It is very important in primitive societies and extends its influence on almost all their activities. A.R Radcliffe Brown defines kinship as a system of dynamic relations between person and person in a community, the behavior of any two persons in any of these relations being regulated in some way and to a greater or less extent by social usage.

Pattern of Changes in Kinship

Kinship patterns are gradually changing -and so is the case with affinity. In the past kinship was confined to caste and inter-caste marriages were discouraged. But now these are taking place. Similarly in the past in every society residence mattered much. Usually there were no marriages at very far off places. One reason could be that means of transportation and communication were difficult. But today distance concept has lost meaning. Thus one can have kinship at some distant place and in any caste. But due to long distances meetings are not very frequent and as such there is not much affinity. In the words of H.M. Johnson. "Kinship systems are changing all the times. The changes in important structural parts, such as the form of marriage, the rule of residence, the rule of descent, and the types and composition of kin groups, are usually slow; that is they usually emerge clearly in the course of generations rather than days or even years."

Kinship of today is being influenced very much by occupational system. A villager running his business in a city will try to establish himself in the city and like to develop kins in the cities, who can help him in the promotion of his business. We may conclude by saying that "such a occupational system virtually requires the pattern of establishing or changing household according to the occupational opportunities of the husband."

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Kinship Usages

In kinship system, in every society, there are certain usages which every kin is required to observe. One such usage is that certain actions should be avoided by kins. It is called usage of avoidance e.g. a father-in-law avoids talking loosely to his daughter-in-law or use any vulgar language in her presence. Similarly two near kins should avoid sexual relationship. It is considered necessary to avoid any serious trouble. Next usage is that of joking relationship in which two near relatives are allowed to joke with each other e.g. Devar and Bhabhi in India. Still another usage is known as cowade. It is found in some societies in India. In this usage husband is required to live a life of an invalid along with his wife whenever she gives birth to a child. During this period he takes sick diet and avoids doing any active work. Usage of imitate is another usage in which father's sister is given special role and respect in the family. Next is Teknonymy usage, according to which a kin is not referred to directly but through another kin e.g. a Hindu wife will call her husband not directly but as father of her child. Lastly then comes usage of Avunculate, which prevails in matriarchal system. In it maternal uncle is given a special status.

4.8.1 Regional Variations in kinship System and its Socio-Cultural Correlates

Kinship is the study of socially recognized biological relations. Kinship system comprises descent roles, kinship terms, kin categories and kinship behaviour, which together decide the social structure of the society.

Kinship system is not uniform throughout India. There are regional variations in the kinship system. Irawati Karve has divided India into four different regions for the point of view of kinship system these are:

(i) Northern Zone: The behavior pattern of kin group in the Northern family is that of the patri family. The man lives with his patrikin among whom he is born and reared. He comes into contact with his wife's relations but rarely. The woman on the other hand spends all her life with her affinal kin and definite patterns of behaviour are set up for her like standing up and covering her head and face in front of her in-laws, etc. There is a sharp distinction between bride and a daughter.

(ii) Southern Zone: Though the patrilineal and patrilocal family is dominant type but matrilineal and matrilocal is also practised by important sections of society e.g. Nayers, Tiyas, moplar muslims etc. In the southern family there is no clear cut distinction between family of birth and family of marriage, which is the salient feature of the terminology of the Northern zone. Distinction between bride & daughter is not as sharp as in North.

Thus, in the south, there are reciprocal terms and reciprocal relations. This affects the tone of kinship relations, distinction between father's and father-in-law's house is not as sharp as in the north. This leads to less strain.

(iii) Central Zone: It includes Rajasthan, M.P., Gujarat, Maharashtra & Orissa. As regards the kinship organization though most practices are in line with North, there is also custom of "cross cousin marriage" in most of the area. Among some caste the exogamous clans are arranged in a "hyper gammons" hierarchy i.e., a girl can marry in "higher clan but not in a lower clan."

(iv) Eastern Zone: People of this zone resemble North zone as society is patrilineal and patrilocal. The custom of cross cousin marriage is restricted to few castes & tribes. Mundas in a restricted way practiced cross-cousin marriages. Indian society is heterogeneous. The regional variations discussed above are not absolute. There are variations within the region.

Kinship Organization in North India

North India has well set kinship organization. The areas include Punjab, Haryana, Chandigarh, Delhi, Jammu and Kashmir, U.P., Assam, Bihar, Bengal and also a part of Madhya Pradesh. One significant feature of the organization in this part of the country has been that due to

frequent invasions, whole kinship system has been considerably influenced by the invaders and in kinship organisation these invasions have played their part. In Punjab one finds that Sikhs play great role in kinship organisation, though their social customs are by and large the same as those; followed by the Hindus. U.P. is a very strong hold of Hindu orthodoxy. Population near sacred cities of Mathura, Kashi, Ayodhya etc., usually consists of Brahmins.

In Bengal, Kayastha are important- They were closely connected with Mughal courts and some of them even today follow Muslim customs in marriage ceremonies. Leaving them aside rest of the Hindu population is orthodox. Bihar is like U.P. The Hindu have orthodox outlook, During Post Puranic period it became centre of nascent Brahmanism. Assam has a vast population of primitive tribes, which follow their own tribal pattern of kinship behaviour. They also speak tribal language.

Kinship in North India

Some very common terms used in kinship organisation are Pita of Piu (Father). Baba, Bapu and babu are gradually replacing pita and piu these days. Grand father is called Dada whereas Par-dadda stands for grand-father of the father. Parnana stands for mother's grand-father. Whereas father's mother is daddi, mother's mother is nani. Similarly we have Par-daddi and Parnani. In Bengal father's father is called Thakur. Father's elder brother is called tau or taia whereas younger brother is called Kaka or caca. In his relationship female are called jai, caci or Kaki. Father's sister is called Bhuvu, Phuphi. Mother's brother is called Mama whereas his wife is called Mami.

Mother's sister is called Masi or mausi whereas her husband mausa. Brother is called Bhai or Bhaiya, whereas elder brother in some parts of the country is called dada or dadi. The word 'Vir' is also used for brother. Behn is used for sister. 'Put' is the word which is usually used for son whereas 'Beti' is used for daughter. Brother's sons and daughters are called Bhatija and Bhatiji respectively. 'Santi' indicates the relationship between children of two brothers. 'Dota', 'Pota', Doti, Pardoti and 'Poti' stand for grand children.

'Pati' stands for husband whereas Vadhu, boh and bou stand for wife. Var for groom and bahu or dulhan for bridegroom are in common use. Husband's sister is called nanad and her husband is riandai. Husband's father is called Sasur whereas mother is called Sas. Husband's elder brother is called jeth whereas his wife is called jethani. Husband's younger brother is called Devar whereas his wife is called Devoraiu. In the family husband's elder brother is supposed to enjoy considerably respect. He is considered to be next to father-in-law. The women are neither allowed nor supposed to speak to him. His younger bhabhis are supposed not to show their face to him. Whereas younger brother of husband in Punjabi is called der, his elder brother is called Waddader. Elder brother's wife is called Bhabhi whereas his wife is called bhavahu. Husband's brother's wife is called gotani whereas his children are called Jeethut.

Elder sister's husbands is called Bahnoi whereas that of younger sister is called Bahinjamai. Brother's sons and daughters are respectively called Bhatija and Bhatiji. Similarly sister's sons and daughters are called bhauja and bhauji.

Daughter's husband called Jamai and son's wife is bohu or nhn in Punjabi. Vahuranu is used for the younger married woman of a house. Son's wife's parents and daughter's husband's parents are called Samdhi and female are called Samdhi.

Wife's brother is called Sala and younger sister is called Sali. Sala's wife is sale) whereas Salt's husband is called Sandliu. Father-in-law's house is called Susral whereas mother's father's house is called nanihal. For a girl, her mother's house after her marriage is Peka. According to Dr. I. Karve, "The clear connotation of each term and the many occasions on which the need for using them arises point out to the different ways in which family and kinship are organized in the European and the Indian society and also the difference in functions, control and influence of the family in the life of individual."

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In North India, Brahmins still hold a considerable respect. But this caste is again divided into sub-castes. Those- Brahmins who do not live on the money earned by the performance of rituals only hold the highest position. They are followed by those who live on rituals. Then family priests hold more respect than those who perform ceremonies at religious ceremonies. Similarly those who perform joyous ceremonies are considered of higher position than those performing ceremonies at funerals. Brahmins of first category in Bengal are called Kulins and for marrying a girl of lower category in their caste they charge heavily. It is also observed that in the past in some-cases they married more than one girl and none of them was brought home. For each visit to the wife the boy charged money and thus the Susral of the boy was always under heavy burden.

Ordinarily a boy is not supposed to marry in his patri family, with children of his mother's siblings, with children of his father's sisters and children of his father's female cousins. Marriage of cousins are also treated with disfavour. A Brahmin is supposed to marry outside his gotra and also that of his mother's. Brahmin families in one Sasan are prohibited from marrying, though they do not belong to same gotra.

Among the Jats, there is a tradition that a boy will not marry in his goira. in other's gotra and in his father's mother's gotra.

In northern India, usually, if a daughter is given into a certain family of a certain village, second daughter is not given in the same-family, of course in the same generation. Exchanging daughters for marriages is also not liked and is not seen with favor.

There was a system of child marriage but bride was not finally to be sent to groom's house until she reached puberty. This ceremony is called gauna. Period between actual marriage and gauna ceremony depends on the age of the girl, and gap can even be of few years.

Marriages are performed on auspicious clays and these are usually arranged by the parents. Marriage ceremony is performed with great pomp and show, yet the moment of parting for the girl from her parents and friends is really poignant. In happy maintenance of family relationship, parents-in-law, particularly, the mother-in-law plays a very important role. A father rarely visits the house of his married daughter, except on extreme ceremonial occasions, where his presence is unavoidable. Not only this, but he does not take food or anything else and even water in the house of his married daughter. A father -in-law will never live in the house of his son-in-law, as that is considered as disrepute to father-in-law's family.

In some cases girls are got in marriage by making payment. Dowry is quite common throughout North India. Usually there is dearth of brides among the poorer classes.

The Khashas living in the foot-hills of Himalayas practise polyandry. Higher castes and ruling families condemn levirate. When a woman proves barren, her husband can marry another woman so as to have children, but usually in such marriages first wife hates the new one, as she considers the new arrival as symbol of her defeat and humiliation.

A widow can also marry a widower. Second marriage of a widow does not need either performance rituals or taking of vows. Widow remarriage was not favored in Hindu society for quite some time but it has no condemnation now. In some cases a man marries second or third time even though his first wife may be alive.

This increases prestige of family in which girl is coming but lowers that of the family from which she is coming. In the words of Dr. I. Karve, "Giving a girl as a bride to a man who is a widower is considered to be not the best kind of marriage for a girl. Such a marriage is supposed to have been contracted for money considerations or might indicate the existence of some defect in the bride."

Behaviour Pattern of Women

When she is in the presence of her parent-in-law, she is required to cover her head and face and stand up. She is not supposed to enter rooms of her parent-in-law unless absolutely

necessary. Women touch the feet of their elders as a mark of respect. She can joke with younger brothers of her husband. A woman cannot boss over her husband. Groom's family has always higher status than bride's family.

A girl can behave with greater freedom in the village of her parents rather than that of her husband. Newly wedded girl is supposed to behave consciously with the ladies of her husband's house, as there is usual enmity between them.

In those families where women are earning by working in the offices and families, these enjoy greater respect and freedom than those who are not working.

4.9 SUMMRY

Marriage is a social union or legal contract between people that creates kinship. It is an institution in which interpersonal relationships, usually intimate and sexual, are acknowledged in a variety of ways, depending on the culture or subculture in which it is found. Such a union, often formalized via a wedding ceremony, may also be called matrimony. According to the holy texts there are eight different types of Hindu marriages. According to many of these eight types of marriages prevailed in ancient India. Among these eight types all dint have religious procedure. The last four are not religiously defined and most of the times were condemned. The family forms the basic unit of social organization and it is difficult to imagine how human society could function without it. The family has been seen as a universal social institution an inevitable part of human society.

According to Burgess and Lock the family is a group of persons united by ties of marriage, blood or adoption constituting a single household interacting with each other in their respective social role of husband and wife, mother and father, brother and sister creating a common culture.

4.11 REVIEW QUESTIONS

1. Define marriage. What are the types of marriage?
2. Describing the traditional forms of Hindu marriage.
3. Discuss about Hindu marriage as a sacrament.
4. Explain the legislation of marriage.
5. What are the changing trends in marriage?
6. Discuss about marriage among Muslims and Christians.
7. Define family system. Explain the nature and characteristics of Indian family.
8. What are the types and forms of family?
9. Define kinship. What are the types and theories?
10. What are the characteristics of kinship?

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Unit 5

SOCIALIZATION AND SOCIAL CONTROL

Structure

- 5.0 Aims and Objectives
- 5.1 Introduction
- 5.2 Concept of socialization
- 5.3 Theories of development of self
- 5.4 Agencies of socialization
- 5.5 Concept of Anomie
- 5.6 Social Control
 - 5.6.1 Means of Social Control
- 5.7 Summary
- 5.8 Review Questions

5.0 AIMS AND OBJECTIVES

At the end of this unit you will be able to understand

- Explain term Socialization
- Discuss agencies of Socialization
- Describe concept of anomie
- Define Social Control and its means

5.1 INTRODUCTION

Socialization (also spelled socialisation) is a term used by sociologists, social psychologists, anthropologists, political scientists and educationalists to refer to the lifelong process of inheriting and disseminating norms, customs and ideologies, providing an individual with the skills and habits necessary for participating within his or her own society. Socialization is thus 'the means by which social and cultural continuity are attained'.

Socialization describes a process which may lead to desirable, or 'moral', outcomes in the opinion of said society. Individual views on certain issues, such as race or economics, are influenced by the view of the society at large and become a "normal," and acceptable outlook or value to have within a society. Many socio-political theories postulate that socialization provides only a partial explanation for human beliefs and behaviors, maintaining that agents are not 'blank slates' predetermined by their environment. Scientific research provides some evidence that people might be shaped by both social influences and genes. Genetic studies have shown that a person's environment interacts with his or her genotype to influence behavioral outcomes.

Natural socialization occurs when infants and youngsters explore, play and discover the social world around them. Planned socialization occurs when other people take actions designed to teach or train others from infancy on. Natural socialization is easily seen when

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looking at the young of almost any mammalian species (and some birds). Planned socialization is mostly a human phenomenon; and all through history, people have been making plans for teaching or training others. Both natural and planned socialization can have good and bad features: It is wise to learn the best features of both natural and planned socialization and weave them into our lives.

Positive socialization is the type of social learning that is based on pleasurable and exciting experiences. We tend to like the people who fill our social learning processes with positive motivation, loving care, and rewarding opportunities. Negative socialization occurs when others use punishment, harsh criticisms or anger to try to “teach us a lesson;” and often we come to dislike both negative socialization and the people who impose it on us.

There are all types of mixes of positive and negative socialization; and the more positive social learning experiences we have, the happier we tend to be especially if we learn useful information that helps us cope well with the challenges of life. A high ratio of negative to positive socialization can make a person unhappy, defeated or pessimistic about life. One of the goals of Socialization is to show people how to increase the ratio of positive to negative in the socialization they receive from others and that they give to others.

Positive socialization, coupled with valuable information about life and the skills needed to live well, can be a powerful tool for promoting human development. We all have an enormous human potential, and we all could develop a large portion of it if we had the encouragement that comes from positive socialization and the wisdom that comes from valuable information about living. Information about both natural and planned socialization can be especially useful.

Our prior socialization helps explain a gigantic chunk of who we are at present - what we think and feel, where we plan to go in life. But we are not limited by the things given to us by our prior social learning experiences; we can take all our remaining days and steer our future social learning in directions that we value. The more that we know about the socialization process, the more effective we can be in directing our future learning in the ways that will help us most.

Because we were not able to select our parents, we were not able to control much of the first 10 or 20 years of our socialization. However, most people learn to influence their own socialization as they gain experience in life. It takes special skills to steer and direct our own socialization, and many of us pick up some of those skills naturally as we go through life. Having a course on socialization can help us understand which skills are most effective in guiding our socialization toward the goals we most value.

5.2 CONCEPT OF SOCIALIZATION

Life course is a biological process. In this process there is a personal change from infancy through old age and death brought about as a result of the interaction between biographical events and social events. The series of major events, the stages of our lives from birth to death, may be called life course. Movement through life course is marked by a succession of stages by age. Analysts have tried to depict the typical stages through which we pass, but they have not been able to agree on standard division of the life course. As such life course is biological process, which has been divided into four distinct stages: childhood, adolescence, adulthood, and old age. Life course stages present characteristic problems and transitions that require learning new and unlearning familiar routines. Through the process of socialization society tries to prepare its members for taking up the roles and statuses associated with life course stages. Each life course stage by age is also affected by other factors like social class, gender, ethnicity and human experience. People's life experiences also vary depending on when, in the history of society, they were born. Some specific historical events like the creation of Pakistan, terrorist attacks of 9/11, economic prosperity/depression, war, or some other natural calamity (an earthquake, epidemic, and flood) may become significant in the personal development of

individuals as well as their attitudes toward life and other people. Although childhood has special importance in the socialization process, learning continues throughout our lives. An overview of the life course reveals that our society organizes human experience according to age—childhood, adolescence, adulthood, and old age.

CHILDHOOD

Childhood usually covers the first 12 years of life: time for learning and carefree play. Nevertheless, what a child "is" differs from one culture to another. Presently we defend our idea of childhood because children are biologically immature. But a look back in time and around the world shows that the concept of childhood is rooted in culture. The concept of childhood as such is of recent origin, which appears to be more pronounced in the developed countries compared with the developing countries. Even in the developed countries, say a couple of centuries back, children of four or five years were treated like adults and expected to earn for themselves. A century back, children in USA, Canada, and Europe had much the same life as children in poor countries. That is how we come across the issue of child labor, which is associated with the developing countries. Children in lower class have always assumed adult responsibilities sooner than their other class counterparts. Due to the demands of the circumstances children in the lower class start earning earlier than the children in other classes. Their childhood finishes too quickly and may be their childhood remains invisible. In childhood an individual is made to learn the skills needed in adult life.

ADOLESCENCE

Just as industrialization helped create childhood as a distinct stage of life, adolescence emerged as a buffer between childhood and adulthood. In earlier times, and in Pakistani society even today, societies did not mark out adolescence as distinct time of life. People simply moved from childhood into young adulthood with no stopover in between. Adolescence usually overlaps teen age though it is also a social construction.

We generally link adolescence, or teenage years, to emotional and social turmoil, when the youth try to develop their own individual identities. As they try to carve out an identity distinct from both the "younger" world being left behind and the "older" world still be out of their range, adolescents develop a subculture of their own. Again we attribute teenage turbulence to the biological changes of puberty. Adolescence is more a phenomenon of industrial societies. Although these outward patterns are readily visible, we usually fail to realize that adolescence is a social creation; it is contemporary industrial society, not biological age that makes these years a period of turmoil. In these emotional and social spheres the young people appear to be in conflict with their parents. Establishing some independence and learning specialized skills for adult life. Adulthood again depends on culture, and accordingly there could be a smooth or difficult change from childhood to adolescence. The 18 years old may have different statuses and roles in Pakistani society. They have the voting rights, they can get an ID card, they can get a driving licence, and they work in offices.

ADULTHOOD

Adulthood, which begins between the late teens and the early thirties, depending on the social background, is a time for accomplishment. They pursue careers and raise families. These youth embark on careers and raise families of their own. They reflect on their own achievements—Did the dreams come true? Early Adulthood: It covers the period from 20 to about 40 years, and during this period personalities are formed. They learn to manage the day-to-day responsibilities personally. They try to make an adjustment with spouse, and bring up their children in their own way. They often have many conflicting priorities: parents, partner, children, schooling, and work. Middle Adulthood: Roughly covers the period from 40 to 60 yrs. During this period the individuals assess actual achievements in view of their earlier expectations. Children are grown up. Growing older means facing physical decline. During the late middle years (50 to 65 years), people attempt to evaluate the past and come to terms with

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what lies ahead. They compare what they have accomplished with how far they had hoped to get. During this time of life, many people find themselves caring for their own children and also their aging parents. Health and mortality also begin to loom large. People feel physical changes in their bodies, and they may watch their parents become frail, ill and die.

OLD AGE

Old age - the later years of adulthood and the final stage of life itself - begins about the mid sixties. These societies attach different meaning to this stage of life. Pakistani society often gives older people control over most of the land and other wealth. Since the rate of change in Pakistani society is not very fast, older people amass great wisdom during their lifetime, which earns them much respect. On the other hand in industrial societies old are considered as conservative, unimportant, obsolete. In a fast changing society their knowledge appears to be irrelevant. Old age differs in an important way from earlier stages in life course. Growing up typically means entering new roles and assuming new responsibilities; growing old, by contrast, is the opposite experience - leaving roles that provided both satisfaction and social identity. Like any life transition, retirement from employment or even the handing over of the personal business to one's heirs, demands learning new, different patterns while at the same time unlearning familiar habits from the past.

This survey of the life course leads us to two major conclusions. First, although each stage of life is linked to the biological process of aging, the life course is largely a social construction. For this reason, people in other societies may experience a stage of life quite differently, or for that matter, they may not recognize it at all. Second, in any society, the stages of life course present characteristic problems and transitions that involve learning something new and, in many cases unlearning familiar routines. Societies organize the life course according to age; other forces, such as social class, ethnicity, and gender, also shape their lives. Thus the general pattern that has been described earlier, apply somewhat differently to various categories of people

Definition:

Process by which individuals acquire the knowledge, language, social skills, and value to conform to the norms and roles required for integration into a group or community. It is a combination of both self-imposed (because the individual wants to conform) and externally-imposed rules, and the expectations of the others. In an organizational setting, socialization refers to the process through which a new employee 'learns the ropes,' by becoming sensitive to the formal and informal power structure and the explicit and implicit rules of behavior. See also organizational culture and orientation.

Elements of Socialization

Socialization is a fundamental sociological concept, comprising a number of elements. While not every sociologist will agree which elements are the most important, or even how to define some of the elements of socialization, the elements outlined below should help clarify what is meant by socialization.

Goals of Socialization

Impulse control and the development of a conscience role preparation and performance, including occupational roles, gender roles, and roles in institutions such as marriage and parenthood the cultivation of sources of meaning, or what is important, valued, and to be lived for

In short, socialization is the process that prepares humans to function in social life. It should be re-iterated here that socialization is culturally relative - people in different cultures are socialized differently. This distinction does not and should not inherently force an evaluative judgement. Socialization, because it is the adoption of culture, is going to be different in every culture. Socialization, as both process or an outcome, is not better or worse in any particular culture.

It should also be noted that, while socialization is a key sociological process in the development of individuals who can function in human society, not every aspect of human behavior is learned. For instance, there is evidence that most children have innate empathy for individuals who are wilfully injured and consider it wrong.[2] Thus, some aspects of human behavior that one might believe are learned, like empathy and morals, may, in fact, be biologically determined. To what extent human behavior is biologically determined vs. learned is still an open question in the study of human behavior.

Primary and Secondary Socialization

Socialization is a life process, but is generally divided into two parts: Primary socialization takes place early in life, as a child and adolescent. Secondary socialization refers to the socialization that takes place throughout one's life, both as a child and as one encounters new groups that require additional socialization. While there are scholars who argue that only one or the other of these occurs, most social scientists tend to combine the two, arguing that the basic or core identity of the individual develops during primary socialization, with more specific changes occurring later - secondary socialization - in response to the acquisition of new group memberships and roles and differently structured social situations. The need for later life socialization may stem from the increasing complexity of society with its corresponding increase in varied roles and responsibilities.

Mortimer and Simmons outline three specific ways these two parts of socialization differ:

1. **Content** - Socialization in childhood is thought to be concerned with the regulation of biological drives. In adolescence, socialization is concerned with the development of overarching values and the self-image. In adulthood, socialization involves more overt and specific norms and behaviors, such as those related to the work role as well as more superficial personality features.
2. **Context** - In earlier periods, the socializee (the person being socialized) more clearly assumes the status of learner within the context of the family of orientation, the school, or the peer group. Also, relationships in the earlier period are more likely to be affectively charged, i.e., highly emotional. In adulthood, though the socializee takes the role of student at times, much socialization occurs after the socializee has assumed full incumbency of the adult role. There is also a greater likelihood of more formal relationships due to situational contexts (e.g., work environment), which moderates down the affective component.
3. **Response** - The child and adolescent may be more easily malleable than the adult. Also, much adult socialization is self-initiated and voluntary; adults can leave or terminate the process at any time.

Socialization is, of course, a social process. As such, it involves interactions between people. Socialization, as noted in the distinction between primary and secondary, can take place in multiple contexts and as a result of contact with numerous groups. Some of the more significant contributors to the socialization process are: parents, friends, schools, siblings, and co-workers. Each of these groups include a culture that must be learned and to some degree appropriated by the socializee in order to gain admittance to the group.

Broad and Narrow Socialization

Arnett proposed an interesting though seldom used distinction in types of socialization. Arnett distinguishes between broad and narrow socialization:

Broad socialization is intended to promote independence, individualism, and self-expression; it is dubbed broad because this type of socialization has the potential of resulting in a broad range of outcomes narrow socialization is intended to promote obedience and conformity; it is dubbed narrow because there is a narrow range of outcomes

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These distinctions correspond to Arnett's definition of socialization, which is: the whole process by which an individual born with behavioral potentialities of enormously wide range, is led to develop actual behavior which is confined with a much narrower range; the range of what is customary and acceptable for him according to the standards of his group

Arnett explains that his understanding of socialization should not be understood as having just two options, broad or narrow. Instead, the author argues that socialization can be broad or narrow within each of the seven socializing forces he outlines (e.g., family, friends, etc.). Because each force can be either broad or narrow, there is a wide variety of possible broad/narrow socialization combinations. Finally, Arnett notes two examples where his distinction is relevant. First, Arnett argues that there are often differences in socialization by gender. Where these differences exist, argues Arnett, socialization tends to be narrower for women than for men. Arnett also argues that Japanese socialization is narrow as there is more pressure toward conformity in that culture. Arnett argues that this may account for the lower crime rates in Japan.

Total Institutions

Not all socialization is voluntary nor is all socialization successful. There are components of society designed specifically to resocialize individuals who were not successfully socialized to begin with. For instance, prisons and mental health institutions are designed to resocialize people who are deemed to have not been successfully socialized. Depending on the degree of isolation and resocialization that takes place in a given institution, some of these institutions are labeled total institutions. In his classic study of total institutions, Erving Goffman gives the following characteristics of total institutions:

1. all aspects of life are conducted in the same place under the same authority
2. the individual is a member of a large cohort, all treated alike
3. all daily activities (over a 24-hour period) are tightly scheduled
4. there is a sharp split between supervisors and lower participants
5. information about the member's fate is withheld

The most common examples of total institutions include mental hospitals, prisons, and military boot camps, though there are numerous other institutions that could be considered total institutions as well. The goal of total institutions is to facilitate a complete break with one's old life in order for the institution to resocialize the individual into a new life.

Mortimer and Simmons note a difference in socialization methodologies in different types of institutions. When the goal of an institution is socialization (primary or secondary), the institution tends to use normative pressures. When the goal of an institution is resocialization of deviants, coercion is frequently involved.

The Importance of Socialization

One of the most common methods used to illustrate the importance of socialization is to draw upon the few unfortunate cases of children who were, through neglect, misfortune, or wilful abuse, not socialized by adults while they were growing up. Such children are called "feral" or wild. Some feral children have been confined by people (usually their own parents); in some cases this child abandonment was due to the parents' rejection of a child's severe intellectual or physical impairment. Feral children may have experienced severe child abuse or trauma before being abandoned or running away. Others are alleged to have been brought up by animals; some are said to have lived in the wild on their own. When completely brought up by non-human animals, the feral child exhibits behaviors (within physical limits) almost entirely like those of the particular care-animal, such as its fear of or indifference to humans.

Feral children lack the basic social skills which are normally learned in the process of socialization. For example, they may be unable to learn to use a toilet, have trouble learning to walk upright and display a complete lack of interest in the human activity around them. They often seem mentally impaired and have almost insurmountable trouble learning a human language. The impaired ability to learn language after having been isolated for so many years is often attributed to the existence of a critical period for language learning, and taken as evidence in favor of the Critical Period Hypothesis. It is very difficult to socialize a child who became isolated at a very young age into a relatively normal member of society and such individuals often need close care throughout their lives.

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5.3 THEORIES OF DEVELOPMENT OF SELF

One of the important results of socialization is formation and development of self. In the view of Cooley, self means that which is designated in common speech by 'I' 'me' and 'myself'. According to Gardner, Murphy that "self is 'the individual known to the individual'". As understood here, self is a social product. We have three different theories about the origin and development to self. They are Cooley's theory, Mead's theory and Freud's theory.

(i) Cooley's Theory

According to Cooley a child does not have an opinion about himself unless and until he comes into contact with parents and other people and knows their reactions and opinions about himself. He sees himself through the eyes of other. Just as a mirror gives an image of our body i.e. physical self, the opinions and reactions of others give us an image of our social self.

These are there important features of the looking - glass concept, (i) A child's perception of how to look at others, (ii) His understanding of their judgment how he looks, (iii) The feelings of a child about these judgments of others. This may be illustrated from an example. You see a group of people converging in a room. You enter the room and approach them. The moment you join them, they exchange looks and conversation ceases, they make some excuses and thereafter they go out of the room. Further such incidents occur frequently. Does it not affect your feelings about yourself. Instead of such behaviour, when you approach them you are welcomed to participate in their conversation. How this attention would affects you ? Thus we discover ourselves through the reaction of other about us.

The self - knowledge and self - image begins with the reactions of parents and other significant individuals about the child. This self - image gets modified by the child's understanding of the reactions of other. All this process will not take place consciously.

(ii) Mead's Theory

According to Mead "the self is not something that exists first and then enters into relationship with others. It is something that develops out of social interaction and is constantly changing, constantly adjusting as new situations and conflicts arise. It assumes the prior existence of social order and yet is the vessel and through which the order continues".

The new - born infant has needs such as food and clothing. The mother not only satisfies those needs but also provides warmth and affection. The child depends on her and "identifies himself" with her emotionally. In course of time a child learns to differentiate himself from mother and then a two - person social system takes shape. The child takes a subordinate role, the superior role of the mother. The same process is repeated in the case of father too. He differentiates his father from his mother and then integrates him into a social system. The social system gets extended by including significant others. The child internalizes all the roles of these people. He puts himself in the roles of others and then responds to his own words and acts in terms of meaning they would convey to the other person. It is the process by which self develops and grows. An essential characteristic of self is its reflexive character. A person imagines how he appears to "others and how they judge this appearance. Then he reacts

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himself to this judgment as he imagines it. Thus he comes to treat himself an object as well as subject.

(iii) Freud's Theory

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Freud explained the process of socialization through Id, Ego and Super Ego which constitute human mind and personality. The Id is the store house of untanned passions and instinctive desires. The Ego acts with reason while Super Ego represents ideals and norms. As the roles of Id and Ego are in conflict there comes Super Ego in support of Ego. But there are times when Id breaks out all the rules of Ego and commands of Super "Ego to the detriment of social order. The results of Id are more often in disguised forms such as destroying a street light or beating someone who is weak etc. Freud says "The function of the Ego is that if the rider guiding the horse, which is the Id. But like the rider, the Ego sometimes is unable to guide the Id in the direction, it is determined to go, or a slightly different direction". "It is out of this conflict between the Ego and the Id that psychosis develops".

From what has been stated above by the different theories of socialization, it becomes clear that a human infant acquires social self, personality and individuality by the process of socialization. Cooley's theory of looking glass self, Mead's theory of social self and Freud theory of personality are not universally accepted by all the sociologists as the theories are found to be inadequate in all the facts of social self.

5.4 AGENCIES OF SOCIALIZATION

Agents of socialization, or institutions that can impress social norms upon an individual, include the family, religion, peer groups, economic systems, legal systems, penal systems, language, and the media.

Socialization, as a lifelong interactive process of cultural learning, involves different types of social actors. Agents of socialization are the individuals, groups and institutions that create the social context in which socialization takes place. It is through agents of socialization that individuals learn and incorporate the values and norms of their culture as well as their various positions in the social structure in such terms as class, race and gender.

The process of socialization is operative not only in childhood but through out life. It is a process, which begins at birth and continues unceasingly until the death of the individual. It is an incessant process. Formerly, the term socialization had not been applied to adult learning experiences but had been restricted to children. More recently, however, the concept of socialization has been broadened to include aspects of adult behavior as well. It is now thought of "as an interaction process whereby a person's behavior is modified to confirm with expectations held by members of the groups to which he belongs".

Thinkers describe the process with reference to children only because as are introduced when the person becomes conscious of self and others are absent. When the person begins to read books, listen to stories and is enabled to have an imagination of ideal society, it becomes difficult to separate the subjective factors from the objective ones and assess their respective contribution in the socialization of the child.

Since socialization is an important matter for society, it is not desirable that the child's socialization should be left to mere accident but should be controlled through institutional channels. What a child is going to be is more important than what he is. It is socialization, which turns the child into a useful member of the society and gives him social maturity. Therefore it is of paramount need to know as to who socializes the child.

There are two sources of child's socialization. The first includes those who have authority over him; the second are those who are equal in authority to him. The first category may include parents, teachers, and elderly persons. The second one includes the playmates, the friends and the fellows in the club. His training varies in content and significance according as

it is acquired from one or the other source. In one category is the relationship of constraint, in the other it is that of co-operation.

The relationship of constraint is based on unilateral respect for person in authority, while the relationship of co-operation is based on mutual understanding between equals. The rules of behavior, under the first category are felt as superior, absolute and external, but rules in the second category have no superiority or absoluteness in themselves but simply are the working principles of association. Persons having authority over the child are generally older than him while persons sharing equality with him are apt to be of similar age.

There are reasons as to why socialization should proceed through authoritarian modes. The patterns of behavior expected in the culture are innate; sometimes these are even contrary to biological inclination. It is, therefore, but necessary that persons charged with the socialization of the child must be given the power to command obedience. This power can be given only to older persons because when the process of socialization begins, the infant has no juniors and no capacity, for associating with equals.

The parents therefore are the first persons who socialize the child. They are not only closely related, to him in the family system but physically also they are more near to the child than others. The mother is the first of the parents who brings the process of socialization. It is from her that the earliest social stimuli to which a child is subjected, come. He responds to those stimuli by imitating them. With a wide age and experience gap separating the child from his parents, he cannot understand fully the logic and nature of all that they transmit to him.

In case the child does not follow the rules, he may be coerced, because from the social point of view the essential thing is not that the child be 'freed' from taboo in order to express his personality. But that he may be taught folkways and mores and protected from himself during his period of childishness.

Hence, what the child absorbs at the first instance is largely a morality or restraint. The society transmits, taking no chances, the most valued parts of its heritage. Social morality is thus not a matter of rational understanding but of felt obligation.

The child acquires something from his equals, which he cannot acquire from persons in authority. From them he acquires the co-operative morality and some of the informal aspects of culture like small folkways, fads and crazes, secret modes of gratification and forbidden knowledge. The knowledge of such things is necessary from the social point of view.

To take an example, the knowledge of sex relations considered in our society something undesirable for a youth until he gets married. If such knowledge strictly banned until marriage the performance of numerous functions of sex life may be difficult after marriage. So sex knowledge is not excluded completely though formally it is considered undesirable. This knowledge the child acquired from equalitarian group though the child cannot get as much knowledge from another child who is same in age to him, get in so from another child learns in the equalitarian group to understand the rules as part of a co-operative effort, in so far as he learns to stand up for his rights without the protection of authority or the objectless of dependence he acquires something that is very hard if not impossible to get in the authoritarian type relationship.

Thus, both the authoritarian and equalitarian relationship contribute to the socialization of the child. Things that involve discipline and responsibility in transmission are handed over to authoritarian relations, ether things to equalitarian relations.

Briefly mentioned the chief agencies of socialization are the following.

1. Family

Obviously, a major agent of socialization is the family. This is the first social institution and group that shapes individuals' selves and personality. Because there is a great diversity of

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family structure and size, the impact of family on self-formation is not universal. Moreover, cultural standards of nurturing, display of affection and standards of discipline vary considerably worldwide. In western societies, research has shown that the number and order of children impact the self: first-borns tend to receive more discipline, to be higher achievers and to be more conformist. Children born last tend to be raised with more relaxed standards of discipline. As a result, they tend to be more sociable and more accepting of unconventional ideas and lifestyles.

From our families, we also inherit our position in the social structure. Families all belong to some social class, racial and ethnic group. This initial social positioning is central to our self-formation but also to our life-chances. According to sociologist Pierre Bourdieu, from our families, we inherit our habitus, that is, the set of dispositions that mark us as part of our social class: manners, speech patterns, vocabulary and articulation styles, bodily behavior and postures. Our habitus defines the type of social interactions in which we feel comfortable.

Our families also transmit to us different forms of capital (resources): economic capital (money), cultural capital (parents' education level), and social capital (network of social connections to which our family has access). In this sense, there is never equality at birth. From the moment we are born, our life-chances are affected by our family's position in the social structure.

Working from a more microsociological perspective but using Pierre Bourdieu's concepts of habitus and capital, Annette Lareau (2003) has researched the (powerful yet largely invisible) impact of social class on child-rearing practices and discovered that middle-class and working-class parents tend to follow two different approaches to child-rearing. Middle-class parents tend to practice concerted cultivation whereas working-class parent tend to practice accomplishment of natural growth. Concerted cultivation refers to the child-rearing approach where parents are heavily involved in their children's education and in their extra-curricular activities.

Middle-class parents make sure that their children participate in structured activities to give their children a wide range of experiences. Also, middle-class parents tend to engage in discussions and negotiations with their children, soliciting their opinions. As a result, these children tend to grow up used to questioning adults, voicing their opinions and asserting their self-interest. As Lareau puts it, they display a sense of entitlement: "[Children] acted as though they had a right to pursue their own individual preferences and to actively manage interactions in institutional settings. They appeared comfortable in these settings: they were open to sharing information and asking for attention" (2003: 6). These qualities are valued by both the educational systems as well as sought after by employers who value autonomy, creativity as well as assertiveness.

Accomplishment of natural growth – the child-rearing approach favored by working-class parents – involves more unstructured leisure time. Working-class parents establish clear boundaries between adults and children and enforce them through directives rather than negotiation. They expect children to obey adults and to interact more intensely with kin. From this approach, working-class children grow up with a sense of constraint in institutional settings: "[Children] were less likely to try to customize interactions to suit their own preferences. Like their parents, the children accepted the actions of persons in authority" (2003:6).

Since schools and high-paying workplaces value the concerted cultivation approach, this places working-class children immediately at odds with these institutions. In sum, for Lareau, these different child-rearing approaches simply lead to the transmission of differential advantages: middle-class children are equipped with cultural capital necessary to function well in the educational system as well as in the well-paying segment of the labor market. Working-class children are transmitted cultural capital valued in low-paying jobs.

Child-Rearing Approach		
	Concerted Cultivation	Accomplishment of Natural Growth
Consequences	Emerging sense of entitlement on the part of the child.	Emerging sense of constraint on the part of the child.
Interventions in Institutions	Criticisms and interventions on behalf of child, Training of child to take on this role.	Dependence on institutions, Sense of powerlessness and frustration, Conflict between child-rearing practices at home and at school.
Key elements	Parents actively foster and assess child's talents, opinions and skills	Parents care for child and allow child to grow.
Language Use	Reasoning / Directives, Child contestation of adult statements, Extended negotiations between parents and child.	Directives, Rare questioning or challenging of adults by child, General acceptance by child of directives.
Organization of Daily Life	Multiple child leisure activities orchestrated by adults	"Hanging out," particularly with kin, by child.

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2. The School

The school is the second agency of socialization. In the school, the child gets his education, which moulds his ideas and attitudes. A good education can make, the child a good citizen, while a bad education can turn him into a criminal. Education is of great importance in socialization. A well-planned education can produce socialized persons.

In modern societies, education is the most important agent of socialization after the family. Schools are the first impersonal and collective environment that children encounter. Whereas schools' official function is the transmission of knowledge, they also promote certain values – honesty, competition, respect and individualism and norms, such as not cheating on tests or being punctual or not arguing with teachers. Children also learn to deal with authority figures other than their parents and with peers. Also, for the first time, schools introduce students to impersonal assessment of their abilities through grades and official records that will follow the students throughout their educational career.

As mentioned above, schools also contribute to reproduce the inequalities that are part of the social structure. Educational institution place more value the child-rearing style of middle-class parents. Working class parents and children find themselves at odds more often with school administrators and staff. Working class children are more likely to be seen as lacking the proper discipline and manners than their middle-class counterparts. As a result, as Pierre Bourdieu's research has shown, working-class children are more likely to internalize the idea that school is not for them whereas middle-class children feel more "at home" in the school environment since their cultural capital matches the institution's expectations.

People in core countries take mass and mandatory education for granted. However, in peripheral countries, such as Ethiopia, basic schooling is costly and therefore out of reach for most families. Parents understand that education is a valuable resource, so, if they are able to send a child to school, they are more likely to send a son rather than a daughter. School, for girls, is a socializing experience that can end abruptly as girls are married very young. This social practice treats boys as an economic asset worthy of education investment when possible and girls as an economic burden whose cost should be minimized. Both boys and girls incorporate these differential social views as part of their selves.

Such unequal treatment in education is not limited to peripheral countries. Core countries no longer limit school access for girls. However, differences exist in the ways schools treat

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boys and girls. For instance, in her study of US pre-schools, Karin Martin (1998) shows that teachers create gender differentiations in pre-schoolers by the way they physically interact with children. For instance, girls were limited to formal behavior such as raising one's hand before speaking or sitting up (as opposed to lying down on the floor) or putting one's hand in front of one's mouth when sneezing or coughing. On the other hand, teachers allowed and encouraged boys to engage in relaxed behavior whereas girls would be reprimanded.

When teachers sorted children for different activities, boys would be placed in activities that involve standing up, walking or running whereas girls would be placed in activities requiring sitting in different places. Girls were often told to lower their voices more often than boys. When teachers gave bodily instructions, they gave negative but vague instructions ("don't run", "stop crying"), but they gave girls very precise bodily instructions ("give this to me", "put the toy on the shelf") that involve engaging in substituting one behavior for another rather than just stopping one. However, when teachers physically handled children (tapping to get attention, turning a child's face toward them to give them instructions) to control them, such handling was largely directed at boys. This usually happened because boys were more likely to ignore verbal commands. Research has shown that patterns of gendered behavior persist at all schooling levels.

3. The Playmates or Friends

The playmates and friends are also an important agency of socialization. The relation between the child and his playmates is one of equality. It is based on co-operation and mutual understanding. They are mostly of similar age. The child acquires something from his friends and playmates, which he cannot acquire from parents. From them he acquires co-operative morality and some of the informal aspects of culture like fashions, fads, crazes, modes of gratification and forbidden knowledge. The knowledge of such things is necessary from the social point of view. To take an example, the knowledge of sex relations is considered in our society something undesirable for a youth till he gets married. If such knowledge is banned strictly until marriage, the performance of numerous functions of sex life may be difficult later marriage. This knowledge the child acquires from his friends and playmates.

4. Religion

Religion has been an important factor in society. In the early society religion provided a bond of unity. Though in modern society the importance of religion has diminished yet it continues to mould our beliefs and ways of life. In every family some or the other religious practices are observed in one or the other occasion. The child sees his parents going to the temple and performing religious ceremonies. He listens to religious sermons, which may determine his course of life and shape his ideas.

5. Government

The state is an authoritarian agency. It makes laws for the people and lays down the modes of conduct expected of them. The people have compulsorily to obey these laws. If they fail to adjust their behavior in accordance with laws of the state they may be punished for such failure. Thus, the state also moulds our behavior.

6. Virtual Communities

In his best-selling book, *Bowling Alone* (2000), political scientist Robert Putnam deplores the loss of American community. For Putnam, the decline in American participation in bowling leagues symbolizes the increasing disconnection between people as they retreat from all sorts of civic and community participation and engage in more isolated activities, such as passive television watching. Indeed, data regarding membership in associations, political participation, and volunteering show a decline. Putnam deplores such a state of affairs as such community activities were essential to civic-minded socialization where social norms were transmitted.

However, if participation in traditionally household-based activities, such as bowling leagues and PTAs, show a marked decline, other forms of sociability have increased. New

communication technologies allow for new and different forms of sociability. For instance, virtual or online communities are on the rise. The best example of a rising online communities are Facebook, MySpace or Flickr. Such communities are different in that they are not household-based but individualized. They provide a different type of socialization than traditional communities.

Virtual or online communities show that far from disappearing, communities are changing. Traditional communities are neighborhood or village-based. In the age of globalization, disappearing borders and unprecedented movements of population around the globe, communities are not disappearing but reconfiguring into geographically dispersed networks. According to Jeffrey Boase and al (2006), such geographically dispersed communities are facilitated by new electronic communication technologies, such as emails and the Internet. Moreover, research shows that new communications technologies extend our social connections but deepen them as well. People who interact face-to-face also tend to call each on the phone and exchange messages via emails or instant messages or text messages. This phenomenon of using multiple media to communicate is called media multiplexity.

New communication technologies promote what sociologist Barry Wellman calls networked individualism. Networked individualism refers to the fact that, thanks to the Internet, individuals can get in touch with other individuals for all sorts of purposes. In this sense, online communities do not replace traditional communities but supplement them. People can find information or help or simply create relationships from traditional sources, such as relatives or they can tap into extended networks of other individuals.

In this sense, being socialized into the competent use of new communication technologies becomes an essential skill not only to be able to access the wealth of information available but also to be able to be able to build individual networks of relationships with and (not or) without face-to-face interactions.

In her study of the virtual community Cybertown, Denise Carter (2004) challenges the notion that virtual communities are only poor and shallow imitation of the “real thing”, face-to-face interaction. First, Cybertown™ is an elaborate virtual environment, not just a chat room or message board. It has more than a million citizens from all over the world earning citycash from jobs. It is designed like any large city in the world, with plaza, cafes, post office and police. The residents live in the suburbs in private homes and they can have (virtual) pets. It is truly a social space where people develop friendships and throw parties at their houses, or go to clubs. Residents usually maintain consistent personae, keeping the same username and avatar (virtual character). Frequently, people who meet and become friends at Cybertown™ end up meeting offline.

For Carter, virtual communities are appealing because they do not rely on traditional kinship bonds (based on blood ties) but allow the development of chosen friendship ties. Friendship is not based on hierarchy. Moreover, where kinship ties are defined by tradition and customs, friendship persists based on the quality of relationships. In Cybertown™, people are specifically looking to build new relationships where gender, race and other ascribed statuses are irrelevant and where the quality of the relationship is the only criterion that matters. Moreover, the fact that many residents are able to sustain such friendship offline suggests that relationships developed online are not shallow but free from cultural and social constraints.

In sum, virtual communities are not an inferior form of sociability compared to face-to-face interaction in traditional settings. In global times, they are a more individualized and flexible form of sociability. They tend to provide an informal socialization where individuals can develop social skills necessary for competent functioning where achieved statuses and traditional constraints become less relevant.

In Cybertown or MySpace, chosen relationships are managed based on computer skills (such as uploading and downloading multimedia materials) and whatever characteristics

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individuals users choose to disclose or portray. Such virtual communities allow individuals to gain access to a much broader pool of people and resources that they can tap into for different purposes. As they navigate online, individuals are informally socialized into the development of networks of connections, an essential skill and resource for global times. And like many resources, it is unequally distributed.

The unequal distribution of the hardware and unequal access to the Internet is commonly called the global digital divide. This divide is especially pronounced between core areas (extremely well-connected) and the periphery (where the most basic hardware is often simply not available). This means that a large segment of the world population has no access not only to a wealth of information, but also to means of connecting to Internet networks that could be useful. To be deprived of access to the information superhighways is another undeserved disadvantage that children of the periphery endure whereas children from core areas gain an additional unearned advantage.

5.5 CONCEPT OF ANOMIE

Robert Merton: **Anomie Theory**

In one of the most famous articles in sociology, its first version written in the 1940s, Robert Merton begins by addressing biological explanations of deviance and concludes that biology cannot account for variations from one society to the next in the nature and extent of deviance. His primary interest is not so much why a particular individual deviates, but why the rates of deviance differ so dramatically in different societies and for different subgroups within a single society. Merton works within the overall functionalist perspective that we have already addressed, which puts a great deal of emphasis on the role of culture, particularly its unifying aspects, but now Merton adapts a concept he borrows from Durkheim to analyze situations in which culture creates deviance and disunity. In Durkheim's usage, anomie referred to a situation in which cultural norms break down because of rapid change. Anomic suicide, for example, can occur during a major economic depression, when people aren't able to achieve the goals that they have learned to pursue, but it can also occur when the economy experiences a boom and suddenly the sky's the limit--people don't know how to limit their goals and be satisfied with their achievements.

Merton changes the concept slightly, to refer to a situation in which there is an apparent lack of fit between the culture's norms about what constitutes success in life (goals) and the culture's norms about the appropriate ways to achieve those goals (means).

In Merton's formulation, anomie becomes the explanation for high rates of deviant behavior in the U.S. compared with other societies, and also an explanation for the distribution of deviant behavior across groups defined by class, race, ethnicity, and the like. The U.S., in fact, Merton sees as a polar example of a society in which success goals (often defined primarily in monetary terms) are emphasized for everyone in the culture, and people are criticized as being quitters if they scale back their goals. On the other hand, the culture is at best ambivalent in its norms about the appropriate means of being successful. Certainly hard work and ambition, in school and then in the economic marketplace, are the culturally approved means of success, but there's also an element of admiration for the robber baron and the rogue who breaks the rules about appropriate means but achieves success goals by deviant means. In America, in other words, success is probably rated a lot more highly than virtue.

In addition, the U.S. has minority groups whose access to success by conventional means is clearly limited. In the period in which Merton was writing, ours was a clearly racist society. Black Americans, for example, were severely limited in their access to education, but if they overcame those obstacles and obtained a good education, that education would not "buy" them as good a job as it would for a white person. In some societies that emphasize ascriptive criteria in allocating power and privilege, the culture sets a very different standard of success.

Someone who was born an untouchable in the Indian caste system, for example, would learn not to aspire to the kind of success that might be available to an upper-caste individual. But in the U.S. the same kinds of success goals are held out to all. Thus our very high rates of deviance and crime, compared with other societies, in Merton's analysis can be understood, first as a result of our emphasizing success goals more than we emphasize approved means of achieving those goals, and second, our emphasizing the same kind of success for everyone even while the race, ethnic, and class stratification of the society limits the opportunities for success by those in the less privileged groups.

How do people respond to this disjunction of goals and means? Merton creates a typology of adaptations. The first symbol designates people's relationship to norms about goals; the second symbol designates their relationship to norms about the means of achieving those goals.

Mode of adaptation

I. Conformity + +

II. Innovation + -

III. Ritualism - +

IV. Retreatism - -

V. Rebellion xx

In this diagram, a "+" means acceptance, a "-" signifies rejection, and an "x" means rejection of prevailing values and substitution of new ones.

Although Merton spends some time discussing each of these modes of adaptation, it's probably the second one, "innovation," which most logically follows from his earlier discussion of the relationship between culture and deviance in general and the deviance-producing features of American society in particular. Innovators are people who break the rules (and often the laws) in order to achieve the success goals that are so heavily promoted in the society. At the upper levels, Merton points out, "the pressure toward innovation not infrequently erases the distinction between business-like strivings this side of the approved norms and sharp practices beyond the norms." Merton quotes Thorstein Veblen: "It is not easy in any given case--indeed it is at times impossible until the courts have spoken--to say whether it is an instance of praiseworthy salesmanship or a penitentiary offense."

But he sees the greatest pressures toward "innovation" operating at the lower levels of the stratification system." Here "incentives for success are provided by the established values of the culture and second, the avenues available for moving toward this goal are largely limited by the class structure to those of deviant behavior. It is the combination of the cultural emphasis and the social structure which produces intense pressure for deviation." "Despite our persisting open-class ideology, advance toward the success-goal is relatively rare and notably difficult for those armed with little formal education and few economic resources." "Within this context, Al Capone represents the triumph of amoral intelligence over morally prescribed "failure," when the channels of vertical mobility are closed or narrowed in a society which places a high premium on economic affluence and social ascent for all its members."

Notice that Merton's analysis is not ultimately aimed at the individual level--why does this individual deviate and this one not--but at the level of groups and societies as reflected in differing rates of deviance. Merton isn't saying that every individual exposed to these cultural conflicts reacts the same way; on the contrary, his typology is designed to allow for variation at the individual level. In his concluding remarks, Merton himself highlights the major weaknesses of his analysis. "This essay on the structural sources of deviant behavior remains but a prelude. It has not included a detailed treatment of the structural elements which predispose toward one rather than another of the alternative responses open to individuals living in an ill-balanced social structure. It has largely neglected but not denied the social psychological

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processes determining the specific incidence of these responses; it has only briefly considered the social functions performed by deviant behavior; ...it has only touched upon rebellious behavior which seeks to refashion the social framework." Unfortunately, as is so often the case with people doing what they label as preliminary or exploratory work, Merton never went on to attempt the additional work that he himself recognized as crucial to a full understanding of the dynamic he describes in this essay.

5.6 SOCIAL CONTROL

Social control refers generally to societal and political mechanisms or processes that regulate individual and group behavior, leading to conformity and compliance to the rules of a given society, state, or social group. Many mechanisms of social control are cross-cultural, if only in the control mechanisms used to prevent the establishment of chaos or anomie. Some theorists, such as Émile Durkheim, refer to this form of control as regulation. Sociologists identify two basic forms of social controls.

Social control theory began to be studied as a separate field in the early 20th century. The means to enforce social control can be either formal or informal. Sociologist Edward A. Ross argued that belief systems exert a greater control on human behavior than laws imposed by government, no matter what form the beliefs take.

5.6.1 Means of Social Control

Different sociologists have given different opinions regarding the means of social control. F.E. Lumley classified the means of social control into major categories; based upon force and based upon symbols. According to him, though physical force is indispensable in social control, yet, it is not merely the force that can manage the individuals. Human societies have to rely upon symbolic devices, which are more effective than force. According to him, the means of social control are rewards, praise, flattery, education, persuasion, gossip, satire, criticism, propaganda and so on.

E.A. Ross has described a number of means of social control that have been employed by social groups through out the human history to keep individuals under control. The important among them are public opinion, law, custom, religion, morality, folkways and modes.

E.C. Hayes distinguished between control by sanctions and control by suggestion in imitation. By control, by sanctions he meant a system of rewards and punishments. According to him, education is the most effective means of social control.

Karl Mannheim distinguished between direct and indirect means of social control. Kimhall Young classified the means of social control into positive and negative means. According to him, reward is a positive means while punishment is a negative means. L.L. Bernard distinguished between conscious and unconscious means of social control. The most important unconscious means are custom, tradition and convention. The conscious means of social control are those, which have been consciously developed and employed by leaders of all types. These are law, education, public opinion and coercion.

Bernard also distinguished between destructive and constructive means of social control. Exploitive means are such as punishment, reprisals, intimidation and repression. Among the constructive means are included revolution, custom, law, education, social reform and non-violent coercion.

But most of the sociologists have classified the means of social control into types such as informal means and formal means. These are traced out below:

Informal Means:

The informal means of social control grow themselves in society. No special agency is required to create them. The Brahmins do not take meat. They take meals only after bath. The Jains do not take curd. They take their dinner before sunset. The Hindu women do not smoke. One

can marry only in one's caste. The children should respect their parents. All this is due to informal social control. It is exercised through customs, traditions, folkways, modes, religion, ridicule etc. Informal control prevails over all the aspects of man's life.

However, it is said that people are not afraid of informal social control. Yet informal means of social control are very powerful particularly in primary groups. No man wants to suffer loss of prestige. He does not want to become the target of ridicule. He does not want to be laughed at by the people. He does not want to be socially boycotted. On the other hand, he wants praise, appreciation, honor and recognition by the society. Thus, informal means, like praise, ridicule, boycott etc. effectively control his behavior. Moreover, the child through the process of socialization learns to conform to the norms of group. A person with socialized attitudes would not do any work, which is socially harmful. Thus, socialization also exercises an influence over him.

Now we may describe briefly the important means of informal control.

(I) Belief- Belief is a conviction that a particular thing is true. It is primarily of five kinds.

- (a) The belief in the existence of an unseen power;
- (b) The belief in the theory of Ye-incarnation,
- (c) The belief in Nemesis, the Goddess of Vengeance,
- (d) The belief in the existence of hell and heaven and,
- (e) The belief in the immortality and soul.

All these different beliefs influence man's behavior in society. The first belief in the existence of an unseen power leads a man to right actions because he believes that his actions are being watched by an unseen power. The second belief in the theory of reincarnation keeps the man away from wrongful acts because he believes that in order to have a good birth in next he must do good, acts in this life. The third belief in the Goddess of Vengeance also regulates man's behavior because he believes that he will be punished by the goddess of Vengeance for his sins. A sinner is punished here and now. The Fourth belief in the existence of hell and heaven influences a man to virtuous acts and avoid sins in order to go to heaven or avoid going to hell after death. Heaven is place full of luxuries, fairies and romance. Hell is a place of terror, miseries and tortures. The fifth belief in the immortality of soul leads man to avoid such actions as will cause pain to the soul of the deceased ancestors.

In this way, beliefs are powerful influences on human actions. They are vital for human relations. They define the purposes and interests for the individual and control his choice of means so that the purposes of the groups may be advanced of at least not hundred. No aspect of social relationship escapes them. Beliefs may be false. They may be founded on factual or faculty evidence. But the question of their validity does not necessarily determine their effectiveness of social controls, we act with as much determination from false beliefs as from factually second ones.

1. Social Suggestions

Social suggestions are also powerful means of social control. Suggestion is the indirect communication may be made through various methods. The first method is putting the life examples of great men. We celebrate the anniversaries of Mahatma Gandhi and Lal Bahadur Sastri, We build monument in the memory of great men. We place their ideals before the people and exhort them to follow these ideas. The second method of making suggestion is through literature Books, Journals, newspapers etc. may inspire people to heroic deeds and develop in them national feeling. The literature may also make people narrow minded conservative and superstitious. These types of literature will indirectly influence his mind and consequently his behavior. The third method is through education. The educational curriculum may communicate certain ideas to the students and make them discipline citizens. The fourth method is through advertisement. Many magazines carry beautiful advertisements depicting

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the advantages of visiting certain places and suggesting the prestige attached to traveling to these places. The advertisements from Radio. Ceylon may attract the people to Binaca toothpaste. Many of our business enterprises employ advertising to influence attitudes and therefore, action. Suggestions may be conscious or unconscious. It may also be intentional or unintentional.

2. Ideologies

Ideology is a theory of social life, which interprets social realities from the point of view of deals to prove the correctness of the analysis and to justify these ideals. It is the projection of a certain ideal. Leninism, Gandhism and Fascism are ideologies, which have analyzed social realities and laid down an ideal before the people. Ideologies influence social life to a very deep extent. Leninism had influenced the social life of Russians. Hitler's theory of socialism influenced the German to the extent that they began to regard themselves as the supreme race of the world. Gandhism has influenced social life in India. In the world we today, find a conflict of ideologies. The conflict between U.S.A. and U.S.S.R. is a conflict of capitalism and communism. The history of man has been one of struggle among conflicting ideologies. Ideologies are powerful dynamic forces of contemporary social life. They satisfy the need of all men to believe in a system of thought that is rigorous. They express the vital interests of social groups and satisfy their desire for a scheme of social betterment. They stimulate action. They provide a set of values. They are motivators of social action. They make life meaningful. The success of any ideology, as an effective means of social control depends on many factors. Some of these factors are its completeness and coherence, its vision of the future is its ability to hold men's imaginations, its consistency and its ability to meet criticism.

3. Folkways

Folkways are the recognized modes of behavior, which arise automatically with a group. They are the behavior patterns of every day life, which arise spontaneously and unconsciously in a group. They are in general the habits of the individual and are common to a group. They are socially approved. They have some degree of traditional sanction. It is not easy for the members of a group to violate the folkways. They are the foundation of group culture. If an individual does not follow them he may be socially boycotted by his group. A particular dress must be worn at a particular function. The Brahmins shall not take meat. The Jains should not take curd. The Hindu women should not smoke. Since folkways become a matter of habit, therefore, these are followed unconsciously and exercise powerful influence over man's behaviour in society.

4. Modes

Modes are those folkways, which are considered by the group to be of great significance, rather indispensable to its welfare. The modes related to the fundamental needs of society more directly than do the folkways. They express the group sense of what is right and conducive to social welfare. They imply a value judgment about the folkways. Modes are always molding human behavior. They restrain an individual from doing acts considered as wrong by his group. They are the instruments of control. In society, there are innumerable modes like monogamy, prohibition, endogamy, antislavery etc. Conformity to modes is regarded necessary. It is essential for the members of the group to conform to them. Behavior contrary to them is not permitted by society. Certain modes may even be harmful for the physical well-being of an individual, yet these must be obeyed. Thus, mode control man's behavior in society to a very great extent.

5. Customs

Customs are the long established habits and usages of the people. They are those folkways and modes, which have persisted for a very long time and have passed down from one generation to another. They arise spontaneously and gradually. There is no constituted authority to declare them to apply them or to safeguard them. They are accepted by society. They are followed

because they have been followed in the past. The importance of custom as a means of social control cannot be minimized. They are so powerful that no one can escape their range. They regulate social life to a great extent. They bind men together. They control the purely selfish impulses. They compel the individual to conform to the accepted standards. They are held so sacred that any violation of them is regarded not only a crime but also a sacrilege. In primitive customs are main agencies of social control but in modern times their force has loosened.

6. Religion

Religion also exercises a powerful influence upon man's behavior in society. The term religion has numerous definitions. Religion is an attitude towards super human powers. It is a belief in powers superior to man. It expresses itself in several forms like superstition, animism, totemism, magic ritualism and fetishism. Religion pervades practically in all the societies, though there may be different forms of religious beliefs and practices. The Hindu religion gives great importance to ceremonies. At the time of birth, marriage and death a number of ceremonies is performed. Mantras are recited even if one does not understand their meaning. Religion is a powerful agency in society. It influences man's behavior. Children should obey their parents, should not tell a lie or cheat, women should be faithful to man, people should be honest and virtuous and should limit one's desires, man should renounce unsocial activities are some of the teaching of religion which influence man's behavior. Men should do good acts is a common teaching of all the religion. Religion makes people benevolent, charitable, forbearing and truthful. It may also be noted that religion may easily be destroyed into superstition and dogmatism instead of being an incentive to ethical idealism. Religion may be, used to make people be used their lot obedience to their rules and defenders of status quo. It may deny freedom of thought. It may favor poverty exploitation and idleness and encourage practices like cannibalism, slavery, untouchability, communalism and even incest.

7. Art and Literature

Art in its narrow sense includes painting, sculpture, architecture, music and dance. Literature includes poetry, dream and fiction. Both art and literature influence the imagination and exert control on human behavior. The martial music of the military band arouses feeling of determination and strength. A classical dance creates in us an appreciation of our culture. The statue of Mahatma Gandhi teaches us the virtue of simple living and high thinking. A painting may arouse in us a feeling of sympathy, affection and hatred. There is always a close relationship between the national lives. The civilization of any specified time can be judged by an examination of its arts. Artists have been called an agent of civilization.

5.7 SUMMARY

Socialization is the process by which children and adults learn from others. We begin learning from others during the early days of life; and most people continue their social learning all through life (unless some mental or physical disability slows or stops the learning process). Sometimes the learning is fun, as when we learn a new sport, art or musical technique from a friend we like. At other times, social learning is painful, as when we learn not to drive too fast by receiving a large fine for speeding. It is important to know that we all come into life with a variety of psychology systems that foster self-actualization and favor the development of our human potential. These are the biosocial mechanisms that underlie natural socialization. We can see and study natural socialization by examining the socialization of primates and other mammals. Once we understand the natural biosocial processes, we can try to build strategies of self-actualization that are compatible with the natural biosocial mechanisms we are born with to make self-development as easy and rewarding as possible.

Social control has been defined by MacIver as the way in which entire social order coheres and maintains itself –how it operates itself as a whole as a changing equilibrium.

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5.8 REVIEW QUESTIONS

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1. What are the different theories of Socializations ? Explain them.
2. Define Socilaization.
3. Explain concept of socialization?
4. Discuss goals and importance of Socialization?
5. What are the agencies of Socialization.
6. Describe Anomie.
7. Describe Social Control
8. Explain means of social control.

Unit 6

SOCIAL STRATIFICATION

Structure

- 6.1 Introduction
- 6.2 Social Differentiation and Social Stratification
 - 6.2.1 Social Differentiation
 - 6.2.1.1 Social Differentiation as Decomposition or Emergence
 - 6.2.1.2 Causes of Social Differentiation
 - 6.2.1.3 Consequences of Social Differentiation
 - 6.2.2 Social Stratification
 - 6.2.2.1 Nature and Characteristics of Social Stratification
- 6.3 Class Dimension of Stratification
 - 6.3.1 Social Class
- 6.4 Castes as a Dimension of Stratification
 - 6.4.1 Cast System
 - 6.4.2 Characteristics of Caste
 - 6.4.3 Demerits of the Caste System
 - 6.4.4 Changes in the Caste System
 - 6.4.5 Differences between Caste and Class
- 6.5 Theories of Stratification
- 6.6 Summary
- 6.7 Review Questions

6.0 AIMS AND OBJECTIVES

At the end of this unit you will be able to understand:

- Describe Social Differentiation
- Explain Causes and consequences of Social Differentiation
- Discuss Social Stratification
- Delineate theories of Stratification

6.1 INTRODUCTION

In sociology the socio-economic is a concept of class, involving the “classification of persons into groups based on shared socio-economic conditions a relational set of inequalities with economic, social, political and ideological dimensions.” In modern Western societies, stratification is broadly organized into three main layers upper class, middle class, and lower class.

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Each class may be further subdivided into smaller classes (e.g. occupational). These categories are particular to state-based societies as distinguished from, for instance, feudal societies composed of nobility-to-peasant relations. Stratification may also be defined by kinship ties or castes. For Max Weber, social class pertaining broadly to material wealth is distinguished from status class which is based on such variables as honor, prestige and religious affiliation. Talcott Parsons argued that the forces of societal differentiation and the following pattern of institutionalized individualization would strongly diminish the role of class (as a major stratification factor) as social evolution went along. It is debatable whether the earliest hunter-gatherer groups may be defined as 'stratified', or if such differentials began with agriculture and broad acts of exchange between groups. One of the ongoing issues in determining social stratification arises from the point that status inequalities between individuals are common, so it becomes a quantitative issue to determine how much inequality qualifies as stratification.

The concept of social stratification is interpreted differently by the various theoretical perspectives of sociology. Proponents of action theory have suggested that since social stratification is commonly found in developed societies, hierarchy may be necessary in order to stabilize social structure. Talcott Parsons an American sociologist asserted that stability and social order are regulated, in part, by universal value although universal values were not identical with "consensus" but could as well be the impetus for ardent conflict as it had been multiple times through history.

Parsons never claimed that universal values in and by themselves "satisfied" the functional prerequisites of a society, indeed, the constitution of society was a much more complicated codification of emerging historical factors. The so-called conflict theories, such as Marxism, point to the inaccessibility of resources and lack of social mobility found in stratified societies. Many sociological theorists have criticized the extent to which the working classes are unlikely to advance socio-economically, the wealthy tend to hold political power which they use to exploit the proletariat intergenerationally. Theorists such as Ralf Dahrendorf, however, have noted the tendency toward an enlarged middle-class in modern western societies due to the necessity of an educated workforce in technological and service economies. Various social and political perspectives concerning globalization, such as dependency theory, suggest that these effects are due to the change of workers to the third world.

6.2 SOCIAL DIFFERENTIATION AND SOCIAL STRATIFICATION

6.2.1 Social Differentiation

Social differentiation is an important attribute of society, especially modern society. The concept of differentiation spread within sociology since Herbert Spencer's evolutionary theory of societal development from incoherent homogeneity to coherent heterogeneity. Later on, Emile Durkheim, Georg Simmel, Talcott Parsons, and Niklas Luhmann were important proponents of the concept. Other social thinkers, such as Karl Marx and Max Weber, who did not use the term differentiation prominently nevertheless contributed to a proper understanding of the social structures and dynamics it designates. At the start of the twenty-first century, the theoretical and, more and more, empirical debate about social differentiation is continued, especially by American 'neo-functionalists' in their discussion of Parsons legacy, and some German sociologists who keep up the critical debate about Luhmann's theory of society.

Social differentiation means both a process and a structure. In structural terms, it refers to the fact that a unit of analysis, such as a society, consists of a number of distinct parts. These parts may be of the same kind, such as families as the basic components of tribal societies. Or the parts may be different, such as the subsystems economy, politics, mass media, etc. making up modern society. As a process, social differentiation is the dynamic that brings about and changes a given structure of differentiation.

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Two fundamentally diverging views of the social differentiation of modern society have been put forward in sociological thought. These views do not strictly contradict, but balance each other in important respects. In the following, the partly opposing but mostly complementary relationship between both views will be sketched, with respect to the features, causes, and consequences of social differentiation. The focus of attention will be put on the differentiation of modern society.

6.2.1.1 Social Differentiation as Decomposition or Emergence

For Durkheim and Parsons as the most important representatives of the first view of social differentiation, it is a process of decomposition of a functionally diffuse unit a role, or an institution into several, functionally more specific units. This idea is modeled after the division of labor in work organizations, a process which fascinated nineteenth-century thinkers. Durkheim's major illustration is the widespread specialization of occupations in industrial society. In Parsons more abstract analysis, the theoretical and structural-functional analytical framework of society is composed of four principal subsystems (economy, polity, societal community, and fiduciary system) each of which fulfills one of the four fundamental functional prerequisites of societal reproduction. Social differentiation as a process of social change tends towards a successive decomposition of each of these subsystems into four second-level subsystems. Parsons called this 'functional differentiation', a term that is still used to describe the type of differentiation of modern society. His analytical perspective, Parsons suggests, is validated empirically over time by the concrete differentiation of social roles and institutions.

In structural terms, the decomposition perspective on social differentiation highlights the advantages of specialization for society, which are basically the same as on the organizational level. Specialization greatly improves performance. For instance, if formal education in schools is differentiated from the family, where education was previously concentrated, both sides profit in terms of functional efficiency and effectiveness teachers can rely on primary socialization accomplished by parents and are able to focus on secondary socialization, and vice versa.

In contrast to this perspective of social differentiation as a fruitful division of labor, Weber portrayed the birth and composition of modern society as the emergence of a number of autonomous 'value-spheres'. One after another, science, law, art, politics, economics, sexuality, and others freed themselves from their former domination by religious ideas. These value-spheres became societal domains of their own which cultivate their particular central value without concern for the value orientations of other domains. Science, for instance, does not care about economic profits, aesthetic beauty, legality, or the conformity of its truths with religious doctrine. Weber speaks graphically about the 'polytheism' of value-spheres in modern society.

Luhmann formulates this second perspective on social differentiation even more to the point. To him, society consists of about a dozen subsystems in each of which communication is guided by a specific binary code. For example, the science systems binary code is true/untrue, the legal systems legal/illegal. The binary code of each subsystem establishes a highly selective search light onto the social world, illuminating certain corners of it and leaving the rest in the dark.

The binary codes generate self-referentially closed universes of communication. Thus, a societal subsystem consists of chains of communications each of which refers to other communications of the same kind. For this fundamental feature, Luhmann picks up the concept of 'autopoiesis' from biological thinking. To illustrate, in the social system of science assertions of truth are the specific kind of communication. These assertions, usually made in scientific publications, lead to other such assertions and within science not to political declarations or declarations of love. Any scientific publication, if it provokes any reactions at all, is either affirmed or rejected by later publications. Which of these two eventualities happen

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does not matter with respect to the reproduction of science as a societal subsystem. In both instances science continues as an open-ended sequence of publications.

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Luhmann's conceptualization is better suited than Weber's to grasp the basic dynamics of continual reproduction of a societal subsystem or value-sphere. For both, each subsystem can take only its own code determined perspective on social events. In science, nothing but its own concerns is important, and the same holds true for all other sub-systems. The overall result is an effective multiplication of society with respect to the communicative meanings of events. An event, such as a train accident, looks totally different from the point of view of the economy, compared to the point of view of science, compared to the point of view of the health care system, compared to the point of view of the mass media, and so on. Borrowing a term from philosopher Gotthard Guenther, Luhmann (1997) calls this the 'poly contextuality' of modern society. Although all subsystems have, in this sense, no 'window' to the social world outside, this basic autonomy goes along with openness to their societal environment with respect to resources and functional performance. The science subsystem, for instance, needs financial resources among other things, and gets them from the political subsystem, or the economy. In the other direction, science provides these and other societal sub-systems with knowledge. Since all societal subsystems make essential contributions to the reproduction of many others and none of them can substitute any other one, each is a functional prerequisite of modern society. Modern society would break down without economy, but also without mass media, or without a health care system, and the latter could not be replaced, for example, by politics or education.

Despite these manifold mutual dependencies, Luhmann insists that it makes no sense to understand the ensemble of societal subsystems as a division of labor. In a division of labor, the subsystems as parts are ideologically oriented towards the performance and maintenance of the whole society. Thus, the whole comes first, historically and logically, and decomposes itself for its own benefit. By contrast, Weber and Luhmann emphasize that social differentiation consists of a simultaneous birth and liberation of the parts. They emerge and become autonomous from each other and from the whole. Even more, the whole vanishes in the sense that it becomes nothing more than the often tension-ridden and antagonistic interrelationship of the parts.

6.2.1.2 Causes of Social Differentiation

Both analytical perspectives identify different driving forces of social differentiation. Four kinds of causal factors can be distinguished, improvements of performance, evolution, cultural ideas, and interests of actors.

The first causal factor, improvements of performance by specialization, was especially emphasized by Parsons and structural-functionalist studies of social differentiation (see also Functionalism in Anthropology). Such specialization is initiated either by performance deficits of existing structures of differentiation, or by opportunities to improve a satisfactory level of performance. An example of the problem-driven dynamic is the previously mentioned differentiation of the education system. Schools, and a duty of all children to attend them, were established because other societal subsystems, especially the economy, needed a general level of cognitive skills and social discipline within the population that could no longer be provided by the family alone. A differentiation dynamic driven by opportunities was the spur for differentiation of the radio and television sector within the mass media. Entirely new possibilities of public communication opened up by the technological innovations of radio and television, rather than any perceived performance deficits of newspapers, caused the sectoral differentiation of roles and organizations within mass media.

By contrast to a planned division of labor within organizations, on the societal level performance improvements by differentiation occur often as unintended results of actions motivated by quite different reasons. In this sense, Parsons already relied on evolution as the mechanism that brings about performance improvements. In contrast, Luhmann gives up all

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connotations of evolution with progress. Adopting neo-darwinian evolutionary thinking from biology, he conceives of evolution as an interplay of three mechanisms, variation, selection, and retention. Each societal subsystem has its own specific evolutionary mechanisms. For instance, in the science subsystem most publications are variations of the existing body of knowledge. Selection happens whenever one of these publications is cited affirmatively. Retention occurs when this new knowledge is incorporated into overview and review articles and into text books for students. As in biological evolution, most variations are not selected, and most of those selected do not reach the stage of retention. This evolutionary cognitive growth and differentiation goes along with a social differentiation of scientific specialties.

Luhmann does not deny that this evolution of the science system may bring about performance improvements usually called 'scientific progress.' But for him, this is no necessary outcome of evolutionary differentiation. Evolution may also lead to dysfunctional differentiation. For instance, the growing quest for interdisciplinary research indicates an over-specialization in more and more scientific fields. An understanding of evolutionary differentiation as progress becomes even more dubious in other societal subsystems, such as art, politics, or the mass media. But even if evolutionary differentiation on the level of each subsystem would result in performance improvements of all of them, the overall result for society would not add up to progress but only to an increase of societal complexity which manifests itself particularly in a growing destabilization of society. Each evolutionary change within one subsystem is also a change of the societal environment of all other subsystems. For them, often adaptive changes become necessary each of which again changes the societal environment, with new adaptive pressures arising. Thus, social differentiation becomes permanently auto dynamic. Until now, these dynamics often brought about increasing differentiation. But Parson's statement that this is a linear and unlimited social process is clearly wrong as not only Luhmann's theoretical reflections point out but also empirical cases presented especially by the 'neofunctionalists' demonstrate.

A third driving force of social differentiation was already mentioned with respect to Weber: an auto-dynamic rationalization of cultural ideas. In pre-modern societies the values that today constitute the guiding principles of the various societal subsystems were closely inter-woven with each other and moreover, integrated into an encompassing order of religious values. The differentiation of the principal subsystems of modern society is understood by Weber as a gradual but irresistible separation of economic, political, scientific, aesthetic, legal, erotic, and other values, first, from the religious context, and second, from each other. This dynamic is triggered and sustained by the compelling intellectual urge to contemplate extensively the implications and consequences of each value for everyday life. When this rationalization reaches the point where each value is rigorously reflected in its own terms, without regard to others, soon a self-referential closure of value-spheres occurs, giving way to a corresponding differentiation of roles, organizations, and sub-systems.

The fourth driving force of social differentiation is the general interests of individual, collective, or corporate actors who are involved in constellations with each other. One explanation of an on going division of labor mentioned by Durkheim is growing 'social density' resulting in an intensification of competition among actors. This constellation evokes an interest to preserve one's own domain of action, be it an occupation for an individual or a market position for a firm. This interest, in turn, leads many of the respective actors to find new niches for themselves where they are relieved from high competitive pressure. The aggregate effect of such domain-preserving activities is social differentiation on the level of roles and organizations.

Other general interests of actors that often stimulate dynamics of social differentiation are the preservation or extension of one's autonomy, of one's control of other actors, and of one's resource base. Some professions, especially those guided by such interests were strong carriers of the differentiation of certain societal subsystems including science, law, educa-

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tion, and health care. Sometimes, a particular kind of social differentiation is the explicit goal of certain groups of actors who believe that this will serve their interests best. In other cases, social differentiation is an unnoticed, unforeseen, or unwanted effect of actors pursuit of their interests. Outcomes often diverge markedly from intentions because usually the relevant constellation consists of actors in quite different positions: catalyzers and promoters of the respective process of change followers who join in when a 'critical mass' has been mobilized defenders of the status quo who resist any change, more open-minded defenders with whom compromises are possible and those who are indifferent or indecisive at the beginning and whom the promoters of change as well as the defenders of the status quo try to recruit as allies.

Each of these four kinds of driving-forces is causally relevant in the dynamics of social differentiation, although the combination varies greatly from one case to another. Often these factors are interrelated. Thus, what actors understand as their interests are framed by cultural ideas. Cultural ideas as well as actors interests are explicit or implicit criteria to judge the performance of a given differentiation structure and vice versa, performance deficits provoke actors interests. Finally, the evolution of societal subsystems creates new challenges, restrictions, and opportunities for the pursuit of interests and the spelling out of cultural ideas.

6.2.1.3 Consequences of Social Differentiation

The differentiation of modern society became a central theme not just of sociological thought but also of public discourse in the nineteenth century, and still is today. This is because social differentiation has far-reaching consequences for society at large, as well as for each individual member of it. These consequences are neither totally positive nor totally negative but a mixed blessing.

To begin with, the modern individual profits from role differentiation and an enormous increase of options in every sphere of life, from economic markets for goods and services to opportunities of political participation, sports activities, lifelong education, and cultural life. The abundance of options is the result of performance improvements in all societal subsystems and of an inclusion of all members of society into the status of customers, clients, and public of the subsystems. In connection with the poly-contextuality of modern society, role differentiation and the growth of options allow each person to become an individual in the proper sense of the word: a person who creates a unique biography for himself or herself. However, options are only one side of a person's 'life chances' (Dahrendorf 1979). The other side includes 'ligatures,' meaningful attachments which tie a person to certain institutions, cultural worlds, social groups, or communities. In this respect, the functional differentiation of modern society seems to neglect important psychic needs of persons. Ligatures are eroded by 'polycontextuality' and individualization. As a consequence, anomie, alienation, and other experiences of meaninglessness are present in modern society, not just as individual misfortunes and temporary phenomena, but as structurally produced permanent vulnerabilities of everyone.

Looking at society at large, social differentiation exhibits the same kind of ambivalence. First, it is obvious that functional differentiation is evolutionary highly successful. All kinds of pre-modern, traditional societies were overrun by those national societies from Europe and North America that converted to functional differentiation since the sixteenth century. Worldwide, there was no alternative to the adoption of functional differentiation. As shown by the socialist experience, those countries that tried to stop halfway failed. Countries where the political system attempted to control all other subsystems were beaten by the fully developed functional differentiation of Western countries, as Parsons, among others, had anticipated in the 1960's.

However, global supremacy of a fully-fledged functional differentiation implies serious problems. Their common denominator is an endangering of the integration of modern society.

More precisely, systems integration, social integration, and ecological integration must be distinguished.

Systems integration seems to be the least problematic aspect. Coordination and cooperation among different subsystems of modern society is obviously possible, despite the fact that each of them is governed by its own self-referential binary code. But there are manifold interrelationships by which subsystems adapt to each other in a decentralized way. Where this does not suffice, representatives of subsystems, such as the respective interest groups, meet and bargain for common solutions in the political arena. Finally, political guidance may support or promote inter systems adaptation and bargaining among subsystems. Thus, problems of systems integration remain fragmented and manageable for modern society.

With social integration, it is different. The integration of individual members into modern society may be precarious as a result of the already mentioned erosion of ligatures. More important could be the fact that the increase in individual options might put excessive demands on all subsystems abilities in the long run. In this respect, social inequality and the subsystem's unlimited drive to improve their performance work hand in hand. In conflicts among those who, as individuals, profit more and those who profit less from a particular subsystems performance, the former will try to avoid redistribution.

One way to achieve this is a growth of the subsystem's performance so that those whose claims were not satisfied can be served somewhat better without those who were better off giving up anything. For instance, children from the lower classes have got access to higher education. But this has been no zero-sum conflict in which the higher classes have lost some of their educational opportunities but a positive-sum constellation because the higher education sector has been extended which has fitted also the interests of the respective groups of teachers and professors and has been reinforced by the cultural imperative of 'progress.' Such dynamics, driven by complementary interests and backed by powerful cultural ideas could go on forever, were there no limits to subsystems growth. But because these limits exist, for example with respect to resources, continuing inequalities contain a potential for serious social conflict to which functional differentiation has no ready answer.

Finally, the functional differentiation of modern society is a major cause of the growing problems of ecological integration. Modern society's path away from a 'sustainable' relationship with its natural environment has occurred as a result of two basic characteristics of all societal subsystems, their growth tendencies, and the neglect of ecological aspects by their binary codes. The modern economy is the most obvious example, but the same is true of the family, the subsystem primarily responsible for population growth. No societal subsystem exists now that takes care of the ecology, only social movements address their protest to the political system. But this subsystem, following its binary code of maintaining and increasing power, must listen to many other demands from society and so often disregards ecological concerns.

Thus, the functional differentiation of modern 'world society' is a high-risk outcome of social evolution. No alternative to this type of social differentiation is apparent as an option for the future. But whether modern society can survive in this way or will ruin itself sooner or later is an open question that sociological theories of social differentiation cannot answer. Theorists can only observe what has happened previously and infer warnings from this.

6.2.2 Social Stratification

In sociology the socio-economic is a concept of class, involving the "classification of persons into groups based on shared socio-economic conditions a relational set of inequalities with economic, social, political and ideological dimensions." In modern Western societies, stratification is broadly organized into three main layers: upper class, middle class, and lower class. Each class may be further subdivided into smaller classes (e.g. occupational). These categories are particular to state-based societies as distinguished from, for instance, feudal societies

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composed of nobility-to-peasant relations. Stratification may also be defined by kinship ties or castes. For Max Weber, social class pertaining broadly to material wealth is distinguished from status class which is based on such variables as honor, prestige and religious affiliation. Talcott Parsons argued that the forces of societal differentiation and the following pattern of institutionalized individualization would strongly diminish the role of class (as a major stratification factor) as social evolution went along. It is debatable whether the earliest hunter-gatherer groups may be defined as 'stratified', or if such differentials began with agriculture and broad acts of exchange between groups. One of the ongoing issues in determining social stratification arises from the point that status inequalities between individuals are common, so it becomes a quantitative issue to determine how much inequality qualifies as stratification.

The concept of social stratification is interpreted differently by the various theoretical perspectives of sociology. Proponents of action theory have suggested that since social stratification is commonly found in developed societies, hierarchy may be necessary in order to stabilize social structure. Talcott Parsons, an American sociologist, asserted that stability and social order are regulated, in part, by universal value although universal values were not identical with "consensus" but could as well be the impetus for ardent conflict as it had been multiple times through history. Parsons never claimed that universal values in and by themselves "satisfied" the functional prerequisites of a society, indeed, the constitution of society was a much more complicated codification of emerging historical factors. The so-called conflict theories, such as Marxism, point to the inaccessibility of resources and lack of social mobility found in stratified societies. Many sociological theorists have criticized the extent to which the working classes are unlikely to advance socio economically; the wealthy tend to hold political power which they use to exploit the proletariat inter gene rationally. Theorists such as Ralf Dahrendorf, however, have noted the tendency toward an enlarged middle-class in modern Western societies due to the necessity of an educated workforce in technological and service economies. Various social and political perspectives concerning globalization, such as dependency theory, suggest that these effects are due to the change of workers to the third world.

Anthropological Overview

Anthropologists have found that social stratification is not the standard among all societies. John Gowdy writes, "Assumptions about human behavior that members of market societies believe to be universal, that humans are naturally competitive and acquisitive, and that social stratification is natural, do not apply to many hunter-gatherer peoples." Non-stratified egalitarian or acephalous ("headless") societies exist which have little or no concept of social hierarchy, political or economic status, class, or even permanent leadership.

Kinship-Orientation

Anthropologists identify egalitarian cultures as "kinship-oriented," because they appear to value social harmony more than wealth or status. These cultures are contrasted with economically oriented cultures (including states) in which status and material wealth are prized, and stratification, competition, and conflict are common. Kinship-oriented cultures actively work to prevent social hierarchies from developing because they believe that such stratification could lead to conflict and instability. Reciprocal altruism is one process by which this is accomplished.

A good example is given by Richard Borshay Lee in his account of the Khoisan, who practice "insulting the meat." Whenever a hunter makes a kill, he is ceaselessly teased and ridiculed (in a friendly, joking fashion) to prevent him from becoming too proud or egotistical.

The meat itself is then distributed evenly among the entire social group, rather than kept by the hunter. The level of teasing is proportional to the size of the kill. Lee found this out when he purchased an entire cow as a gift for the group he was living with, and was teased for weeks afterward about it (since obtaining that much meat could be interpreted as showing off).

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Another example is the Indigenous Australians of Groote Eylandt and Bickerton Island, off the coast of Arnhem Land, who have arranged their entire society, spirituality, and economy around a kind of gift economy called renunciation. According to David H. Turner, in this arrangement, every person is expected to give everything of any resource they have to any other person who needs or lacks it at the time. This has the benefit of largely eliminating social problems like theft and relative poverty. However, misunderstandings obviously arise when attempting to reconcile Aboriginal renunciative economics with the competition/scarcity-oriented economics introduced to Australia by Anglo-European colonists. See also the Original affluent society.

Social Impact

Social stratification has been shown to cause many social problems. A comprehensive study of major world economies revealed that homicide, infant mortality, obesity, teenage pregnancies, emotional depression and prison population all correlate with higher social inequality.

Three Characteristics of Stratified Systems

1. The rankings apply to social categories of people who share a common characteristic without necessarily interacting or identifying with each other. The process of being ranked can be changed by the person being ranked.

Example

The way we rank people differently by race, gender, and social class

2. People's life experiences and opportunities depend on their social category. This characteristic can be changed by the amount of work a person can put into their interests.

Example

The greater advantage had by the son or daughter of a king to have a successful life than the son or daughter of a minimum-wage factory worker, because the king has a greater amount of resources than the factory worker. The use of resources can influence others.

3. The ranks of different social categories change slowly over time. This has occurred frequently in the United States ever since the American revolution. The U.S. constitution has been altered several times to specify rights for everyone.

Examples

1. The Declaration of Independence: abolished the monarchy.
2. Article I, Section 9 of U.S. Constitution "No Title of Nobility shall be granted by the United States" - abolished aristocracy.
3. Thirteenth Amendment: ended slavery in the United States.
4. Fourteenth Amendment: granted African-Americans citizenship in the United States
5. Fifteenth Amendment: ended the denial of suffrage based on race.
6. Nineteenth Amendment: the United States government's recognition of women's suffrage.
7. The Civil Rights Act of 1964: ended racial segregation in public places in the United States also extended the right to vote.

6.2.2.1 Nature and Characteristics of Social Stratification

Social stratification is ubiquitous. In all societies there is social differentiation of the population by age, sex, and personal characteristics. The roles and privileges of children differ from those of adults and those of good hunters or warriors differ from those of the rank and file. It is not customary to speak of a society as stratified if every individual in it has an equal chance to succeed to whatever statuses are open. Strictly speaking, there are no purely equalitarian societies, only societies differing in degree of stratification. Even Russia which dreamt of a 'classless society' could not, any more than any other society, escape the necessity of rank-

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ing people according to their functions. The criterion of rank has changed along with values of society. P. A. Sorokin wrote in his 'Social Mobility' that 'Unstratified society with real equality of its members, is a myth which has never been realized in the history of mankind.'

According to MM Tumin the main attributes of stratification are as follows:

It is Social: Stratification is social in the sense, it does not represent biologically caused inequalities. It is true that such factors as strength, intelligence, age and sex can often serve as the basis on which statuses or strata are distinguished. But such differences by themselves are not sufficient to explain why some statuses receive more power, property, and prestige than others. Biological traits do not determine social superiority and inferiority until they are socially recognised and given importance. For example, the manager of an industry attains a dominant position not by his physical strength, nor by his age, but by having the socially defined traits. His education, training skills, experience, personality, character, etc. are found to be more important than his biological equalities.

Further, as Tumin has pointed out, the stratification system is - (i) governed by social norms and sanctions, (ii) is likely to be unstable because it may be disturbed by different factors, and (iii) is intimately connected with the systems of society such as the political, family, religious, economic, educational and other institutions.

It is Ancient: The stratification system is quite old. According to historical and archaeological records, stratification was present even in the small wandering bands. Age and sex were the main criterion of stratification then. 'Women and children last' was probably the dominant rule of order. Difference between the rich and poor, powerful and humble, freemen and slaves was there in almost all the ancient civilizations. Ever since the time of Plato and Kautilya social philosophers have been deeply concerned with economic, social and political inequalities.

It is Universal: The stratification system is a worldwide phenomenon. Difference between the rich and the poor or the 'haves' and the 'have nots' is evident everywhere. Even in the 'nonliterate', societies stratification is very much present. As Sorokin has said, all permanently organized groups are stratified.

It is in Diverse Forms

The stratification system has never been uniform in all the societies. The ancient Roman society was stratified into two strata: the patricians and the plebians, the ancient Aryan society into four Varnas the Brahmins, Kshatriyas, Vaishyas and the Shudras, the ancient Greek Society into freemen and slaves; the ancient Chinese society into the mandarins, merchants, farmers and the soldiers and so on. Class, caste and estate seem to be the general forms of stratification to be found in the modern world. But stratification system seems to be much more complex in the civilized societies.

It is Consequential: The stratification system has its own consequences. The most important, most desired, and often the scarcest things in human life are distributed unequally because of stratification.

The system leads to two main kinds of consequences: (i) 'life chances' and (ii) 'life-styles'. 'Life-chances' refer to such things as infant mortality, longevity, physical and mental illness, childlessness, marital conflict, separation and divorce. 'Life-styles' include such matters as - the mode of housing, residential area, one's education, means of recreation, relationships between the parents and children, the kind of books, magazines and TV shows to which one is exposed, one's mode of conveyance and so on. Life-chances are more involuntary, while life-styles reflect differences in preferences, tastes and values.

It provides for cultural diffusion within the group. The 'caste culture' is passed on from one generation to the next, very systematically. AS Hutton says, the caste canalises an individual's choice in marriage, "acts as his trade union, his friendly or benefit society, his state club and his orphanage: it takes care for him of health, insurance and if need be provides for funeral."

Forms of Social Stratification

Social Stratification

Social Stratification is based on economic, political religious and social grounds. But mainly our economic and political set up decides about social strata. The main forms of Social Stratification are Slavery, Estates, Caste and Class.

6.3 CLASS AS DIMENSION OF STRATIFICATION

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6.3.1 Social Class

Social Class is a principal type of social stratification found especially in the modern civilized countries. If the caste system is found to be unique to India, the class system is universal in nature. Sometimes, the word 'class' is used to represent groups of professors, artists, engineers, doctors, students, etc. The word 'class' is also used to refer the quality of the things whether good, better, best and so on. But the concept of 'social class' is more used in Sociology representing a kind of social stratification than anything else.

Definition

P. Gisbert: A social class is 'a category or group of persons having a definite status in society which permanently determines their relation to other groups'.

Ogburn and Nimkoff: 'A social class is the aggregate of persons having essentially the same social status in a given society'.

Maclver and Page: 'A social class is any portion of the community marked off from the rest by social status'.

Max Weber: social classes are aggregates of individuals 'who have the same opportunities of acquiring goods, the same exhibited standard of living'.

Lapire

'A social class is culturally defined group that is accorded a particular position of status within the population as a whole'.

Thus, it is clear that social class is a segment of society with all the members of all ages and both the sexes who share the same general status. As Maclver says, whenever social intercourse is limited by the consideration of social status by distinctions between higher and lower, there exists a social class.

6.3.2 Nature and Characteristics of Social Class

Class A Status Group: A social class is essentially a status group. Class is related to status. Different statuses arise in a society as people do different things, engage in different activities and pursue different vocations. The consideration of the class as a status group makes it possible to apply it to any society which has many strata. The idea of social status separates the individuals not only physically sometimes even mentally.

Achieved Status and Not ascribed Status: Status in the case of class system is achieved and not ascribed. Birth is not the criterion of status. Achievements of an individual mostly decide his status. Class system provides scope for changing or improving one's status. Factors like income, occupation, wealth, education, 'life-styles' etc., decide the status of an individual.

The Class System is Universal: Class is almost a universal phenomenon. The class system appears in all the modern complex societies of the world. It is a phenomenon that is absent only in the smallest, the simplest, and the most primitive of societies. All other societies of any size have a class structure.

Mode of Feeling: In a class system we may observe three modes of feelings. (i) There is a feeling of equality in relation to the members of one's own class (ii) There is a feeling of inferiority in relation to those who occupy the higher status in the socio-economic hierarchy. (iii) There is a feeling of superiority in relation to those who, occupy the lower status in the

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hierarchy. This kind of feeling develops into class-consciousness and finally results in class solidarity.

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Element of Prestige: Each social class has its own status in society. Status is associated with prestige. The relative position of the class in the social set up arises from the degree of prestige attached to the status. Thus, the status and the prestige enjoyed by the ruling classes or rich classes in every society is superior to that of the class of commoners or the poor people. The prestige which a class enjoys depends upon our evaluations. In many societies knowledge, purity of race or descent, religion, wealth, heroism, bravery and similar other qualities confer a high degree of prestige on the persons possessing them. These qualities on which our evaluations are based vary considerably in different societies, and in the course of time, within the same society.

Element of Stability: A social class is relatively a stable group. It is neither transitory nor unstable like a crowd or a mob. Though status in the case of class is subject to change, it is to some extent stable. Status in the case of class may undergo radical changes in extraordinary circumstances i.e., in times of wars, revolutions, economic, political and social crisis and so on.

Mode of Living: A social class is distinguished from other classes by its customary modes of behavior or mode of behaving. This is often referred to as the “life-styles” of a particular class. ‘Life -styles’ or the modes of living include such matters as the mode of dress, the kind of house and neighborhood one lives in, the means of recreation one resorts to, the cultural products one is able to enjoy, the relationship between parents and children, the kinds of books, magazines and TV shows to which one is exposed, one’s friends, one’s mode of conveyance and communication, one’s way of spending money and so on. ‘Life-styles’ reflect the specialty in preferences, tastes, and values of a class.

Social Class an Open Group: Social classes are ‘open groups’. They represent an ‘open’ social system. An open class system is one in which vertical social mobility is possible. This means there are no restrictions, or at the most only very mild restrictions are imposed on the upward and downward movement of individuals in the social hierarchy. However, a completely open class system and a completely closed class system are only hypothetical.

Social class an Economic Group: The basis of social classes is mostly economic, but they are not mere economic groups or divisions. Subjective criteria such as class-consciousness, class solidarity and class identification on the one hand, and the objective criteria such as wealth, property, income, education, occupation, etc., on the other, are equally important in the class system. Classes, thus, are not merely economic groups, they are something more than these.

Classification of Social Classes: Sociologists have given three-fold classification of classes which consists of (i) Upper Class (ii) Middle Class, and (iii) Lower Class. Warner and Lunt in their study of a New England town [their book being ‘The Social Life of a Modern Community’], have divided each of the traditional classes into two sub-classes.

They have given a six-fold classification consisting of (i) The Upper-Upper Class (ii) The Lower-Upper Class, (iii) The Upper-Middle Class, (iv) The Lower-Middle Class, (v) The Upper-Lower Class, and (vi) The Lower-Lower Class. Karl Marx, the champion of the theory of social class and class conflicts, has spoken of only two major social classes, the ‘haves’ and the ‘have nots’ or the rich and the poor, or the capitalists and the workers, or the Bourgeoisie and the Proletariat. Sorokin has spoken of three major types of class stratification. They are economic, political, and occupational classes.

Class Consciousness: Class system is associated with class consciousness. Class consciousness is “the sentiment that characterizes the relations of men towards the members of their own and other classes.” It “consists in the realization of a similarity of attitude and behavior with members of other classes.” Class consciousness is the means by which the

integration of persons possessing a similarity of social position and of life-chances is transformed into a common group activity.

Conditions of Class-Consciousness: Ginsberg has mentioned three conditions of class consciousness. First is the ease and amount of social mobility. If movement up and down is easy and rapid, differences in mode of life disappear; if it is possible but not easy, the consciousness of differences is increased. The second condition of class consciousness is rivalry and conflict. When the members of a class realize their common interests, then they may think of defending their interests against the common enemy. The third factor is the growth of a common tradition embodying common standards of value and common experiences. When the people come to possess common traditions and common experiences, they may develop class consciousness.

Class Consciousness and Class Struggle: Karl Marx, who championed the cause of workers, laid great emphasis on 'class consciousness' among the working classes. According to Marx, the rise of class consciousness among the workers leads to their class identification, class solidarity and finally to class struggle. Hence he gave a clarion call to the workers in his Manifesto of the Communist Party of 1848 that "Workers of the world unite, you have nothing to lose, but your chains, you have a world to win". Class consciousness can be transformed into same group activity with the help of some organ or instrument. Political party is such an organ. Hence, Lenin added the idea of a party in Marxism to prepare the workers for class struggle.

6.4 CASTES AS A DIMENSION OF STRATIFICATION

6.4.1 Cast System

Definition

'Caste' is so complex a phenomenon which is difficult to define. Writers and thinkers are not unanimous in their opinion regarding caste, its definition and characteristics. Hence caste has been defined variously.

Sir Herbert Risley

Caste is a "collection of families, bearing a common name, claiming a common descent, from a mythical ancestor, human and divine, professing to follow the same hereditary calling and regarded by those who are competent to give an opinion as forming a single homogeneous community."

"When status is wholly predetermined so that men are born to their lot without any hope of changing it, then the class takes the extreme form of caste." **-MacIver and Page**

"When a class is somewhat strictly hereditary, we may call it a caste". **-C.H. Cooley**

"Caste is a system of stratification in which mobility up and down the status ladder, at least ideally may not occur". **-A. W. Green**

"A caste is a group having two characteristics; (i) membership is confined to those who are born of members and includes all persons so born, (ii) the members are forbidden by an inexorable social law to marry outside the group." **-Ketkar**

D.N. Majumdar and T.N. Madan have said that caste is a 'closed group'.

6.4.2 Characteristics of Caste

The caste system is highly complex in nature. As Dr. G.S. Ghurye says, any attempt to define caste is 'bound to fail because of the complexity of the phenomenon'. He describes the characteristics of caste in his Caste and Class in India. The following have been the main traditional features of the caste system.

Caste as a Hierarchical Division of Society

The Hindu society is gradational one. It is divided into several small groups called castes and sub-castes. A sense of 'highness' and 'lowness' or 'superiority' and 'inferiority' is associated

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with this gradation or ranking. The Brahmins are placed at the top of the hierarchy and are regarded as 'pure', supreme or superior. The degraded caste or the so called 'untouchables' [Harijans] have occupied the other end of the hierarchy. All over India neither the supremacy of the Brahmins nor the degraded position of the Harijans or 'outcastes' has been questioned. It is taken for granted, but regarding the exact position of the intermediary castes there are disputes on the part of the members.

Caste as a Segmental Division of Society

The Hindu society is a caste-ridden society. It is divided into a number of segments called 'castes'. It is not a homogeneous society. Castes are groups with defined boundary of their own. The status of an individual is determined by his birth and not by selection nor by accomplishments. No amount of power, prestige and pelf can change the position of man. The membership of the caste is hence unchangeable, unacquirable, inalienable, unattainable and nontransferable. Further, each caste in a way has its own way of life. Each caste has its own customs, traditions, practices and rituals. It has its own informal rules, regulations and procedures. There were caste councils or 'caste panchayats' to regulate the conduct of members also. The caste used to help its members when they were found in distress. Indeed, 'the caste was its own ruler'.

Caste Panchayat

During the early days in every village every caste used to have its own caste Panchayat. It consisted of five chosen members who enjoyed much social privilege and respect. The caste panchayat used to perform a number of functions. It used to make the members comply with caste rules and regulations. Settling caste disputes and giving its final verdict on the issues referred to it, were also its other functions. It was giving punishments to those who violated caste rules and obligations. Matters such as breaking the marriage promise, refusal on the part of the husband to take the wife to his house, cruelty to wife, adultery on the part of wife, killing the cows, insulting the Brahmins, having illicit sex relations with other caste people, etc., were dealt with by the panchayat. It was giving punishments such as arranging dinner party for the fellow caste-men, imposing fine, purification, pilgrimage, out casting etc., for the offenders. The caste panchayat was also striving to promote the welfare of the caste members. Safeguarding the interests of the caste members was yet another function of the panchayat. These caste panchayats have become weak and ineffective now a-days.

The castes and sub castes together make up the Hindu social system. Still in some respects each is isolated from the other. It is in a way semi sovereign. The castes are a 'complete world' in themselves for their members. The members are expected to be loyal to the caste. Caste feeling is hence very strong. It is very much stronger in rural areas than in the urban area. It is because of this the amount of community-feeling is restricted.

Restrictions on Food Habits

The caste system has imposed certain restrictions on the food habits of the members, they differ from caste to caste. Who should accept what kind of food and from whom? is often decided by the caste. For example, in North India, a Brahmin would accept 'pakka' food only from some castes lower than his own. But he would accept 'kachcha' food at the hands of no other caste except his own.

As a matter of rule and practice, no individual would accept 'kachcha' food prepared by an inferior caste man. Generally, any kind of food that is prepared by the Brahmins is acceptable to all the caste people. This factor explains as to why the Brahmins dominated the hotel industry for a long time. Further, restrictions are also there still on the use of certain vegetables for certain castes. Even today, some traditional Brahmins do not consume onions, garlic, cabbage, carrot, beetroot, etc. Eating beef is not allowed except for the Harijans.

Restrictions on Social Relations

The caste system puts restrictions on the range of social relations also. The idea of 'pollution' makes this point clear. It means a touch of a lower caste man (particularly Harijan) would

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pollute or defile a man of higher caste. Even his shadow is considered enough to pollute a higher caste man. In Kerala for a long time, a Nayar could approach a Nambudari Brahmin but would not touch him. Further, a Tiyan was expected to keep himself at a distance of 36 steps from the Brahmin and apulaya at a distance of 96 paces. In Tamilnadu the Shanar toddy tapper was expected to keep a distance of 24 paces while approaching a Brahmin. This has resulted in the practice of untouchability. This practice has made the lower caste people to be segregated completely from the higher caste.

Social and Religious Disabilities of Certain Castes

In the traditional caste society some lower caste people [particularly, the Harijans] suffered from certain civil or social and religious disabilities. Generally, the impure castes are made to live on the outskirts of the city or the village. In south India, certain parts of the towns or the villages are not accessible to the Harijans. It is recorded that during the Peshwa rule in Maharashtra the Mahars and Mangs were not allowed within the gates of Poona before 9.00 A.M. and after 3.00 P.M. The reason was during that time their bodies would cast too long shadows which, if they were to fall on the Brahmins, would defile them.

Socially, Harijans or the so called 'untouchables' are separated from other members. Even today, in many places they are not allowed to draw water from the public wells. During the early days, public places like hotels, hostels, public lecture halls, schools, temples, theatres were not kept open for the lower caste people. Entrance to temples and other places of religious importance was forbidden for them. Educational facilities, legal rights and political representation were denied to them for a long time. In South India, restrictions were placed on the mode of constructing houses of the lower caste people, and their types of dresses and patterns of ornamentation. The toddy-tappers of Malabar were not allowed to carry umbrellas, to wear shoes or golden ornaments and to milk cows. They were forbidden to cover the upper part of their body.

The Civil and Religious Privileges of Certain Castes

If the lower caste people suffer from certain disabilities, some higher caste people like the Brahmins enjoy certain privileges. Nowhere the Brahmins suffered from the disabilities cited above. They are given more liberty, because they are believed to be born 'pure' and 'superior'. The Brahmins never saluted others, but they always had the privilege of being saluted by others. They never even bowed to the idols of the lower caste people. Education and teaching were almost the monopoly of the higher caste people. Chanting the Vedic Mantras was great privilege of the Brahmins. The upper caste people in general, enjoyed social, political, legal and religious privileges.

Restrictions on Occupational Choice

In the caste-ridden society there is a gradation of occupations also. Some occupations are considered to be superior and sacred while certain others degrading and inferior. For a long time, occupations were very much associated with the caste system. Each caste had its own specific occupation. The caste members were expected to continue the same occupations. Occupations were almost hereditary.

Weaving, shoe-making, oil-grinding, sweeping, scavenging, curing, hides tanning, washing clothes, barbering, pottery, etc., were considered to be somewhat 'degrading'. Learning, priesthood, teaching were the prestigious professions which mostly the Brahmins pursued. Individual talents, aptitudes, interests, enterprise, abilities, and achievements were neglected. But agriculture, trade and laboring in the field were thrown open to all the castes. At the same time, no caste would allow its members to take up to any profession which was either degrading or impure.

Restrictions on Marriage

The caste system imposes restrictions on marriage also. Caste is an endogamous group. Endogamy is a rule of marriage according to which an individual has to marry within his or

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her group. Each caste is subdivided into several sub castes, which are again endogamous. For example, Iyers, Iyengars, Smarthas, Madhvas, Having Brahmins, Kota, Shivalli, Kandavara Brahmins, etc., are all Brahmin sub castes which are endogamous. Similarly, the Vokkaliga caste consists of Morasu, Hallikar, Nonaba, Gangadiga and other sub castes.

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According to the rule of endogamy a Shivalli Brahmin, for example, has to marry a Shivalli girl, an Iyengar, an Iyengar girl and so on. Intercaste marriages were strictly forbidden then. Even at present, intercaste marriages have not become popular. Violation of the rule of endogamy was strictly dealt with during the early days. This rule of endogamy has resulted in close in-breeding. Some writers like Hutton have regarded endogamy as the very essence of the caste system. Exception to this rule of endogamy is seen in places like the hill parts of Punjab and also in Malabar. The Caste provides for some kind of exogamous marriages also. They can be briefly examined here.

Sapinda and Sagotra Exogamy

Sapinda and Sagotra marriages have been generally forbidden by the upper castes and Sapinda and Sagotra exogamous marriages have been insisted upon.

Sapinda Exogamy: In Hindu society marriage within the 'Pinda' is prohibited. Pinda means common parentage. According to Brahaspathi, off-springs from five maternal generations and seven paternal generations are 'Sapinda' and they cannot intermarry. This opinion, however, is not universally accepted. Though certain exceptions are there in South India, in North India, generally, Sapinda marriages do not take place. But Sapinda exogamy that is, marrying outside one's pinda is commonly found.

Sagotra Exogamy

Sagotra exogamy, that is, marrying outside one's own 'gotra' is very much prevalent among the upper caste such as Brahmins and Kshatriyas. Marriage within the gotra is prohibited. This restriction has been imposed since people of one gotra are believed to have similar blood. Similarly, Sapravara marriages are also forbidden especially for the Brahmins. Persons belonging to the same pravara cannot intermarry. People who utter the name of a common saint at religious functions are believed to belong to the same pravara. The pravara is a kind of religious and spiritual bond. Sapravara exogamy, that is, marrying outside one's own pravara, has been imposed as a rule for the upper castes, especially for the Brahmins.

Merits of Caste System

1. It has provided every individual with a fixed social environment. In the words of Hutton individual is provided in this way with a permanent body of associations which control almost all his behavior and contacts, his caste channelises his choice in marriage, acts as his trade union, his friendly and beneficent society, his estate, his club, his orphanage". It takes care of the sick man and, if it need be, "provides for his funeral".
2. Caste system has created the spirit of cooperation and fellow feeling among members of the same caste. By helping the poor and needy it has reduced the burden of the state in supporting the poor.
3. Caste system defines the economic pursuits of the individuals. Each caste has a fixed occupation so that the child's future is carved out for him. Ancient India had craftsmen and cultivators who were extremely skillful.
4. Racial purity is also preserved through caste system, especially the purity of the higher caste. This is done by forbidding indiscriminate inter-caste marriages. The habits of cleanliness are maintained by insisting on ritual purity.
5. Caste system also influences intellectual mobility. It influences the intellectual makeup of an individual. Since the caste dictates, to each of its member's customs to be observed in the manner of diet, ceremonies, or marital alliances, his views on social and political matters are bound to be influenced by the caste customs. The spirit of equality is nourished within the group. Caste system develops class consciousness without breeding class struggles. It has created an efficient organisation of Hindu society without giving

any chance to class frictions and struggles. It has the best device to organize within one society, people of different cultural levels. It prevented 212 the country from splitting up into different racial units. It has integrated Indian society into one vast community and provided the country with a stable and orderly organisation of society.

6. Caste system also helps in cultural diffusion within the group i.e., the caste customs, traditions, beliefs, behavior, skills, ideas, trade secrets are passed on from one generation to the other. In this way culture is carried on from one age to the other.
7. Various functions which are necessary in the life of an individual are provided by caste system. Functions ranging from education to scavenging, from government to domestic service are made under the sanction of a religious dogma.

6.4.3 Demerits of the Caste System

1. There are also demerits in the caste system. Since the individual has to follow the caste occupation and cannot change it according to his likes and dislikes leads to stagnation. It deprives him from doing a job of his choice. Irrespective of ones likes and dis-likes one has to continue only his traditional hereditary occupation.
2. Caste system also leads to untouchability. According to Gandhiji “untouchability is the hate fullest expression of caste”. A large section of people are reduced to the state of virtual slavery due to the caste system. Certain section of the people in the society is branded as untouchables. They were made to live in seclusion and they were deprived of the meager necessities of life. They are actually made to rot in life.
3. Solidarity is also retarded in the caste system. It obstructs the growth of solidarity and brotherhood in the Hindu society by rigidly separating one caste from another and denying any type of social intercourse between them.
4. Caste system often results in putting a man in the wrong occupation. The caste in which one is born always decides ones position in life or his occupation. He is not permitted to take up any other profession though he may possess the skill and may like that job.
5. Caste system is also an obstacle to national unity. Caste system has proved an obstacle for the growth of national unity as people from a lower caste have always felt discontented at the place given to them in society. According to G.S. Ghurey “It is the spirit of caste patriotism which endangers opposition to other castes and creates an unhealthy atmosphere for the growth of national consciousness.”
6. The social and economic progress of the nation is also hampered due to the caste system. Since people believe in the theory of Karma they become Conservative in their ideas.
7. Caste system is also undemocratic because it does not give equal rights to all people irrespective of their caste, creed or color. Social barriers are created in the way of lower caste individuals who are not given any freedom in their all round development, and they are not provided with any opportunities for such developments. It is on this account that modern democracies have discouraged the caste division of society.

As James Bryce says, social structure is an important factor where men are divided by language, or by religion, or by caste distinctions grouped on race or on occupation. There are grounds for mutual distrust and animosity which make it hard for them to act together or for each section to recognise equal rights in the others. Though they may not avert class wars it helps each class of the community to understand the mind of the others and creates a general opinion in the county.

6.4.4 Changes in the Caste System

The caste system which is an integral part of the Indian system, has a long standing history of its own. To understand how the system has come to be what it is today, one has to go back through the pages of history to trace its origin, evolution and growth. It is not easy to say precisely when, how and under what circumstances and pressures the system took its birth and developed. The task of tracing the evolution and growth of this system in precise and unambiguous terms is equally problematic. For the purpose of study three main stages in the evolution of caste may be identified. They are mentioned below:

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Estates as Political Groups: The feudal estates were political groups. All assembly of estates possessed political power. From this point of view the serfs did not constitute an estate until the 12th Century A.D. The decline of Education feudalism after the 12th Century is associated with the rise of a third estate. The third estate behaved for a long period within the feudal system as a distinctive, group before they overthrew it. Thus the three estates clergy, nobility and the commoners functioned like three political groups. As far as participation in government was concerned, the clergy used to stand by the nobility. In France, the political position was more rigid. This system of three estates remained there until 1789, that is, till the outbreak of the Revolution. In the French Parliament called 'States General', these estates used to sit separately and not together. That differentiation within the estates prevailed for a long time. The political movement of the French Revolution brought about some radical changes in France.

6.4.5 Differences between Caste and Class

Caste and class represent two main forms of social stratification. They can be distinguished on the following grounds.

CASTE	CLASS
1. Particular: The system with all its peculiarities is unique to India. It is peculiar to India and hence it is not universal.	1. Universal: The class system is universal in nature. It is found in almost all the modern complex societies.
2. Ascribed Status: Status is ascribed to the individuals by birth. Birth is the criterion of status and not achievement. Status can neither be changed nor be improved.	2. Achieved Status: Status is achieved by the individuals. There is scope for achievement. Hence, status can be changed or improved.
3. Closed system: Caste is a closed system. It restricts social mobility; i.e., the movement of people from one social status to that of the other.	3. Open system: Class is an open system. It provides for social mobility. Individuals can move from the lower class to the upper class.
4. Divine Origin: The caste system is believed to have had a divine origin. It is closely associated with Hindu tradition.	4. Secular: The class system is secular. It has nothing to do with religion. It has been given no religious explanation.
5. Purity and Impurity: The idea of purity and impurity is associated with the caste, some castes are called 'pure' while others are regarded as 'impure'. 'Impure' castes are regarded as 'untouchables'.	5. Feeling of Disparity: There is a feeling of disparity on the part of the members of a class. The question of purity and impurity does not arise. Hence there is no practice of unsociability.
6. Regulation of relations: The caste system controls the activities and regulates the relations of its members to a great extent. As MacIver says, it fixes the role of a man in society. It regulates even the routine activities of the members.	6. Limits Relations: The class system, on the other hand, limits the range of contacts and communications of its members. Individuals are more free in a class. It does regulate the daily tasks of its members.
7. Greater Social Distance: There is comparatively a greater distance being kept between different castes.	7. Less Social Distance: There is less social distance between different classes. Members are more tolerant than others.
8. Conservative: The caste ridden system tends to become conservative, orthodox and reactionary. Castes become in course of time, water-tight compartments.	8. Progressive: The class-laden system is regarded as more progressive. Classes give more freedom to the members. It permits greater social mobility.
9. Endogamous Group: Caste is an endogamous social unit. Accordingly, every caste member has to marry within the group selecting the life partner from his or her own caste. Intercaste marriages are not allowed.	9. Not endogamous: A class is not an endogamous unit. The members are free to select his or her life partner from any of the classes. The class system never imposes restrictions on marriage.

6.5 THEORIES OF STRATIFICATION

Karl Marx

In Marxist theory, the capitalist mode of production consists of two main economic parts: the substructure and the Superstructure. The base comprehends the relations of production employer-employee work conditions, the technical division of labor, and property relations into which people enter to produce the necessities and amenities of life. In the capitalist system, the ruling classes own the means of production, which essentially includes the working class itself as they only have their own labor power ('wage labor') to offer in order to survive. These relations fundamentally determine the ideas and philosophies of a society, constituting the superstructure. A temporary status quo is achieved by various methods of social control employed, consciously or unconsciously, by the bourgeoisie in the course of various aspects of social life. Through the ideology of the ruling class, false consciousness is promoted both through ostensibly political and non-political institutions, but also through the arts and other elements of culture. Marx believed the capitalist mode would eventually give way, through its own internal conflict, to revolutionary consciousness and the development of egalitarian communist society.

According to Marvin Harris and Tim Ingold, Lewis Henry Morgan's accounts of egalitarian hunter gatherers formed part of Karl Marx and Engels' inspiration for communism. Morgan spoke of a situation in which people living in the same community pooled their efforts and shared the rewards of those efforts fairly equally. He called this "communism in living" But when Marx expanded on these ideas, he still emphasized an economically oriented culture, with property defining the fundamental relationships between people.

Yet, issues of ownership and property are arguably less emphasized in hunter gatherer societies. This combined with the very different social and economic situations, of hunter gatherers may account for many of the difficulties encountered when implementing communism in industrialized states. As in gold points out: "The notion of communism, removed from the context of domesticity and harnessed to support a project of social engineering for large scale, industrialized states with populations of millions, eventually came to mean something quite different from what Morgan had intended: namely, a principle of redistribution that would override all ties of a personal or familial nature, and cancel out their effects".

Max Weber

Max Weber was strongly influenced by Marx's ideas, but rejected the possibility of effective communism, arguing that it would require an even greater level of detrimental social control and bureaucratization than capitalist society. Moreover, Weber criticized the dialectical presumption of proletariat revolt, believing it to be unlikely. Instead, he developed the three-component theory of stratification and the concept of life chances. Weber supposed there were more class divisions than Marx suggested, taking different concepts from both functionalist and Marxist theories to create his own system. He emphasized the difference between class, status, and power, and treated these as separate but related sources of power, each with different effects on social action. Working at half a century later than Marx, Weber claimed there to be in fact four main classes: the upper class, the white collar workers, the petite bourgeoisie, and the manual working class. Weber's theory more-closely resembles modern Western class structures, although economic status does not seem to depend strictly on earnings in the way Weber envisioned.

Weber derived many of his key concepts on social stratification by examining the social structure of Germany. He noted that contrary to Marx's theories, stratification was based on more than simply ownership of capital. Weber examined how many members of the aristocracy lacked economic wealth yet had strong political power. Many wealthy families lacked prestige and power, for example, because they were Jewish. Weber introduced three independent factors that form his theory of stratification hierarchy; class, status, and power.

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A person's economic position in a society. Weber differs from Marx in that he does not see this as the supreme factor in stratification. Weber noted how managers of corporations or industries control firms they do not own; Marx would have placed such a person in the proletariat.

Status

A person's prestige, social honor, or popularity in a society. Weber noted that political power was not rooted in capital value solely, but also in one's individual status. Poets or saints, for example, can possess immense influence on society with often little economic worth.

Power

A person's ability to get their way despite the resistance of others. For example, individuals in state jobs, such as an employee of the Federal Bureau of Investigation, or a member of the United States Congress, may hold little property or status but they still hold immense power.

6.6 SUMMARY

Social differentiation is an important attribute of society, especially modern society. The concept of differentiation spread within sociology since Herbert Spencer's evolutionary theory of societal development from incoherent homogeneity to coherent heterogeneity. Later on, Emile Durkheim, Georg Simmel, Talcott Parsons, and Niklas Luhmann were important proponents of the concept. Other social thinkers, such as Karl Marx and Max Weber, who did not use the term differentiation prominently nevertheless contributed to a proper understanding of the social structures and dynamics it designates. In sociology the socio-economic is a concept of class, involving the "classification of persons into groups based on shared socio-economic conditions a relational set of inequalities with economic, social, political and ideological dimensions." In modern Western societies, stratification is broadly organized into three main layers: upper class, middle class, and lower class. Each class may be further subdivided into smaller classes (example occupational).

6.8 REVIEW QUESTIONS

1. Define social differentiation and explain the characteristics of stratification.
2. What are the causes and consequences of social differentiation?
3. Define social stratification and explain its nature and characteristics of social stratification.
4. Discuss about the class as dimension of stratification.
5. Define social class, explain its nature and characteristics of social class.
6. Explain caste as a dimension of stratification.
7. Define caste system and explain the characteristics of caste.
8. What are the changes and demerits of the caste system?
9. Distinguish between caste and class.
10. Explain the theories of stratification.

Unit 7

SOCIAL INTERACTION AND PROCESSE

Structure

- 7.1 Introduction
- 7.2 Social Interaction and Social Process
 - 7.2.1 Social Interaction
 - 7.2.2 Social Process
- 7.3 Classification of Social Process
 - 7.3.1 Associative process
 - 7.3.2 Dissociative Process
- 7.4 Social Disorganization
 - 7.4.1 Causes of Social Disorganisation
 - 7.4.2 Types of Social Disorganization
- 7.5 Summary
- 7.6 Review Questiones

7.0 AIMS AND OBJECTIVES

At the end of this unit you will beable to understand:

- Describe Social Interaction and Social Process
- Importance and Classification of Social Process
- Delineate Social Disorganisation.

7.1 INTRODUCTION

Society is a system of social relationships. The term social relationship refers to the relationship that exists among people. We may witness such relationships between father and son, employer and employee, teacher and student, merchant and customer, leader and follower, or between friends and enemies, between children, etc. Such relationships are among the most obvious features of society. Sociology must analyze and classify social relationships because they represent social facts and social data. Social relationships represent the functional aspects of society. Analyzing the classifying social relationships is a difficult task. Social relationships involve reciprocal obligations, reciprocal statuses, and reciprocal ends and means as between two or more actors in mutual contact. They refer to a pattern of interaction between these individuals and this is why the school of Sociology which has attempted to systematize its thought in relationship terms has been called the formal school. Simmel, Von wise, Park, Burgess, Becker belong to this school. Thus social relationships may be studied by the kind or mode of interaction they exhibit. These kinds or modes of interaction are called social processes.

7.2 SOCIAL INTERACTION AND SOCIAL PROCESS

7.2.1 Social Interaction

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Society is not only a system of moral norms and defined statuses which embody those norms; it is also a system in action. As individuals and groups meet, as they strive, as they attempt to solve problems, their statuses and even their moral norms are to some extent changed. Thus, moral norms and statuses comprise the static element in society; social interaction, the dynamic element. Social interaction discloses the concrete results of striving behaviour upon roles, statuses, and moral norms. Social interaction represents the social dynamics. People are always engaged in action. People in action with others mean interaction in some measure and form. Social processes are merely the characteristic ways in which interaction occurs. Interaction is always subtle, complex and dynamic. It can never be totally identified with one social process to the exclusion of all the others. Any concrete situation always contains more than one process. The different social processes depend upon the most inclusive social process, i.e., social interaction.

Meaning of Social Interaction

Social interaction is the foundation of society. It is the very essence of social life. Hence, the concept is crucial to any study of the dynamics of society and culture. Without interaction there would be no group life. Mere presence of individuals in a place does not weld them into a social unit or group. It is when persons or groups of persons do such things as work or play or talk together with common end, or when they compete or quarrel with each other that group life, properly speaking, exists. Thus, it can be said that interaction is the basic social process, the broadest term for describing dynamic social relationships. Social interaction is the dynamic element in society, while statuses and norms represent its static element. It is true that life is stable, confined and defined by traditional systems, norms and patterned ways. It is also true that life is fast-moving, dynamic and changing, breaking out at the weak point. People are on the move. They are striving, competing, conflicting, cooperating, appealing, adjusting, reconciling and then challenging again. This action element or functional element itself represents social interaction.

Definition

‘Social interaction is the general process whereby two or more persons are in meaningful contact as a result of which their behaviour is modified however slightly.’

-Eldredge and Merrill

‘Social interaction is a process whereby men interpenetrate the minds of each other’.

- Dawson and Gettys

‘Social interaction is the reciprocal influence human beings exert on each other through inter-stimulation and response’

-Gish, N.P.

Two Conditions of Interaction: Park and Burgess are of the opinion that contact and communication are the two main conditions of social interaction.

Contact: Contact is the first stage of interaction. Contact means simply a coming together of independent social units [individuals]. It involves a mutual response, an inner adjustment of behaviour to the actions of others. The two kinds of contact are: (i) contact in time and (ii) contact in space. The first one refers to contact of group with the earlier generations through customs, traditions, folkways, morals, etc. The second one refers to the relationship between contemporary individuals and groups within a particular area. The contacts may be primary and personal or secondary and impersonal in nature.

Communication: Communication is the medium of interaction. In communication one person infers from the behaviour of another the idea or feeling of the other person. It may take

place at three levels through the senses, the emotions and the sentiments and ideas. The first two are called 'the natural forms of communication'. They are common to man and the animals. On the sensory level, seeing, hearing, smelling, and touching all play a role in evoking responses. On the emotional level, such thing as facial expression, blushing and laughing arouse responses. Communication on the third level, taking place, through the intellect, is, strictly limited to man. Here speech and language play an important role. Language helps man to transmit abstract ideas to his fellow beings. It facilitates the transmission of cultural heritage.

Direct and Symbolic Interaction: Interaction may be direct or symbolic. Direct interaction refers to the activities of a person which may be seen in such conduct as pushing, fighting, pulling, embracing, dashing, or in other forms of bodily contact with other individuals. Symbolic interaction consists of vocal or other gestures and language, spoken or written. A symbol is a summary of experience. It may represent an object, act, quality, value, idea or any expected response. Language is the rich store-house of such symbols.

Interstimulation and Response: The central nature of interaction is interstimulation and response. One stimulates the actions, thought or emotions of another person and responds to the similar behaviour of the others. Interaction increases mental activity, fosters comparison of ideas, sets new tasks, accelerates and discovers the potentialities of the individual.

Importance of Interaction: Social interaction is the basic condition of our social existence. It is the most inclusive group process. It is a context in which the personality grows. Man cannot be called man outside the range of human interaction. Groups develop through interaction with other groups and disintegrate without some stimulation from outside. Society exists only when a large number of persons are interacting. Human interaction takes place in the context of social expectations, rules and norms. Social interaction is the basic process through which human nature and social structure develop and are changed.

7.2.2 Social Process

The Concept of Social Process

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Social relationships represent the functional aspects of society. Analyzing the classifying social relationships is a difficult task. Social relationships involve reciprocal obligations, reciprocal statuses, and reciprocal ends and means as between two or more actors in mutual contact. They refer to a pattern of interaction between these individuals and this is why the school of Sociology which has attempted to systematize its thought in relationship terms has been called the formal school. Simmel, Von wise, Park, Burgess, Becker belong to this school. Thus social relationships may be studied by the kind or mode of interaction they exhibit. These kinds or modes of interaction are called social processes. Social processes are the fundamental ways in which men interact and

Definition of Social Process

"Social process is the manner in which the relations of the members of a group, once brought together, acquire a distinctive character".

--MacIver

The "Social processes are merely the characteristic ways in which interaction occurs".

--A. W. Green

"Social processes mean the various modes of interaction between individuals or groups including cooperation and conflict, social differentiation and integration, development, arrest and decay".

--Ginsberg

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The term social processes refer to the “repetitive forms of behaviour which are commonly found in social life.”
--Horton and Hunt

Forms of Social Interaction

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The society contains hundreds and perhaps thousands of socially defined relationships. These relationships are beyond measurement. It is humanly impossible for any individual to make a detailed study of each and every social relationship. Instead they must be classified and dealt with as ‘general types’. For this reason social relationships have been classified and discussed in terms of the ‘kinds of interaction’ they manifest. These kinds of interaction or ‘patterns of interaction’ are called social processes. The kinds of interaction or social processes include cooperation, competition, conflict, contravention, accommodation, assimilation, accumulation, isolation, differentiation, disintegration etc.

The forms of social interaction are classified into two categories, namely (a) associative and (b) dissociative processes. The processes of cooperation, accommodation, assimilation, acculturation and integration are grouped under associative processes contribute to unity, integration and solidarity among individuals and groups. Competition and conflict are grouped under dissociative processes, as they are considered to contribute towards division of persons and groups and hence result in disunity and certain degree of disintegration, though temporary. However some Sociologists argue that the processes of competition and conflict have many positive consequences.

Social interaction refers to the entire range of social relationships. It is the reciprocal influence mutually exerted by humans through their stimulation and mutual response. Social interaction takes place between (i) Individual and individual (ii) Individual and group (iii) Group and group.

- (1) According to Green, “Social interaction is the mutual influences that individuals and groups have on one another in their attempts to solve problems and in their striving towards goals.”
- (2) According to Eldredge and Merrill, “Social interaction is the general process whereby two or more persons are in meaningful contact as a result of which their behavior is modified, however slightly.”
- (3) According to Dawson and Gettys, “Social interaction is a process whereby men interpenetrate the minds of each other”.

Social interaction has four main aspects such as contact, communication, form and structure. Social interaction only takes place within a social structure. Various social processes are the forms of interaction. Social contact and communication are two important pre-requisites of social interaction.

(1) Social Contact: Ordinarily coming together of two individuals is contact. Kingsley Davis opines the form of contact becomes social when the concerned people have some meaning in it and feeling of communication. In other words it constitutes human contact and interaction. According to Gillin and Gillin “Social contact is the first phase of interaction”.

Social contacts are always established through the medium of some sense organs. It is established through the medium of radio, telephone etc. and is strengthened by physical contacts like kissing, shaking of hands etc. Social contact can be positive as well as negative. Positive social contact includes co-operation, accommodation and assimilation while negative social contact includes hatred, jealousy and conflict.

(2) Communication: Communication is another condition of interaction. Without communication there can be no contact. It is another aspect of contact. In communication an individual assesses the thoughts and feelings of another person and his behavior. The important means of communication are the language, radio, T.V. newspaper, gestures etc. through which social contact is established. The easiest way of communicating thoughts and feeling is through

language. Language communication may be oral or written. But unwritten and unspoken communication is also possible through signs and symbols.

Thus contact and communication are necessary for social interaction.

The system of social interaction is called social process. The fundamental ways in which people establish social relationship and interact are called social process. It refers to the repetitive forms of behavior which are commonly found in social life. Social interaction normally occurs in the form of accommodation, assimilation, cooperation, competition and conflict. These forms of social interaction are also called as social processes.

These are the modes of social interaction. In society individuals continuously come in contact with one another. They cooperate and compete with each other for the realization of their respective aims and struggle for their rights. Hence social processes found continually in society.

There exists a very close relationship between social interaction and social process. We can't understand one without help from the other. When social interaction through repetition leads to a result it is called a social process.

- (1) According to MacIver, "Social Process is the manner in which the relations of the members of a group, once brought together, acquire a distinctive character".
- (2) According to Gillin and Gillin, "By social process we mean those ways of interacting which we can observe when individuals and groups meet and establish system of relationships of what happens when changes disturb already existing modes of life."
- (3) Horton and Hunt opinion "The term social process refers to the repetitive form of behavior which is commonly found in social life."
- (4) According to Morris Ginsberg, "Social processes are the various modes of social interaction between individuals or groups including co-operation and conflict, social differentiation and integration, development, arrest and decay."

7.3 CLASSIFICATION OF SOCIAL PROCESS

Sociologists are not unanimous regarding the classification types or forms of social processes. It has been classified differently by different sociologists. Some sociologist classified it into two types such as:

- (i) Conjunctive social process
- (ii) Disjunctive social process

E.A. Ross had prepared a list of 38 kinds of social process.

Blackinar and Gillin classified social processes into six categories.

Park and Burgess classified it into four fundamental types of interaction such as competition, conflict, accommodation and assimilation.

L. Von.Wiese and H. Buker classified social processes into 650 types.

But inspite of all these classifications social processes can broadly be categorized into two types such as associative and dissociative process. Famous German Sociologist George Simmel first discussed about these two processes.

However we will discuss major types of social processes under two broad headings. They are:

- (a) Associative process
- (b) Dissociative process.

(a) Associative process: Associative processes are also called the integrative or conjunctive social processes which are essential for the integration and progress of the society. The major types of associative processes are the following. Co-operation Accommodation Assimilation Acculturation

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(b) Dissociative process: Dissociative social processes are also called the disintegrative or disjunctive social processes. Although these processes hinder the growth and development of society, their absence results in stagnation of society. Few important types or dissociative processes are:

- Competition
- Conflict
- Contravention
- Differentiation

7.3.1 Associative process

I. Co-Operation

Co-operation is the most fundamental associative social process. The term “Co-operation” has been derived from two Latin words: ‘Co’ means ‘together’ and ‘Operari’ meaning ‘to work’. Hence co-operation means working together or joint activity for the achievement of common goal or goals. So it is a process in which individuals or groups work unitedly for the promotion of common goals or objectives. It is a goal oriented social process. It is very important as the human society and its development have been possible with co-operation.

Definitions

Co-operation is clearly defined by many scholars. Some of the definitions are given below:

- (i) Co-operation is “the continuous and common endeavour of two or more persons to perform a task or to reach a goal that is commonly cherished.” **--A.W. Green**
- (ii) “Co-operation is the process by which the individuals or groups combine their effort, in a more or less organised way, for the attainment of common objective.” **--Fair Child**

- (iii) “Co-operation is a form of social interaction wherein two or more persons work together to gain a common end.” **--Merrill and Eldrege**

C.H. Cooley has summarised co-operation in the following terms: “Co-operations arises when men see that they have a common interest and have, at the same time, sufficient intelligence and self control to seek this interest through united actions : Prescribed unity of interest and the faculty of organization are the essential facts in intelligent combination.”

It is evident from the above definitions that co-operation is a process of social interaction in which two or more individuals or groups combine their efforts to achieve certain commons ends and objectives.

Ex:

- (i) The Indians irrespective of their caste, race, creed, religion etc. differences fought against the British unitedly to achieve independence.
- (ii) The Indian agriculture is mainly based on the co-operative spirit of the farmers.

Conditions of Co-Operation

The process of co-operation involves two important elements. They are:

- (a) Common end or purpose.
- (b) Organised effort.

The achievement of common end calls for the organised efforts of individuals or groups such efforts should be pre-planned and properly organised. It is not possible for people to promote the process of co-operation without these two essential elements.

Characteristics of Co-Operation

Followings are some of the important characteristics of co- operation.

- (a) **Continuous Process:** It is a continuous process. There is continuity in the collective efforts in Co-operation.

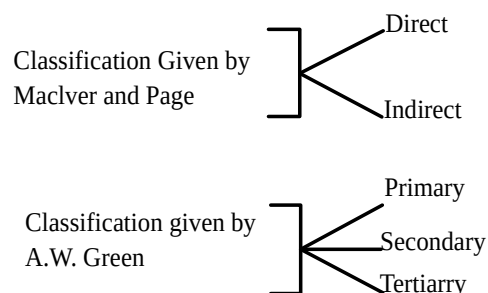
- (b) **Personal Process:** This is a process in which the individuals and the groups personally meet and work together for a common objective.
- (c) **Conscious Process:** In the process of co-operation the organised individuals or the groups work together consciously.
- (d) **Universal Process:** Co-operation is also a universal social process. Because it is found every where in all periods of time.
- (e) **Common Ends:** Common end can be better achieved by co-operation which is essential for the welfare of both individual and society.
- (f) **Organised Efforts:** Co-operation is a process of social interaction which is based on the organized efforts of individuals and groups.

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Type of Co-Operation

Different Sociologists have classified co-operation in different some of the important types of co-operation are the following.



Let us discuss these types of co-operation one by one.

(a) Direct Co-operation: In the process of Co-operation when individuals and groups co-operate directly with each other, that is called direct co-operation. There exists direct relationship among individuals and the groups. It permits the people to do like things together because the nature of work itself calls for the participation of men or groups in a together situation. It brings social satisfaction. It makes the difficult tasks easy.

Ex: Travelling together, playing together, worshipping together are few important examples of direct co-operation.

(b) Indirect Co-operation: In the process of co-operation when people do things individually and indirectly for the achievement of common goal that is called indirect-co-operation. Here the goal is one or common, but the individuals perform specialized function for its attainment. This co-operation is based on the principles of division of labor and specializations of functions. So in modern society indirect co-operation plays important role as the present technological age requires specialization of skills and functions.

Ex: In a factory or industry all the workers do separate job to produce common things. In another example, the construction of a building or house is possible as the carpenters, plumbers and masons are engaged in different activities.

Classification given by A. W. Green are the following.

(a) Primary Co-operation: In this type of co-operation there is an identity of interests but no self interest among those who co-operate. Every member is conscious of the welfare of all. It owes its origin to personal satisfaction. It is present in primary groups like family, neighbourhood and children's play group. Here there is an identity or ends of interest and all the members in some way or the other, derive benefit from primary co-operation.

(b) Secondary Co-operation: This type of Co-operation is found in the secondary groups. In these groups the individuals co-operate with each other for the achievement of some self interest. This is the characteristic feature of modern civilized society which are very much witnessed in political, economic, religious, commercial, educational and other groups. It does not provide equal benefit to all its members.

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(c) Tertiary Co-operation: Primary and secondary co-operation is the characteristic of individual person while tertiary co-operation characterizes the interaction among various social groups, large or small. These groups make certain adjustment voluntarily with each other under certain compelling circumstances. The attitude of groups co-operating with each other are selfish and opportunistic in the extreme. For example, in an election when two political parties co-operate with each other to defeat the rival party, it is called tertiary co-operation.

Role and Importance of Co-operation

Being a universal and continuous social process, co-operation plays dominant role but it is very much essential for the welfare of the society as well. So the role of co-operation may be discussed from two angles. They are:

- (a) From individual point of view.
- (b) From the point of view of society.

Role of Co-operation from individual point of view

- (1) Man can fulfill his basic and fundamental needs such as food, clothing and shelter by co-operation. It also fulfils many psychological needs of human beings.
- (2) It is not possible for individuals to reach his respective goals without the active co-operation of other members in society.
- (3) Co-operation is the foundation on which our social life is built up. The existence of society and the survival of human beings depend upon the co-operative spirit and mutual aid of men and women.
- (4) With the solid and active co-operation of his fellow beings, man can lead a happy and comfortable life.

Role of Co-operation from the point of view of Society

Co-operation is also equally important from the social point of view.

- (1) It helps society to progress. Progress can be better achieved through united action. Progress in science, technology, agriculture, industry, transport and communication etc. has been possible with co-operation.
- (2) It is the main spring of collective life. It builds society, it conserves society. In a democratic country, co-operation has become a necessary condition of collective life and activities.
- (3) It provides solution for many international problems and disputes. Because co-operation as a process of integration has the quality to bring end to different problems through united activities.
- (4) Progress is granted permanence only by co-operation. Because conflict inspires the individual to progress, but he does so only if he gets co-operation.

So it may be concluded that co-operation is very indispensable for individual as well as social life.

II. Accommodation

Accommodation is another important associative social process. It is, infact a sort of co-operation among people after their conflict comes to an end. Because conflict cannot continue for an indefinite period. It must be resolved at some stage or other. The end of conflict directs the way for accommodation.

The term accommodation refers to understanding, adjustment or agreement. It is a process of getting along inspite of differences. It is a way of inventing social environments which helps people to work together whether they like it or not. It consists in the avoiding and delaying of conflict with disagreeable circumstances. Here the contending forces are adjusted to balance. It is the very foundation of a social organisation. So without accommodation, society cannot maintain its balance. Accommodation is a condition or state of mental and social understanding. For example, the workers of an industry or a factory may go on strike

today for some reason but they are bound to come back to work tomorrow after some settlement with the management. In another example, the husband and wife may quarrel for serious things at one time or another but most of the times they live together with mutual love and affection.

Definition

Some of the important definitions of accommodation are given below.

- (1) **Maclver and Page** define that, "Accommodation refers particularly to the process in which man attains a sense of harmony with his environment."
- (2) **Ogburn and Nimkoff** say that, "Accommodation is a term used by the sociologists to describe the adjustment of hostile individuals or groups."
- (3) According to **Gillin and Gillin**, "Accommodation is the process by which competing and conflicting individuals and groups adjust their relationship to each other in order to overcome the difficulties which arise in competition, contravention or conflict."
- (4) According to **George A. Lundberg**, "Accommodation has been used to designate the adjustments which people in groups move to relieve the fatigue and tensions of competition and conflict."
- (5) In the opinion of **Biesanz**, "In one sense, accommodation is the basis of all formal social organization"

It is evident from the above definitions that it is the basis of all formal social organizations.

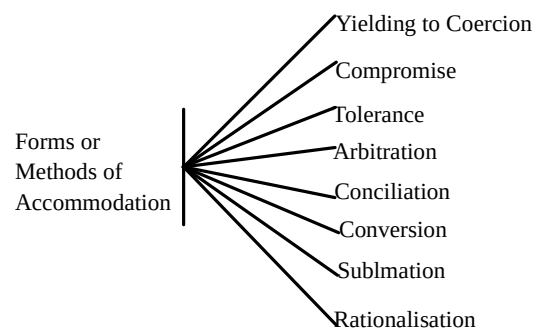
Characteristics

From the above definitions, the following characteristics of accommodation may be pointed out.

- (a) **Universal Process:** It is found in all societies at all time in all fields of social life. Since no society can function smoothly in a state of perpetual conflict, accommodation becomes necessary.
- (b) **Continuous Process:** This process is not limited to any fixed social situation. It follows sooner or later as and when conflict takes place. The continuity of accommodation does not break at all.
- (c) **Both conscious and unconscious Process:** Accommodation is a conscious process when the conflicting individuals or groups make efforts consciously to get accommodated to situations. But accommodation is mainly an unconscious activity.
- (d) **End-result of Conflict:** The hostile individuals or groups realize the importance of accommodation only after they get involved in some kind of conflict. If there is no conflict, there can be no question of accommodation.
- (e) **It is a Mixture of love and hatred:** According to Ogburn and Nimkoff, accommodation is the combination of love and hatred. Love leads to co-operation while hatred leads to conflict.

Forms or Methods of Accommodation

Accommodation takes place in different ways and accordingly assumes different forms. Some of the important forms or methods of accommodation are:



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(a) Yielding to Coercion: Most of hostile individuals or groups yield to physical or some kind of power exhibit the spirit of accommodation in order to end a conflict. For example-the weaker party submits to the stronger one out of fear and the stronger party can pressurise the weaker party by its superior strength. For example, an act of this kind happens after a war between two nations comes to an end.

(b) Compromise: The conflict between the hostile individuals or groups having equal strength comes to an end through compromise in the process of accommodation. This is based on the principle of give and take. Here the involved parties have to make some sacrifices voluntarily for each other. So it is a kind of voluntary accommodation. When the conflicting parties realise that the continuation of conflict would cause sheer waste of their time, energy and money, they automatically want a kind of accommodation which is called compromise.

(c) Tolerance: Tolerance is a method of accommodation in which two or more contesting parties tolerate each other with sympathy and try to understand the view point of others. They patiently bear the differences that exist between them. For example, the co- existence of Hindus, Muslims, Christians, Sikhs etc. in Indian society is due to the method of tolerance. This is the best form of accommodation.

(d) Arbitration: When the hostile individuals or groups have equal strength and are determined to stick to their view point, there is intervention of third party, who acts as their arbitrator or mediator. The decisions of the arbitrator are binding on the parties concerned. For example, the conflict between the labour and management is resolved through the arbitration or arbitrator.

(e) Conciliation: This is another method of accommodation in which the third party only gives some suggestions in order to terminate a conflict. But the acceptance of these suggestions is not the binding force. It is up to the discretion of the contending parties.

(f) Conversion: This form of accommodation involves a sudden rejection of one's beliefs, convictions and loyalties and the adoption of others. As a result of which the convincing party is likely to accept the view points of other party. In consequence, the party which has been convinced is quite likely to abandon its own ideas or beliefs or religion or claims in preference for the view point of the other side with which it tries to identify itself. For example- Ordinarily conversion is thought of only in connection with religion.

(g) Sublimation: This is a method which involves the substitution of non-aggressive attitudes and activities for aggressive ones. In this method the conflicting groups give vent to their tendencies of aggression that is harmless to anyone else and also obviates conflict. For example-Mahatma Gandhi conquered violence and hatred by love and compassion.

(h) Rationalization: In this method the contending parties try to justify their action on the basis of some imaginary ideas to avoid conflict. Hence, one blames others for one's own fault. By ascribing one's failures to others instead of accepting one's defects, one can retain self respect. For example, sometimes the students believe that failure in the examinations is due to the defects in the valuation of answer scripts; they do not see the fact that their preparations for examinations are quite inadequate.

Accommodation is a significant integrative social process. It is not only useful to the individuals or groups but also to the entire society.

- (i) Society functions smoothly with accommodation. It checks conflict and maintains co-operation among the individuals and groups which is essential for social life.
- (ii) It helps the individuals and groups to adjust themselves to changed functions and statutes which are brought about by changed conditions. It helps them to carry on their life activities together even with conflicting interests.
- (iii) The realisation of people that they should lead a happy and comfortable life has become possible only through accommodation.

- (iv) It is the very foundation of a social organisation. Because it consists in the avoiding and delaying of conflict with disagreeable circumstances. The contending forces are adjusted to balance in this process. Hence, society maintains its balance.

III. Assimilation

Another integrative or associative social process is assimilation. It is also one form of social adjustment. It is a process whereby persons and groups acquire the culture of other group in which they come to live, by adopting its attitudes and values, its patterns of thinking and behaving, in short, its way of life. It is more permanent than accommodation. We reach this stage of assimilation only after accommodation.

Assimilation makes the dissimilar individuals or groups similar because it is a process by which individuals or groups come to share the same sentiments and goals. For example, in India, the religious tolerance among the different religious groups is the most appropriate one as they have assimilated many points of each other's culture into their own and have made them integral part of their own social conduct.

Definition:

Some of the definitions given by eminent scholars are the following:

- (i) In the opinion of **Bogardus**, "Assimilation is a process whereby attitudes of many persons are united and thus develop into a united group."
- (ii) **Ogburn and Nimkoff** defines assimilation, "As the process whereby individuals or groups once dissimilar become similar, that is, become identified in their interest and outlook."
- (iii) **Biesanz and Biesanz** hold the view that, "Assimilation is the social process whereby individuals or groups come to share the same sentiments and goals."
- (iv) **Hurton and Hunt** say that, "The process of mutual cultural diffusion through which persons and groups come to share a common culture is called assimilation."
- (v) In the words of **Park and Burgess**, "Assimilation is a process of interpenetration and fusion in which persons and groups acquire the memories, sentiments and attitudes of other persons or groups and, by sharing their experience and history, are incorporated into a common cultural life."

From the above definitions it may be concluded that assimilation takes place when individuals come into close contact with other culture in a slow and gradual manner. It results in the promotion of cultural unity which leads to social integration.

Characteristics

From the above definitions of assimilation the following characteristics have been pointed out. They are:

- (i) **Universal Process:** Assimilation as a process of integration is present in every society, all the times. Hence universal in nature.
- (ii) **Unconscious Process:** Usually the individuals or groups involved in the process of assimilation are unconscious of what is taking place. Unconsciously one assimilate himself with others.
- (iii) **Slow and Gradual Process:** The process of assimilation cannot take place suddenly. Rather it takes time. It depends upon the nature of contacts. If it is primary, assimilation is natural and rapid. If it is secondary assimilation is slow.
- (iv) **It is a two-way Process:** It is based on the principle of give and take. When one cultural group is in contact with another, it borrows from it certain cultural elements and incorporates them into its own culture. So it affects both.
- (v) **It is confined to multiple fields:** The process of assimilation is not confined to a single field but it is confined to multiple fields. In the religious field, for example, it may take place

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when an individual or a group of individuals of a particular religious background get converted into some other religious set or group.

Role and Importance of Assimilation

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- (a) In this integrative social process, the individuals or groups acquire the culture of other group in which they come to live by adopting its pattern of thinking, behaving, its attitudes and values.
- (b) As assimilation is a cultural and psychological process. It results in the promotion of cultural units.
- (c) It plays a very significant role in the development of human personality.
- (d) It brings similarity among dissimilar individuals or groups.
- (e) It brings change in old culture, customs, traditions, folkways, mores, morals, law and religion etc.

Factors contributing towards assimilation or Factors promoting assimilation:

There are some factors which facilitate the process of assimilation are given below.

(i) Toleration: When the people of one culture tolerate the spread of another culture irrespective of their differences toleration takes place. Here, people of different culture maintain balance by developing contacts, by participating in common social and cultural activities. So toleration is an essential condition for promoting assimilation which is in turn helpful in unity and integrity of the community.

(ii) Intimacy: The development of close social relationship makes the process of assimilation natural and its degree becomes high. But when social relationship is not so close and artificial, the process becomes slow. So intimacy is another condition for assimilation.

(iii) Cultural Equality: If there are striking similarities between the cultures, then there is no bar for assimilation to take place. When the degree of intimacy and toleration becomes high, it facilitates the growth of this process.

(iv) Equal Economic Standard: Difference in economic standard hinders assimilation. But individuals or groups having equal economic standard can easily establish intimacy which intern avoids jealousy, hatred and conflict. Here assimilation progresses.

(v) Amalgamation: When individuals or groups come into close contact to one another, amalgamation takes place. For example, the matrimonial relationship between the Hindus and Non- Hindus facilitate the process of assimilation.

Factors hindering assimilation or harmful to assimilation:

There are some factors which are harmful to the growth of assimilation or the factors which obstruct the process of assimilation. These factors are explained below.

(i) Isolation: Individuals who live separately or feel isolated cannot establish good social relationship with others in the society. So due to lack of close or intimate relationship, the process of assimilation is hampered or even it does not take place.

(ii) Cultural Differences: Differences in culture also hinder assimilation. The cultures having different religion, race, languages, customs, traditions do not have close relationship with each other. If assimilation takes place there, it is very difficult for its continuity.

(iii) Differences in economic standard: Difference in economic standard encourages the feeling of inferiority and superiority. There occurs the feeling of high and low. People with the feeling of superiority decline to establish social relations with those having a sense of inferiority. So differences in economic standard stand as an obstruction in the process of assimilation.

(iv) Physical Differences: Differences in physical characteristics like colour of the skin, growth of human body and other physiological features act as hindrances to assimilation. For example, the differences in the physical features of the black and white hinder assimilation among them.

(v) Domination and Sub-ordination: Intimate social relation is very much essential for assimilation. But assimilation is absent or is hampered when one group dominates the other. It lacks social relationship.

7.3.2 Dissociative Process

I. Competition

The most important fundamental dissociative social process is competition. It is a form of opposition or social struggle. It is a contest among individuals or groups to acquire something which has limited supply or insufficient in quantity and not easily available. It is characterized by non-co-operation. Here the competitors force their attention on the goal or the reward they are struggling to achieve but not on themselves. They try to achieve the goal by methods other than force or fraud.

Generally in our society there is competition for getting jobs. The people who are already employed desire for better jobs. There is no competition for sunshine, water, fresh air etc. which are treated as the free gift of nature. When there is a shift in interest from the objects of competition to the competitors themselves, it is called rivalry or personal competition. But when the individuals or groups compete with each other, not on personal level but as members of group, competition is impersonal.

Definition of Competition

There are many definitions of competition given by different scholars. Some of the important definitions are given below:

Park and Burgess define Competition as “an interaction without social contact.”

E.S. Bogardus define Competition as “a contest to obtain something which does not exist in a quantity sufficient to meet the demand.”

Majumdar says that “Competition is the impersonalized struggle among resembling creatures for goods and services which are scarce or limited in quantity.”

Horton and Hunt opine that, “competition is the struggle for possession of rewards which are limited in supply, goods, status, and power, love anything.”

H.P. Fairchild states that, “Competition is the struggle for the use or possession of limited goods.”

From the above definitions it may be concluded that competition is a process in which individuals or groups try to obtain thing or things which have limited supply and which they cannot achieve or share collectively.”

Features of Competition

Competition as a disintegrative social process has the following characteristic features:

- (1) **Universal Process:** It is the most universal social process present in all societies, whether civilized or uncivilized, rural or urban, traditional or modern in all periods of history and among all classes of people like doctors, engineers, workers, students and farmers etc.
- (2) **Continuous Process:** Competition is a continuous process as it never comes to an end. If one process of competition ends then another process of competition stands there. The desire for status, power and wealth in an ever increasing degree makes competition a continuous process.
- (3) **Unconscious Process:** The individuals or the groups who are involved in the process of competition do not bother about themselves but they are primarily concerned with the achievement of goal or reward. Hence competition takes place on an unconscious level.
- (4) **Impersonal Process:** Those who take part in competition do not know one another at all. They do not compete with each other on personal level. They focus their attention on the goal or reward which they are trying to achieve. They do not have any contact whatsoever. According to Ogburn and Nimkoff, “Struggle is personal competition.”

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(5) **Always governed by norms:** Nowhere competition is unregulated. It is always and everywhere governed by norms. Competitors are expected to use fair means to achieve success.

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Forms of Competition

Competition as a universal social process is found in all fields of social life. In our day to day life we come across many types or forms of competitions. Some of the important competitions are the following.

- i) Political Competition.
- ii) Social Competition.
- iii) Economic Competition.
- iv) Cultural Competition.
- v) Racial Competition.

(i) **Political Competition:** This type of competition is found in the political field. For example, during election each and every political party competes for getting majority. This is not only found at national level but at international level. Also there is keen competition between nations who are wedded to different political ideologies.

(ii) **Social Competition:** To get high social status usually this social competition is mostly observed in open societies where individual's talent, capacity, ability as well as merit are given weightage.

(iii) **Economic Competition:** In economic field economic competition is fairly observed. It is the most vigorous form of competition. It is reflected in the process of production, distribution and consumption of goods. In the economic field men compete for salaries, jobs and promotions etc. They generally compete for higher standard of living. This economic competition is not only present at individual level but also at group level.

(iv) **Cultural Competition:** Cultural competition is present among different cultures. When two or more cultures try to show their superiority over others, this type of competition takes place. Here arises cultural diversities. For example, in the modern society there is cultural competition between the Hindus and the Muslims. In the ancient period, there was a strong competition between the cultures of Aryans and Non-Aryans.

(v) **Racial Competition:** Like cultural competition, racial competition is found among the major races of world. When one race tries to establish its supremacy over other races, it gives birth to racial competition. For example the competition between Negroes and the whites is the bright example of racial competition.

Role and Importance of Competition

Competition plays a significant role not only in the life of persons but also for the groups and societies. Some sociologists say that it is even more basic than the process of co-operation. Hobbes had remarked that the struggle is the basic law of life. Rousseau and Hegel also corroborated their views. Later on, in Darwin's theory of evolution, the principle of "Survival of the fittest" also stressed the importance of competition in society. The importance of competition may be discussed under two broad headings. They are:

- a) Positive Role
- b) Negative Role.

(a) Positive Role

It includes the positive functions of competitions. They are:

- (i) The role and status of the individual members in the society is determined by competition. Thus it assigns individuals their places in the social system.
- (ii) It protects the individuals from direct conflicts and provides a solution to the problem of limited supply and unlimited demand of goods in a peaceful way.

- (iii) It furnishes motivation in the desire to excel or obtain recognition or to win an award.
- (iv) Fair competition is conducive to economic as well as social progress and even to general welfare as it spurs individuals and groups or to put in their best efforts.
- (v) It provides social mobility to the individual members of the society. It helps them to improve their social status.
- (vi) The division of labor and the entire complex economic organization in modern life are the products of competition.

(b) Negative Role

Apart from the positive functions, competition also performs some negative functions.

- (i) Unfair use of competition causes a great deal of wastage in the economic field.
- (ii) Sometimes competition leads to exploitation when it is unrestricted.
- (iii) Unhealthy competition creates psychological and emotional disturbances which is harmful to the society.
- (iv) If competition becomes uncontrolled it takes violent form, i.e. conflict.

So from the above discussion we come to know that healthy and fair competition should be encouraged instead of unfair and unrestricted competition.

II. Conflict

Another significant dissociative social process is conflict. It is an ever present process in human society. Whenever a person or persons or groups seek to gain reward not by surpassing other competitors but by preventing them from effective competition, conflict takes place. In other words, it is a competition in its more hostile and personal forms. It is a process of seeking to obtain rewards by eliminating or weakening the competitors. It is seen that conflict makes an individual or group try to frustrate the effort of another individual or group who are seeking the same object. It implies a struggle or fight among individuals or groups for a particular purpose or a number of purposes.

For example, the movements like Civil Disobedience, Non- Co-operation and Satyagraha launched by Mahatma Gandhi against the Britishers in India before Independence are conflict. Even in today's society conflict is found in every sphere like caste, religion, language, culture and so on. Thus it is considered as a universal social process.

Definitions:

Some of the important definitions given by the sociologists are stated below:

Kingsley Davis defines Conflict, "as a modified form of struggle."

MacIver and Page state that, "Social conflict included all activity in which men contend against one another for any objective."

A.W. Green says, "Conflict is the deliberate attempt to oppose, resist or coerce the will of another or others."

Majumdar defines that, "Conflict is an opposition or struggle involving an emotional attitude of hostility as well as violent interference with autonomous choice."

Gillin and Gillin state that, "Conflict is the social process in which individuals or groups seek their ends by directly challenging the antagonist by violence or threat of violence."

From the above definitions, it is clear that individuals or groups involved in conflict try to oppose, resist or coerce each other deliberately. It is the opposite of co-operation. It is a process which leads two or more persons or groups to try to frustrate the attempts of their opponents to attain certain objectives. Examples:

- (i) The conflict between nations leads to national conflict.
- (ii) The conflict between different political parties leads to political conflict.
- (iii) Caste conflict, class conflict and racial conflict etc.

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From the above definitions the following characteristics may be noted.

- (i) **Universal Process:** Conflict is found in all societies in all periods of time. The degree and the form of conflict may vary from society to society and from time to time but it is present in all types of societies.
- (ii) **Conscious Process:** This is a process in which the conflicting parties are very much conscious in causing loss or injury to persons or groups. They attempt to fight or oppose and defeat each other consciously.
- (iii) **Personal Process:** The chief aim of conflict is to cause harm or to bring loss to the opponents. The conflicting parties personally know each other. So in this form of struggle to overcome the opponents, the goal is temporarily relegated to a level of secondary importance.
- (iv) **Intermittent Process:** Conflict is not as continuous as competition. It is an intermittent process. It takes place suddenly and comes to an end quickly. It never continues for ever due to the occasional occurrence of conflict.
- (v) **Conflict is based on violence:** Sometimes conflict takes the form of violence. Violence is harmful to the growth of the society and retards the progress as it creates a number of problems.

If conflict occurs non-violently, it maintains peace in the society which is helpful for its development.

Causes of Conflict

Biological Factors	Man's inborn aggressive tendency
	Difference in nature, ideas, ideologies, attitude, aptitude and ambition etc.
Social Factors	Change in the moral norms of a society.
	Change in the hopes, demands, aspirations, discontent etc., of man
	Cultural dissimilarities
Religious Factors	Difference in view point of all religious groups
	India being declared as a secular country

Conflict is a deliberate process. It does not occur spontaneously. Although it is a universal social process, its causes vary from individual to individual, group to group and from time to time. It is caused not by single factor but by multiple factors.

The famous population list Malthus says that it is caused by the means of subsistence increase in arithmetical progression and increase of population in geometrical progression. It implies that conflict arises only when the population of a country increases and the means of livelihood decreases. It results in the scarcity of the means of subsistence which leads to conflict.

Let us discuss some of the important causes of conflict.

Types of Conflict:

Conflict is found in many forms in all the societies. Some of the important classification of conflict given by different scholars are the following.

(i) Classification of Maclver and Page:

According to Maclver and Page there are mainly two types of conflict.

- (a) Direct Conflict.
- (b) Indirect Conflict.

(a) Direct Conflict: In this type of conflict the conflicting individuals or groups try to harm each other directly to attain the goal or reward at the expense of their opponents even by going to the extent of injuring or destroying their rivals. Direct conflict may be of two types.

- (i) Less Violent.
- (ii) More Violent.

Sometimes direct conflict takes less violent form. So it is less harmful. For example litigation, propagandistic activities etc.

More violent form of direct conflict is more harmful, for example war, riots, revolutions etc.

(b) Indirect Conflict: When the conflicting parties try to frustrate the efforts of their opponents indirectly it is called indirect conflict. The keen competition among the parties automatically takes the form of indirect conflict. For example, when two manufacturers go on lowering the prices of their commodities till both of them are declared insolvent is indirect conflict.

(ii) Classification of Gillin and Gillin:

Gillin and Gillin have given five types of conflict. They are:

- (a) Personal.
- (b) Racial
- (c) Political
- (d) Class
- (e) International.

- (a) Personal conflict takes place on personal level due to selfish nature of man. It takes place among the members of the same group when there is clash in their aims and ideas. For example, the conflict between two qualified persons for a common post.
- (b) Racial conflict takes place among different races of the World. Some of the races feel superior to other races and some others feel inferior. So the feelings of superiority and inferiority causes racial conflict. For example, the conflict between Whites and Negroes.
- (c) Political conflict is found in the political field. When the different political leaders or the political parties try to gain power in democratic countries it is called political conflict.
- (d) Class conflict is present among the different classes of the society. Our modern society has been characterized by classes which are based on power, income, education etc. Although class is an open system conflict takes place among different classes due to the difference in power, income, prestige etc. For example, the conflict between the proletariat and bourgeoisie according to Karl Marx led to class struggle.
- (e) International conflict takes place between different nations. When the nations try to achieve common objective by suppressing each other international conflict takes place. For example, the conflict between India and Pakistan regarding Kashmir Issue.

(iii) Classification of George Simmel:

According to George Simmel there are four major forms of conflict. They are:

- (a) War
- (b) Feud
- (c) Litigation
- (d) Conflict of Impersonal Ideals.

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- (a) War is a type of direct conflict. When all the efforts of the different nations fail to resolve the conflict, war takes place. This is the only solution to bring peace.
- (b) Feud is another type of conflict which takes place among the members of the society. So it is also called intra-group conflict. It differs from society to society in degrees. It is also sometimes referred as factional strife.
- (c) Litigation is judicial by nature. In order to redress the grievances and to get justice people take the help of judiciary which is called litigation. For example, for a piece of land when two farmers take the help of judiciary. Litigation takes place.
- (d) Conflict of Impersonal Ideals-when the individuals do not aim at achieving personal gain but for some ideals it is called the conflict of impersonal ideals. Here every party tries to justify the truthfulness of its own ideals. For example, when a political party tries to show that its ideals are better than that of other political parties. This conflict takes place.

Importance of Conflict

Although conflict is a form of struggle or fight, it is essential both for the individuals and society. It performs both constructive as well as destructive functions. Conflict is constructive in the sense when it is helpful in the smooth running of the society. It is destructive when it hinders the peaceful atmosphere and retards the progress of the society.

The chief functions of conflict may be discussed under two broad headings. They are:

- (i) Positive functions
- (ii) Negative functions.

Positive Function: The positive functions are purely constructive in nature.

- (a) Conflict increases fellow feeling, brotherhood and social solidarity within groups and societies. For example, inter-group conflict promotes intra-group co-operation.
- (b) Conflict helps in the exchange of cultural elements when comes to an end.
- (c) It changes the status of the group or society which comes to be regarded as super power.
- (d) When conflict is over, the parties give up old values and accept new ones. It brings changes in old customs, traditions, folkways and mores.
- (e) Sometimes conflict helps in increasing the production which adds to the national income.

Negative Function: The negative functions are called the destructive functions. Some of the negative functions of conflict are given below.

1. In the process of conflict, the defeated party becomes psychologically and normally down.
2. Time, money and energy of the conflicting parties get exhausted.
3. Uncontrolled conflict brings violence which leads to destruction of lives and properties of the countless individuals.
4. Social solidarity is adversely affected by conflict. It hinders national integration.
5. Sometimes conflict leads to inter-group tension and disrupts group unity.
6. Conflict diverts members' attention from group objectives.

From the above discussion we come to know that conflict has both positive and negative importance. Its positive functions are more important than the negative ones. Moreover, conflict plays a very important role in consolidating a group internally.

7.4 SOCIAL DISORGANIZATION

Some condition of order and system pervades all forms of physical, biological and social existence. The sociologists have at least accepted a starting point that some order and organization exist in social life. The very essence of the group, culture pattern, and social

personality implies an arrangement of parts into an integrated whole. But side by side social organization and social order have their concomitants in social disorder.

Social organization and social disorganization are two relative terms, because neither there is any society totally organized not only disorganized. There is social disorganization when the equilibrium of social factors is disrupted. As observed by Ogburn and Nimkoff, "Society is a going concern of an organization. The organization consists of habits and institutions among which there is a fair degree of equilibrium. This equilibrium is often shaken by social changes. We begin therefore, by considering how the balance achieved in a stationary contract with the condition of changing society".

Similarly, according to Elliott and Merrill, "Social disorganization occurs when there is a change in the equilibrium of forces, breakdown of social structure, so that former patterns no longer apply and the accepted forms of social control no longer function effectively. The dynamic nature of society involves a constant rearrangement of the constituent element.

Definition of Social Disorganization

- (1) **Mowerer:** "Social disorganization is the process of by which the relationship between members of a group are broken".
- (2) **Ogburn and Nimkoff:** "Social disorganization imply some break in cultural contact, some disturbance in the equilibrium among the various aspects of the culture pattern".
- (3) **Fairies:**
 - (a) "Social disorganization refers to the disruption of the function of some social unit such as group, in institution or community".
 - (b) "Social disorganization is a disturbance in the patterns and mechanisms of human relation".
- (4) **Fairs Robert E. L:** "Social disorganization is the disruption of the functional relations among persons to a degree that interferes with the performance of the accepted task of the group".
- (5) **Ellict and Francis:** "Social disorganization is the process by which the relationship between members of a group are broken or dissolved".
- (6) **Josep B. Glittler:** "When affairs deviate either from the existent order of from the desired order, the inference is that there is social disorder. It is the deviation that is referred to as social disorganization. It consists of the relative decline and breakdown of those factors that have made and do mark for the effective patterning of collective living".

Social disorganization is not the negation of the harmonious relationship in a given society, it is indicative of serious breakdown of those relationships. Strike by factory workers or by sanitary workers results in the dislocation and paralysis of normal function of the society, besides it involves a direct conflict between the employer and the employee. Social disorganization is therefore a product of clash of interests of groups. Conflicts between the interests of individuals, if not organized as group conflict, have little bearing on social disorganization.

Social Disorganization in the Modern Society

In our own times, the process of social disorganization has assumed in universal dimension. The developed as well as the underdeveloped societies, both are almost equal suffers. The society of the old world was comparatively peaceful partly due to stronghold of customs and traditions over the social conduct of man. Modernization of human society is mainly the result of industrials revolution of the consequent breakdown of old social relationships, first at the economic place and later on at cultural level. The man himself was swayed by the tides of industrial revolution which crushed the old order with ruthless velocity but the establishing some substitute values. Old society was not divided into sharp economical classes with mutually-conflicting interests.

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In the old world order, societies cultures and communities were isolated from each other by distinct geographical barriers. Modern means of communication and transport have pushed the barriers of space and time into background. But the old attitudes and concepts die a hard way. Culture is regarded as the distinguishing feature of a community or people. Preferences are given to one's own culture and others are looked down as inferior. The West has its own ways and East follows the suit. Culture is still regarded completely synonymous with group, community or class interest when in fact the speed of modern life and means of communication have accelerated greatly cultural diffusion. Culture by itself does not stand in clashing position in modern world but it is the class interests which push them into the forefront of conflict. When cultures clash, social disorganization affected by cultural conflicts work from within. Cultural clash has become more frequent with the increasing urbanization of country's population.

According to Maclver and Page, "The situations we have just been describing, especially those in which the resistance is to an imported technology, serve also to illustrate the phenomenon of culture clash. We have used this expression to denote the conflict of opposing value scheme, creeds or ways of life when these are brought into contact inside the same community. The feat of an alien technology is not simply a fear that it will disturb the old values; it is also a fear that with it will be introduced alien values different goals. We do not include under culture clash the conflict of creeds and ideologies, so frequent in every modern society. We refer only to conflicts between two entire culture patterns each of which embraces a whole way of life. Such clashes arise permanently from the coming together within a single community of groups that have been bred in separation before they become thus conjured. Usually one of the cultures concerned is an imported culture while the other indigenous or at least has long been established in its present home. The two are brought rather abruptly into contact and out of those conditions one of them appears to be a threat to the very existence of the other especially if the former is associated with a dominant group."

Cultural clashes cause social disorganization but this fact has also to be kept in mind that industrial civilization has disrupted the overall pattern of human culture. Old cultural patterns themselves have undergone the process of disorganization resulting further breakdown of those elements of solidarity in our society which were directly based on cultural patterns. Social disorganization is thus happening in every sphere of modern life, from all sides directly or indirectly. The outcome has yet to crystallize before any prediction may be made about the nature of the new social set up that is bound to replace in the old one.

7.4.1 Causes of social Disorganisation

Different writers have highlighted the importance of different factors. For example, Elliot and Merrill have given four causes: (1) the social processes under the three main heads: cultural, political and economic, (2) cultural lag, (3) conflicting attitudes and values, and; (4) social crisis.

Sorokin is of the opinion that disorganisation is mainly due to cultural degeneration of values in various spheres such as art, science, philosophy, religion, law, politics, economics, family, etc. In brief, change from the "idealistic", and "ideational" culture to "sensate culture" is the main cause of social disorganisation.

G.R. Madan has listed a few factors that invite the problems of disorganisation. They may be briefly explained below:

1. Psychological Factors: Sometimes, the cause of social disorganisation is to be found in the human psychology itself. Psychological factors contribute to disorganisation in two ways: (i) Failure to maintain proper communication among fellow beings, and (ii) Failure to modify or change one's attitudes in tune with the demands of time.

(i) Communication is an essential psychological process among human beings. It is maintained through the social processes such as imitation, cooperation, competition, suggestion, conflict, accommodation, assimilation, etc., which are also psychological in character.

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Common understanding and common consciousness help the people to maintain communication. Due to lack of common consensus regarding values and due to divergent attitudes people may fail to maintain proper communication among themselves.

Words, ideas, phrases and symbols that they use in their communication may sound different things to them. Thus, lack of appropriate communication or its total failure may create ill-will, prejudice and lot of psychological distance among people.

(ii) The problem of attitudes. Human tendencies and attitudes are modified very slowly whereas culture is modified with comparative rapidity. The sociocultural environment may impose much requirements on individuals which they find it difficult to fulfil.

For example, the modern industrialised and urbanised society is so competitive that some find it extremely difficult to cope with. Similarly, the cultural conflict between the older and the younger generation may result in disorganisation of the adolescents, juvenile delinquency, and sometimes in family disorganisation. Conflicts of attitudes between the old and new values are always pregnant with trends of disorganisation.

2. Cultural Lag: 'Cultural lag', the concept used by W.E. Ogburn, refers to the imbalance in the rate and speed of change between the material cultural and non-material culture. Objects of material culture such as mode, of housing, means of transport and communication, type of dresses, patterns of ornaments, technical and mechanical devices, instruments, etc., change very quickly. But ideas, beliefs, attitudes, tastes, philosophies, habits, ideologies, institutional structures and such other aspects of non-material culture change slowly and gradually.

Hence a 'gap' or a 'lag' arises between the material and non-material culture. This lag, referred to as 'cultural lag' invites the process of disorganisation to set in.

For example, though a good number of Indians have adopted Western technology, they have not very much changed their traditional beliefs, attitudes and customs, etc. This quality has often led to some conflicts which have opened the doors for disorganisation.

3. Physical or Geographic Factors: The maladjustment of man and his culture to certain extra-ordinary physical or geographic conditions or situations may cause disorganisation in society. This is especially true in the case of natural calamities such as storms, cyclones, hurricanes, famines, floods, earthquakes, volcanoes, epidemics, etc., which upset the social balance and bring in social disorganisation.

4. Biological Factor: Population explosion or extreme scarcity of population, the instances of racial intermixture, defective hereditary traits and such other biological factors may also cause disorganising effects upon society.

For example, if overpopulation has caused the problems of poverty and unemployment in some countries, the fact of under population has created a psychological crisis manifested in what is known as "race extinction".

5. Ecological Factor: Social disorganisation is related to environment in terms of regions and neighbourhoods. Professor Shaw and his associates at the institute of Juvenile Research in Chicago found that the delinquency was unevenly distributed in the city of Chicago.

They observed that the delinquents mostly concentrated in the areas of poor housing, overcrowding, and the areas in which cinema houses, hotels, night clubs, liquor shops, gambling centres were found in a large number. Some findings have revealed that per capita crime rate is relatively higher in larger cities than in smaller ones.

6. Social Problems Leading to Social Disorganisation: Social problems and forces such as a revolution, a social upheaval, a class struggle, a financial or economic crisis, a war between nations, mental illness, political corruption, mounting unemployment and crime, etc., threaten the smooth working of society. The social problems are the diseases of the society and they threaten the welfare of the-society. They may bring in disorganisation.

7. Degeneration of values: Social values are often regarded as the sustaining forces of society. They contribute to the strength and stability of social order. But due to rapid social change new values come up and some of the old values decline.

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At the same time, people are not in a position to reject the old completely and accept the new altogether. Here conflict between the old and the new is the inevitable result of which leads to the social disorganisation.

Changes in social values necessitate new social institutions and associations. These come into conflict with the older existing ones. This creates disorder in society. The statuses and roles of people will have to change in accordance with the changes in social values. But they take time to adjust themselves to new situations. In this way, disorganisation spreads.

According to Sorokin, the cause of social disorganisation is nothing but degeneration of values in various spheres such as art, science, philosophy, religion, law, politics, economics, family, etc., which has led to more wars, criminality, revolution, suicide, mental diseases, etc.

8. Disintegration and Confusion of Roles: Members of society are expected to perform certain definite roles in accordance with their placements in society. Due to profound social changes these expectations also undergo a change. Consequently, people are confused with regard to their new roles. Professor Faris considers this as the most important cause of disorganisation. According to him, it is due to the transition from pre-industrial folk society to modern complex society.

For example, children are to be cared for and essential cultural education be given to them by the family members. The economic order is assumed to provide for the production and distribution of goods and wealth.

The religious institutions are expected to maintain the religious heritage and to pass on the same to succeeding generation. When any of these functions are not properly fulfilled, disorganisation may be the result.

9. Political Subordination: Political subordination of one country to another leads to social disorganisation in the former. The vanquished country is not allowed to develop its economy and institution in its own ways. It is made a means to serve the interests of the dominant country. India suffered under the British rule in the same manner.

The dominant country may not even care for the basic needs such as food, clothing, shelter, basic education, medical facility, etc., of the people of slave country. As a result, the slave country may have to face a number of socio-economic problems.

Other Factors

In addition to the above, a few other factors may also cause disorganisation.

(a) Conflict of goals and means: Conflict of goals and the means for achieving them may also cause disorganisation. Most of the individuals share the dominant goals of the society and act accordingly. But lacking the means for achieving the goals by legitimate means, some may resort to illegitimate and illegal means resulting in vice, crime and other expression of social disorganisation.

(b) Decline of social control: The declining control of religion, morals, customs, traditions, and other institutions on the behaviour of men has also enhanced the process of disorganisation. Hence we witness an increase in interpersonal conflicts, crimes, tensions, divorce, delinquency, mental derangement, etc. In fact, according to Thomas and Znaniecki, the very "decrease of the influence of existing rule of behaviour upon the individual members of the group" itself indicates social disorganisation.

(c) Extreme divisions of labour: According to Emile Durkhem, social disorganisation is often brought about by extreme division of labour. In normal course, according to him, division of labour leads to social solidarity, but when it becomes extreme and very complex, solidarity may become disturbed.

(d) Disruptive social change: Society undergoes change mainly due to the operation of physical, biological, technological and cultural factors. Sudden and radical social changes may, sometimes, disrupt the stability and the organisation of the society. The result is social disorganisation. Remedial Measures

To face the challenges of social disorganisation it is necessary first of all to study the nature and gravity of social disorganisation. Depending on its nature steps should be taken to counteract its influence. In this connection we may suggest the following remedial measures:

1. Able and efficient administration to flight against the disruptive forces.
2. Proper and comprehensive social and economic planning and policies.
3. Proper implementation of the plans and policies.
4. Organised social work and social welfare activities and social security measures.
5. Appropriate steps to rehabilitate and reform the beggars, criminals, juvenile delinquents, prostitutes mentally and physically handicapped, the aged and the diseased persons,
6. Effective enforcement of land reforms and fixing a ceiling on urban property,
7. Making effective and attractive family planning and welfare programmes and projects,
8. Providing ample educational and employment opportunities especially for the spread of diseases;
9. To create a psychological atmosphere of security and confidence, assuring and providing social equality, justice, and liberty to all.
10. Taking steps to mobilise public opinion against the evil practices of bribery, corruption, casteism, communalism, racism, exploitation, etc.
11. Instilling in the minds of people sentiments of unity, solidarity, patriotism and nationalism by making use of mass media of communication in the best possible manner.

7.4.2 Types of Social Disorganization

Social disorganization is the theory that crime and dysfunctional behavior occur in societies for cultural, political and economic reasons. Established communities experience increases in crime when their way of life and the established order of how things are done changes. Generally, social disorganization is caused by lack of personal control, community control and public control.

History

Social disorganization theory was based on the work of William I. Thomas and Florian Znaniecki, and introduced in their book, "The Polish Peasant in Europe and the United States," published in 1920. The book investigated the high levels of deviant behavior in Chicago by Polish immigrants. They defined social disorganization as "the process by which the authority and influence of an earlier culture and system of social control is undermined and eventually destroyed." Later studies and theorists further developed and criticized the theory.

1. Cultural Social Disorganization

Cultural social disorganization emphasizes that disorganization occurs through the failure of people to keep up with the times. When housing, means of transport and methods of communication rapidly change in a society, beliefs, attitudes and habits do not change as quickly. Authority figures resist change and find it difficult to integrate the new circumstances into their lives. This lag can result in social disorganization and increased crime rates.

2. Political Social Disorganization

When a country or neighborhood has a large influx of new populations, such as immigrants, or are dealing with social upheavals or wars, political corruption can threaten the stability of a society. Political social disorganization also occurs when a country becomes subordinate to another country. The subordinate country loses its ability to govern itself and develop its own institutions, leading to subsequent loss of societal values, which can result in more crime in the society. Crime rates are less prevalent in stable communities.

3. Economic Social Disorganization

Social and natural crises can give rise to economic social disorganization. Famines, floods, epidemics and other natural disasters can disrupt social balances. Disparity between desires and the money to attain those goals can also affect the rise of crime. Illegitimate means will

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be used when legal ways to acquire them are not available. Unfair division of labor and physical deterioration of neighborhoods were also found to result in social disorganization. Some sociologists believe that the introduction of commerce and high levels of industrialization lead to higher crime rates. With the demise of traditional norms of behavior, new forms of behavior whether productive or not are likely to increase.

7.5 SUMMARY

Social interaction discloses the concrete results of striving behaviour upon roles, statuses, and moral norms. Social interaction represents the social dynamics. People are always engaged in action. People in action with others mean interaction in some measure and form. Social processes are merely the characteristic ways in which interaction occurs. Interaction is always subtle, complex and dynamic. It can never be totally identified with one social process to the exclusion of all the others. Any concrete situation always contains more than one process. The different social processes depend upon the most inclusive social process, i.e., social interaction. Accommodation is another important associative social process. It is, in fact, a sort of co-operation among people after their conflict comes to an end. Because conflict cannot continue for an indefinite period. It must be resolved at some stage or other. The end of conflict directs the way for accommodation.

Assimilation makes the dissimilar individuals or groups similar because it is a process by which individuals or groups come to share the same sentiments and goals. For example, in India, the religious tolerance among the different religious groups is the most appropriate one as they have assimilated many points of each other's culture into their own and have made them an integral part of their own social conduct.

7.7 REVIEW QUESTIONS

1. Describe social interaction.
2. Define social process.
3. Explain classification of social process
4. Discuss social disorganization
5. What are types of social disorganisation
6. Describe causes of social disorganisation.
7. Discuss associative process.

Unit 8

SOCIOLOGICAL PERSPECTIVES

Structure

- 8.0 Aims and Objectives
- 8.1 Introduction
- 8.2 Functionalist Perspectives
 - 8.2.1 Premises and Propositions in Functionalism
 - 8.2.2 Functionalist Views
 - 8.2.3 Robert K. Merton: Postulates of Functional Analysis
 - 8.2.4 Talcott Parsons
 - 8.2.5 Emile Durkheim
- 8.3 Conflict Perspectives
 - 8.3.1 Main Premises of Marx's theory of Class Struggle
- 8.4 Interactionist Perspectives
- 8.5 Summary
- 8.6 Review Questions

8.0 AIMS AND OBJECTIVES

At the end of this unit you will be able to understand:

- Functional Perspectives
- Conflict Perspectives
- Interactionist Perspectives

8.1 INTRODUCTION

In order to study anything one must begin by making some assumptions about the nature of what is studied. The ancient Greeks, for example, believed that the universe was run according to the whims of the gods. In contrast, scientists assume that the universe is orderly and operates in certain regular ways which we may be able to discover. Thus, Newton developed the laws of gravity after observing that apples always fall down. A working set of assumptions is called a 'perspective', an 'approach' or sometimes a 'paradigm'. In sociology, several perspectives are used and each one views society from a different aspect. Some of the major perspectives in sociology are discussed below.

8.2 FUNCTIONALIST PERSPECTIVES

According to the functionalist perspective a society is seen as an organized network of cooperating groups operating in a fairly orderly manner according to a set of rules and values

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shared by most members. Society is seen as a stable system with a tendency towards equilibrium, that in, a tendency to maintain a balanced, harmoniously operating system.

Modern sociological theory has been profoundly influenced by functional analysis which became enormously popular at the turn of the century. This perspective emerged and established itself at the most opportune time when sociologists had just abandoned the numerous partial explanations and deterministic theories and were looking for a more comprehensive theoretical and methodological tool for the analysis of various social phenomena and their inter-relatedness. It emerged in the tradition of great sociological theories consciously orienting itself to them and continually developing them and gave sociology a new and powerful explicative paradigm of society unmatched, yet, by any competing mode of sociological thinking.

The history of functional analysis may be traced to Comte's *consensus universalis*, Spencer's organic analogy, Pareto's conception of society as a system in equilibrium and Durkheim's causal functional analysis. To Comte, social structure was based on the foundation of *consensus universalis* - the necessary correlation between the elements of society. Spencer presented an organic biological model and contended: "If organization consists in such a construction of the whole that its parts can carry on mutually dependent action, then in proportion, as or is high then - must go a dependence of each upon the rest - so great that separation is fatal; and conversely. This truth is equally well shown in the individual and in the social organism".

Durkheim insisted on the primacy of the system over its elements and maintained - that social facts the proper subject matter of Sociology, are independent of the individual will and imposed upon him from without. He cautioned against confusing the consequences with the causes of social phenomenon. Durkheim insisted on a separation of the two methods of explanation the causal and the functional but maintained that both were necessary. Durkheim thus elaborated the logic of functionalism by systematically explaining the causes and consequences of social facts and established functionalism as a viable methodological and theoretical tool for Sociological analysis.

The two British anthropologists, Radcliffe-Brown and Malinowski, elaborated and codified Functionalism as the basis of anthropological and sociological thinking.

Often termed as 'individualistic functionalism', Malinowski's functionalism treats social and cultural systems as collective responses to fundamental biological needs of individuals modified by cultural values. Social structures and processes, institutions and values are all regarded as functional responses to individual physiological needs such as hunger and sex; cultural usages and social institutions, in turn shape the way these basic drives express themselves. He also viewed culture as a totally integrated way of life, an organic whole, homogeneous and harmonious. For Malinowski, culture was an instrumental reality that existed and functioned in response to a variety of individual needs whose fulfillment led to the development of numerous cultural patterns and social usages.

Radcliffe-Brown rejected Malinowski's individualistic functionalism and following the Durkheimian tradition emphasized structured social relationships. But he substituted Durkheim's term 'needs' by 'necessary condition of existence' to avoid teleological interpretations. Rejecting Malinowski's individualistic orientation, Radcliffe Brown chose social structure as the unit of analysis and sought to explain numerous interpersonal relationships and socially patterned ways minimising built-in strains inherent in such relationships. He focused primarily on the function of each element in the maintenance and development of a total structure, and largely overlooked functional consequences of specific element for differentiated parts of the whole and for the individual components. In the words of Radcliffe-Brown: "... 'function' is the contribution which a partial activity makes to the total activity of which it is a part. The function of a particular social usage is the contribution it makes to the total social life as the functioning of the total social system..."

According to Bredmeir, “ the functional approach to sociology consists basically of an attempt to understand social phenomenon in terms of their relationship to some systems.” Functionalism views society as a system, that is a set of interconnected parts which together form a whole. Society is the basic unit of analysis and its various parts are understood primarily in terms of their relationship to the whole. Thus social institutions such as the family and religion are analysed as a part of the social system rather than as isolated units. In particular, they are understood with reference to the contribution they make to the system as a whole. Drawing an *analogy* between the society and an organism (*viz.* human body), the early functionalists argued that just as an organism has certain basic needs which must be satisfied if it is to survive, society has basic needs which must be met if it is to continue to exist.

These basic needs or necessary conditions of existence are sometimes known as functional prerequisites of society. These functional prerequisites have been identified through various approaches. Some sociologists have examined a range of societies in an attempt to discover what factors they have in common. For example, Davis and Moore claim that all societies have some form of social stratification and George Peter Murdock maintains that the family exists in every known human society. From these observations it is assumed that institutional arrangements such as social stratification and the family meet needs which are common to all societies. However, the problem with this approach is its assumption that the presence of the same institution in every society indicates that it meets the same need. Simply because a form of stratification exists in all societies does not necessarily mean it reflects the universal necessity which calls forth stratification in any social system, as Davis and Moore claim.

An alternative approach to the identification of function?1 prerequisites involves an analysis of those factors which would lead to the break down or termination of society. Thus Marion J. Levy argues that a society would cease to exist if its members became extinct, if they became totally apathetic, if they were involved in a war of all against all or if they were absorbed into another society. Therefore, for a society to survive it must have some means of preventing these events from occurring. These means are the functional prerequisites of society.

Another approach involves the deduction of functional prerequisites from an abstract model of the social system. For example, if society is viewed as a system, certain survival needs can be deduced from an abstract model of a system. Any system is made up of interconnected parts. If a system is to survive, there must be a minimum amount of integration between its parts. There must be an element of mutual compatibility of the parts. From this type of analysis, the functional prerequisites of society maybe inferred. Thus any social system requires a minimum amount of integration between its parts. From this assumption, functional analysis turns to an examination of the parts of society to investigate how they contribute to the integration of the social system. In this respect religion has often been seen as a powerful mechanism of social integration. Religion is seen to reinforce the basic values of society, and thus can be seen as an integrating mechanism.

In functionalist analysis the concept of function refers to the contribution of the part to the whole. Parts of the society are functional insofar as they maintain the system and contribute to its survival. Thus a function of the family is to ensure the continuity of society by reproducing and socializing new members. A function of religion is to integrate the social system by reinforcing common values. Functionalists also employ the concept of dysfunction to refer to the effects of any social institution which detract from the maintenance of society. However, in practice they have been primarily concerned with the search for functions and relatively little use has been made of the concept of dysfunction.

A major concern of the functionalists has been the question how social systems are maintained. This concern has tended to result in a positive evaluation of the parts of society. With their concern for investigating how functional prerequisites are met, functionalists have

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concentrated on functions rather than dysfunctions. This emphasis has resulted in many institutions being seen as beneficial and useful to society. Indeed, some institutions such as the family, religion and social stratification, have been seen as not only beneficial but indispensable. This view has led critics to argue that functionalism has a built-in conservative bias which supports the status quo. The argument that certain social arrangements are beneficial or indispensable provides support for their retention and rejects proposals for radical change.

8.2.1 Premises and Propositions in Functionalism

1. Functional analysis involves the prior conceptualization of a system and a definite emphasis on the primacy of the system over elements (whole is more than sum of its parts).
2. The elements of the system are functionally interrelated.
3. Every element of the system has a function which contributes positively to continues operation of that system or, negatively, towards its disintegration and change (dysfunctional).
4. Every system is a well integrated configuration of elements that constitute an organic whole.
5. Every society is a relatively persistent structure of elements with built-in mechanism for self regulation.
6. The functioning of a social system depends on consensus of its members on common goals and values related to the basic needs of society.
7. Functionalism maintains that the dominant condition of society s order reinforced by stability and consensus, and not conflict based on coercion and dissension.
8. There are certain functional requisites that must be met if a system is to survive.

8.2.2 Functionalist Views

Comte: Consensus Universal Society is a functionally organised system, with its components in harmony.

Spencer: Organic Biological Model When an organisation is well developed, the dependence of each part upon the rest is so great that separation is total.

Durkheim: Causal Functional Analysis Elaborated the logic of functionalism by systematically explaining the causes and consequences of social facts and established functionalism as a viable methodological and theoretical tool for sociological analysis.

Malinowski: Individualistic Functionalism Treatment of social and cultural systems as collective responses to fundamental biological needs of individuals modified by cultural values. Viewed culture as an instrumental reality that existed and functioned in response to a variety of individual needs whose fulfillment led to the development of numerous cultural patterns and social usage.

Radcliffe-Brown: Structural Functionalism Focused primarily on the function of each element in the maintenance and development of a total structure, and largely overlooked functional consequences of specific elements for differentiated parts of the whole and for the individual components.

8.2.3 Robert K. Merton: Postulates of Functional Analysis

Robert K. Merton has contributed significantly to the codification and systematisation of functional analysis. Merton reviewed the essential postulates in functional analysis and criticized and modified them as follows:

1. Postulate of the functional Unity of Society: According to this postulate, any part of the social system is functional for the entire system. All parts of society are seen to work together for the maintenance and integration of society as a whole. For example, Radcliffe-Brown speaks of the contribution of particular social usages 'to the total social life as the functioning

of the total social system', and Malinowski, going one step further, argues that usages are functional 'for culture as a whole, indirectly therefore for the biological and mental welfare of each individual member'. Merton questions this assumption and argues that particularly in complex, highly differentiated societies, this 'functional unity' is doubtful. He provides the example of religious pluralism to illustrate this point. In a society with a variety of faiths, religion may tend to divide rather than unite. Merton argues that functional unity is a matter of degree. Its extent must be determined by investigation rather than simply beginning with the assumption that it exists. Merton suggests that in highly differentiated societies, institutions may well have a high degree of 'functional autonomy'. Thus a change in a particular institution may have little or no effect on others.

2. Postulate of Universal Functionalism: This postulate assumes that 'all standardised social or cultural forms have positive functions'. 19th century anthropologists, for example, assumed that every continuing social pattern or custom must have positive functions contributing to the maintenance of the system and dubbed as 'survivals' any pattern whose functions could not be readily identified. Typical is Malinowski's contention that "in every type of civilization, every custom, material object, idea and belief fulfils some vital function".

Merton argues that the assumption of every aspect of the social system performing a positive function is not only premature, it may well be incorrect. He suggests that functionalist analysis should proceed from the assumption that any part of society may be functional, dysfunctional or non-functional. In addition, the units for which a particular part is functional, dysfunctional or non-functional must be clearly specified. These units may be individuals, groups or society as a whole. Thus poverty may be seen as dysfunctional for the poor but functional for the non-poor and for society as a whole.

3. Postulate of Indispensability: This assumption states that certain institutions or social arrangements are indispensable to society. Functionalists have often seen religion in this light. For example, Davis and Moore claim that religion 'plays a unique and indispensable part in society'. Merton questions the assumption of indispensability arguing that the same functional prerequisites may be met by a range of alternative institutions. Thus there is no justification for assuming that institutions such as the family, religion and social stratification are a necessary part of all human societies. To replace the notion of indispensability, Merton suggests an alternative concept of 'functional equivalents' or 'functional alternatives'. From this point of view a political ideology such as communism can provide a functional alternative to religion. However, Merton is still left with the problem of actually identifying functional prerequisites.

Merton argues that these three postulates are little more than articles of faith. They are matters for investigation and should not form prior assumptions. Merton claims that his framework for functionalist analysis removes the charge that functionalism is ideologically based. He argues that the parts of society should be analyzed in terms of their 'effects' or consequences' on society. Since these effects can be functional, dysfunctional or non-functional, Merton claims that the value judgement present in the assumption that all parts of the system are functional is therefore removed.

8.2.4 Talcott Parsons

Parsons had a powerful influence on sociology after the Second World War, particularly in America. As often criticized as supported, Parsons' work was at the centre of debate in sociological theory until the mid 1970s. Parsons' starting point is the theory of social action, the essential feature of which is the relationship between actors and features of their environment, social and natural, to which they give meaning. The most important features of the environment consist of other people which suggests further that social interaction, in which actors have to take notice of the actions, wishes and aims of others, should be the focus of enquiry.

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Parsons notes that social interaction has a systemic character, hence his use of the term social system. The concept that bridges social action and social system is that of pattern variables. He defines these as the fundamental dilemmas that face actors in any situation. Social systems may be characterized by the combinations of solutions offered to these dilemma, (i) Particularism vs. universalism (ii) Performance vs. quality (iii) Affective neutrality vs. affectivity (iv) Specificity vs. diffuseness.

These pattern variables structure any system of interaction. Such systems, however, also have certain needs of their own which have to be met, as required both by relationship between the social system and its environment and by the internal workings of the system. There are four such functional needs, known as AGIL: adaptation, the need to relate to the environment by taking resources from it; goal attainment, the setting of goals for the system; integration, the maintenance of internal order; latency or pattern maintenance, the generation of sufficient motivation to perform tasks. In order to meet each of these functional needs, groups of actions or subsystems of action develop. At the most general level, for example, the cultural subsystem performs the latency function and the social subsystem the function of integration. Each of these sub-systems, in turn, is also faced by the same four functional needs and consequently each subsystem can be divided into four sub-systems. In the social system as a whole, the economy performs the function of adaptation, for example. In theory, there is no limit to subdivision of systems and Parsons describes in detail the structure of the economy and the relations between it and the other sub-systems of the social system.

Parsons holds that systems of social action tend to equilibrium even if they never actually reach it, and that social change is movement from one state of equilibrium to another.

8.2.5 Emile Durkheim

It has been pointed out by critics of functionalism that it pictures the individual as having little or no control over his own action. Rather than constructing their own social world, members of society appear to be directed by the system. Many have questioned the logic of treating society as if it were something separate from its members, as if it shaped their actions rather than being constructed by them. This criticism has been rejected by Durkheim. According to him, society has a reality of its own over and above the individuals who comprise it. 'Social facts' constrain members of society through their ways of acting, thinking and feeling, external to the individual and endowed with a power of coercion. Beliefs and moral codes are passed on from one generation to the next and shared by the individuals who make up a society. From this point of view it is not the consciousness of the individual which directs his behaviour but common beliefs and sentiments which transcend the individual and shape his consciousness. Having established to his own satisfaction that social facts can, at least for purposes of analysis, be treated separately from social action, Durkheim is free to treat society as a system which obeys its own laws. He is now in a position to "seek the explanation of social life in the nature of society itself."

Durkheim talks of two ways of explaining social facts and in both cases the explanation lies in society. The first method involves determining the cause of a social fact, of seeking to explain its origin. In Durkheim's view, 'the determining cause of a social fact should be sought among the social facts preceding it and not among the states of individual consciousness'. However, the explanation of a social fact also involves an analysis of its function in society, of its contribution to the general needs of social organism', of its function in the establishment of social order'. Durkheim assumes that the explanation for the continuing existence of a social fact lies in its function, that is in its usefulness for society. According to Durkheim, social facts continue in existence because they contribute in some way to the maintenance of society, because they serve 'some social end'.

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Much of Durkheim's work is concerned with functional analysis, with seeking to understand the function of social facts. He assumes that society has certain functional prerequisites, the most important of which is the need for 'social order'. Durkheim begins with the question of how a collection of individuals can be integrated to form an ordered society. He sees the answer in consensus, in a 'collective conscience' consisting of common beliefs and sentiments. This consensus on fundamental moral issues, according to Durkheim, is a must for social solidarity, and for binding individuals into an integrated social unit. Without social obligations backed by normal force, the cooperation and reciprocity which social life requires would be absent. If narrow self-interest rather than mutual obligation was the guiding force, conflict and disorder would result. The collective conscience constrains individuals to act in terms of the requirements of society. Since the collective conscience is a social fact and, therefore, external to the individual, it is essential that it be impressed upon him. Durkheim argues that 'society has to be present in the individual'.

Durkheim's functionalism is set in the framework of the above argument. It may be illustrated by his analysis of the functions of religion. Social order requires that individuals experience society within themselves, realize their dependence upon it and recognize their obligations which are fundamentally social. By symbolising society and so making it sacred, religion meets these requirements. It makes social life possible by expressing, maintaining and reinforcing the sentiments or values which form the collective conscience. Social obligations are represented in sacred terms and so transformed into religious duties.

8.3 CONFLICT PERSPECTIVE

The conflict perspective is most directly based upon the work of Karl Marx, although many scholars can be said to have contributed to this approach. Marx saw class conflict and class exploitation as the prime moving forces in history. Largely ignored by sociologists for many years, the conflict perspective has recently been revived by C. Wright Mills, Lewis Coser, Raymond Aron, Dahrendorf and others. Where functionalists see the normal state of society as one of stable equilibrium, conflict theorists see society to be in a continuous state of conflict between groups and classes. Although Marx concentrated on conflict between classes for ownership of productive wealth, modern conflict theorists take a less narrow view. They see the struggle for power and income as a continuous process but one in which many categories of people appear as opponents—classes, races, nationalities and even the sexes.

Conflict theorists see a society as held together through the power of dominant groups or classes. They claim that the 'shared values' which functionalists see as the glue holding society together do not really form a true consensus; instead, this is an artificial consensus in which the dominant groups or classes impose their values and rules upon the rest of the people. According to conflict theorists, functionalists fail to ask the question, "functionally useful to whom?" Conflict theorists accuse functionalists of a conservative bias in that functionalists assume that this 'harmonious equilibrium' is beneficial to everyone, whereas it benefits some and penalises others. Conflict theorists see the harmonious equilibrium of society as an illusion held by those who fail to see how the dominant groups have silenced those whom they exploit.

Conflict theorists ask such questions as— "How have the present patterns emerged from the contest between conflicting groups, each seeking its own advantage?" "How do the dominant groups and classes achieve and maintain their position of privilege?" "How do they manipulate the institutions of society (schools, churches, mass media) to protect their privileges?" "Who benefits and who suffers from the present social arrangements?" "How can society be made more just and humane?"

Basic Concepts & Perspectives The essential postulates of conflict theory are mentioned below:

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1. Society is not a system in equilibrium but a nebulous structure of imperfectly coordinated elements which are held together by the coercion of some elements and the subjection of others.
2. Society and its elements are in the process of incessant change although at varying degrees; change and conflict are continuous and normal features of human society.
3. Society is a stage populated by living, struggling and competing actors; the social universe is the setting within which the conflicts of life are carried out.
4. Social conflicts are inherent in the very nature of social structure; the distinction between exogenous and endogenous conflicts is valid only in the analytical sense.
5. The inherent predilections to change in society vary in scope, nature, intensity and degree of velocity; they may be patent or manifest, gradual or lestructure.
6. Endogenous conflicts arise out of disintegra tion or differential articulation of structural concomitants, incompatibility the interests of groups and individuals, differential distribution of rewards, and the imperatives of super orientation and subordination and the lack of value consensus. Dahrendorf has summarised the essential elements of conflict theory as follows:
 - (a)Every society is subjected at every moment to change; social change is ubiquitous.
 - (b)Every society experiences at every moment social conflict; social conflict is ubiquitous.
 - (c)Every element in a society contributes to its change.
 - (d)Every society rests on constraint of some of its members by others.

8.3.1 Comparison of Two Major Perspectives in Sociology

Perception of	Functionalist theory	Conflict theory
Society	A Stable system of cooperating groups.	An unstable system of opposing groups and classes.
Social class	A Status level of persons sharing similar incomes and life styles. Develops from different roles persons and groups perform.	A group of people sharing similar economic interests and power needs. Develop from the success of some in exploiting others.
Social Inequality	Inevitable in complex societies. Due largely to different contributions of different groups.	Unnecessary and unjust. Due largely to power differences. Avoidable through socialist re-ordering of society.
Social Change	Arises from changing functional needs of society.	Imposed by one class upon another in its own interest.
Social Order	An unconscious product of people's efforts to organize their activities productively.	Produced and maintained by organized coercion by the dominant classes
Values	Consensus on values unites the society.	Conflicting interests divide society.
Social institutions	Cultivate common values and loyalties which unite society.	Cultivate values and loyalties which protect the privileged.
Law and Government	Enforce rules reflecting vale consensus of the society.	Enforce rules imposed by dominant classes.

8.4 INTERACTIONIST PERSPECTIVE

Sociological Perspectives

No grand theory of society is suggested by the interactionist perspective since 'society', 'the state', and 'social institutions' are conceptual abstractions, while only people and their interaction can be studied directly. Symbolic interactionists such as G.H. Mead and C.H. Cooley concentrate upon this interaction between individuals and groups. They argue that it is mainly symbols through which people interact. The symbols include signs, gestures, and most importantly, written and spoken words. A word does not have any inherent meaning. It is simply a noise, but it becomes a word when people reach agreement that this noise carries a special meaning. Thus 'yes', 'no', 'go', 'what', 'come' and thousands of other sounds become symbols as a meaning is attached to each. Although some meanings can be exchanged without words, most meanings are exchanged through spoken or written words.

People do not respond to the world directly; they respond to meanings they impute to the things and happenings around them: a trafficlight, a line-up at a ticket window, a police officer's whistle and hand signal. W.I. Thomas coined the phrase definition of the situation, noting that we can act sensibly only after we decide what kind of situation it is. If a man approaches with his right hand extended, we define this as a friendly greeting; if he approaches with clenched fists, we define the situation differently. The person who is not able to define situations and tries to run when he should be friendly, or vice-versa is a stock comic figure. But in real life, failure to define behavior situations correctly and make appropriate responses can have unhappy consequences.

As Berger and Luckmann state in their *Social Construction of Reality*, society is an objective reality in that people, groups and institutions are real, regardless of our perceptions of them. But society is also a subjective reality in that for each person, the other persons, groups and institutions are whatever that person perceives them to be. Whether most people are pretty nice or pretty nasty, whether the police are protectors or oppressors, whether the corporation serves common interests or selfish interests—these are perceptions which persons form from their own experiences, and these perceptions become 'the way it is' for persons holding them.

Modern interactionists such as Irving Goffman and Herbert Blumer emphasize that people do not respond to other people directly; instead they respond to whatever they imagine other people to be. In human behaviour, 'reality' is not something that is just out there like the kerbs and sidewalks along the street; reality is constructed in people's minds as they size one another up and guess at the feelings and impulses of one another. Thus the people with whom we interact are, to some extent, creatures of our own imagination. Whenever two groups, such as workers and management, arrive at sets of firmly held opinions about each other, such a 'Social Construction of reality' has taken place. In like manner, situations are defined by us, and become part of the 'reality' to which we respond. Whether a new rule is a protection or oppression is measured by our definition of it. The symbolic interactionist perspective concentrates upon what meanings people find in other people's actions, how these meanings are derived, and how others respond to them. The interactionist perspective has brought a great deal of insight into personality development and human behavior. It has been less helpful in the study of large groups and social institutions.

Three basic premises of symbolic interactionism as outlined by Herbert Blumer:

- i. That human beings act towards things on the basis of the meanings that the things have for them.
- ii. That the meaning of such things is derived from, or arises out of, the social interaction that one has with one's fellows;

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- Basic Concepts & Perspectives** iii. That these meanings are handled in, and modified through an interpretative process used by the person in dealing with the things he encounters.
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8.5 SUMMARY

The sociological perspective is a perspective on human behavior and its connection to society as a whole. It invites us to look for the connections between the behavior of individual people and the structures of the society in which they live.

Typically, we tend to think of our society as just natural. We think that it is just "there" the way the air is. We don't think about how it affects us and our behavior. The sociological perspective is one in which we do not do this. Instead, we look at our society and the way it is set up. We ask how that society affects us. In this way, the sociological perspective helps us to understand how society is important in shaping our everyday lives.

8.7 REVIEW QUESTIONS

Explain sociological perspectives:

- a. Functional Perspectives
- b. Conflict Perspectives
- c. Interactional Perspectives.

INTRODUCTION TO PUBLIC ADMINISTRATION

I-B.A (Public Administration) / I-Semester

As per Choice Based Credit System (CBCS)



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Lesson 1

MEANING OF PUBLIC ADMINISTRATION

Structure

- 1.0 Aims and Objectives
- 1.1 Introduction
- 1.2 Meaning
- 1.3 Definitions
- 1.4 Nature and scope of Public Administration
 - 1.4.1 Scope of Public Administration
- 1.5 Administrative Theory & Applied Administration
- 1.6 Public Administration and Private Administration
 - 1.6.1 Similarities
 - 1.6.2 Differences between Public and Private Administration
- 1.7 Public Administration a Science
- 1.8 Various approaches to the study of Public Administration
- 1.9 Public Administration differs from Management
- 1.10 Challenges in the Scope of Public Administration
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 - 1.13.2 Liberalization
- 1.14 Summary
- 1.15 Keywords
- 1.16 Answers to 'Check Your Progress'
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1.0 AIMS AND OBJECTIVES

By studying this unit you will be able to understand

- Meaning and scope of Public Administration.
- Difference between Public Administration and Private Administration.
- Importance of Public Administration.
- How Public Administration differs from Management.

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1.1 INTRODUCTION

Public Administration is one of the youngest branches of political science. It is both an academic discipline and administrative activity. As an activity, it is as old as human civilization. As an academic discipline it is, however, just one hundred years old. Public administration is one of the youngest branches of political science. It is both an academic discipline and administrative activity. As an activity, it is as old as human civilization. As an academic discipline, it is however, just one hundred years old.

Public administration contains two aspects in its scope of the study. They are

(a) Administrative theory and (b) Applied administration. Administrative theory implied that administration is concerned with the theory part of administration. As such it includes – (i) principles of organization like hierarchy, co-ordination, centralization, decentralization, delegation of authority, etc. (ii) Personnel administration consisting of the aspects of the recruitment, training, promotion, retirement etc., of the personnel. (iii) Financial administration, and (iv) Administrative control. Applied administration is concerned with political functions (including the legislative, executive and administrative) of the cabinet. In simple words, it covers the whole range of executive, political, social, and financial functions of the government.

1.2 MEANING

It consists of two words viz, ‘**Public**’ and ‘**Administration.**’ The word “**Administration**” is derived from two Latin words ad and ministrare which mean to serve, to manage affairs or to look after. Felix A. Negro has defined administration as “determined action taken in pursuit of a conscious purpose”. In every kind of administration; a common purpose and collective or group effort are there. It is a generic word i.e., different kinds of administrations like military administration, revenue administration and private administration.

The word ‘**public**’ has several meanings. It may mean people or government. However in public administration the word public denotes government. Thus, the literal meaning of Public Administration goes as to serve the general public.

1.3 DEFINITIONS

- 1) “It is a detailed and systematic execution of public Law.” - **Woodrow Wilson**
- 2) “Public Administration consists of all those operations having for their purpose the fulfillment or enforcement of public policy”.
- **L.D. White**
- 3) “Administration has to do with getting things done. Public Administration is that part of the science of administration which has to do with government and this concerns itself primarily with executive branch, where the work of the government is done, though there are obviously problems in connection with the legislative and judicial branches”.

— **Luther Gulick**

1.4 NATURE AND SCOPE OF PUBLIC ADMINISTRATION

Public Administration deals with the administrative activities of the three branches of the Govt., that is Legislature, Executive, and Judiciary. There is a big question in public administration as to what constitutes administrative activity. L.D. White and Merson extended the scope of the administrative activity to all the three branches. However, Luther Gulick and E. Dimock confined its scope to the executive branch of the govt. only. Willoughby has rightly remarked: Public Administration in its broadest sense denotes the work involved in the actual conduct of government affairs regardless of the particular branch of the government concerned. In its narrow sense it denotes the operations of the administrative branch only. As students of the Public Administration we are concerned with narrow meaning of the term.

There are two views on what constitutes administrative activity (1) Integral view, (2) Managerial view.

Integral View: According to this view, administrative activity means the sum total or the whole complex of activities manual, clerical, technical and managerial which are undertaken to realise the objective in view. i.e. the implementation of policy. This view is taken by L.D.White.

Managerial View: According to this view, administrative activity is restricted to the activities of a few persons at the top. It is identified with the managerial techniques common to all the fields of administration. Simon, Smithberg and Thompson subscribe to this view.

The above views explain the meaning and nature of the public administration. However, neither of the two views is totally correct. The reality would depend upon the context in which it is used.

1.4.1 Scope of Public Administration

If we accept the managerial view regarding the scope of public administration it includes all the activities of the executive branch of the government. This view is also known as the POSOCORB view. **POSOCORB** is the word coined by the Luther Gulick. Every letter of this word indicates the following.

“P”: Planning

“O”: Organisation

“S”: Staffing

“D”: Direction

“Co”: Co - ordination

“R”: Reporting

“B”: Budgeting

According to Henry Fayol, the study of Public Administration includes the study of planning, organisation, command, co - ordination and control.

Distinction between Integral and Managerial Views-an Example: Let us take the example of a college. It employs the principal, heads of the departments, lecturers,

Meaning of Public Administration

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tutors, manager, LDCs, UDCs, typists, watchmen, gate keepers etc. According to integral view the work of all from the top to the bottom, i.e., from the work of the principal to the gate - keeper is considered to be administration. If we accept the managerial view, the work of the principal, heads of the departments and the manager only come under the scope of public administration.

1.5 ADMINISTRATIVE THEORY & APPLIED ADMINISTRATION

According to M.P. Sharma, the scope of public administration can be divided into two parts. (i) Administrative Theory, (ii) Applied Administration.

Administrative Theory: It implies that administration is concerned with the theory part of administration. As such, it includes (i) principles of organisation like hierarchy, coordination, centralization, decentralization, delegation of authority etc., (ii) personnel administration consisting the aspects of the recruitment, training, promotion, retirement etc. of the personnel, (iii) financial administration, and (iv) administrative control.

Applied Administration: Applied administration is concerned with political functions (including the legislative, executive and administrative) of the cabinet. In simple words it covers the whole range of executive, political, social and financial functions of the government.

It is important to note that public administration has become interdisciplinary, after the Second World War. New approaches have come in. As a result decision making models, systems analysis, human relations studies etc., have become very popular.

1.6 PUBLIC ADMINISTRATION AND PRIVATE ADMINISTRATION

The word '**Administration**' is derived from two Latin words Ad and Ministrare which mean 'to care for,' to look after people' and 'to manage affairs'. Administration is a process which permeates all collective effort. It may be public or private, civil or military, large scale or otherwise. It is universal in nature.

According to John A. Veig Administration is, "determinate action taken in pursuit of a common purpose". Administration denotes three things (1) It is an activity of organising and managing common affairs. (2) It is an agency which carries out that activity. (3) It is also a science which deals with that activity.

Administration may be public or private. When the word refers to the private institutions like the family, the school and the club, it is called Private Administration. When it is referred to the institutions of the state it is known as Public Administration.

Public and Private Administrations are often compared and contrasted. According to the writers like Henry Fayol, Mary P. Follet and L. Urwick all administration is one and exhibits the same characteristics. They do not make a distinction between public and non - public or private administrations.

1.6.1 Similarities

Both manifest common features at several points.

1. **Skills:** Many of the clerical, accounting, statistical and managerial skills, required

to both are the same. This is illustrated by the occasional interchange of personnel between the two. Instances of government officials being absorbed in business and industry and vice versa are not uncommon.

2. **Influence each other:** Some of the practices in vogue in private administration have been influencing public administration and are assimilated by the latter. The emergence of Public Corporation - "a half way house between its commercial prototype and the traditional governmental department" is a pointer of this trend.
3. **Interchange of Personnel:** A practical demonstration of this similarity is provided by the employment in public services of persons belonging to the private administration and vice - versa.
4. **Establishment of Administrative Staff College at Hyderabad:** This College imparting training to the personnel drawn from industry, commerce and government is a striking example at the similarities between private and public administrations. It believes that administration in these different spheres has common features.
5. **One invents and other borrows:** Private administration is creative and highly flexible. It swiftly changes according to the needs and changes. Therefore, it is natural that it invents new techniques of management and methods of work. It is equally natural that public administration cannot afford to ignore the results of its experiments.
6. Both private and public administrations provide services to the society.
7. Both emphasize the aspects of human relations, motivating factors, incentives and communications.
8. Both are characterised by bureaucracy and hierarchy.

1.6.2 Differences between Public and Private Administration

Writers like Appelby have pointed out the following differences:

1. **Organisation:** The size of the institutions in public administration or public sector is very large than that of the private institutions. Government is the employer to lakhs of employees. It is spending crores of rupees in the form of salaries to its employees. But it is not so in the private sector institutions.
2. **Impact:** Government is the agent of the state. Its responsibility is to implement the state laws systematically. Therefore, the impact of public administration is felt by the nation as a whole. But the impact of the private administration on nation or people is very much limited.
3. **Essential Services:** Defense, law and order, maintenance, creation of educational and health facilities, and other essential services related to, public life are provided by the Public Administration. In the discharge of these duties and services, any lapse or negligence results in paralisation of the public life. Neither the services nor the goods provided by the private administration do not hold that much of great importance.
4. **Monopolistic Functions:** Regarding the discharge of functions like defense, maintenance of law and order, postal and telegraphs, railways etc, the government acts almost like a monopolist. In these fields there is no competition between the

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private and public sector institutions. But there is a loss of competition between the non - public institutions.

5. **Political Interference :** Public administration is marked by political interference. Policies, by and large, are formulated by political leaders. In the parliamentary countries, the departments are held by the ministers. Besides, ruling party also depends on the bureaucracy in fulfilling its promises. Thus, we find political interference in the Public Administration. The case in Private Administration is otherwise and there is less political interference.
6. **Profit Motive:** Public Administration is characterised by an absence of profit motive. In private administration, profit motive is its driving force and not philanthropy.
7. **Consistency of Treatment:** Public Administration, scrupulously observe the principle of consistency of treatment. It cannot give preferential treatment to a few segments of the society. On the other hand, private administration very often practices discrimination in selling its services.
8. **Impress of Anonymity:** A public official bears the impress of anonymity. He acts in his official capacity. He is protected from harm or criticism, by the well - known convention of ministerial responsibility, for all his acts so performed.
9. **Social Prestige:** Public Administrator carries a greater social prestige than his private counterpart. This is because of the greater opportunity of serving the people that the public administration offers.
10. **Financial Control:** Public Administration is subjected to external financial control. It is the legislature that passes the appropriation bill which authorises the executive branch to spend the money. Thus there is a dichotomy between administration and finance. This kind of separation is absent in private administration.
11. **Codes and Ethics:** Codes or Ethics for private and public administration are different. For example, public administration cannot advertise its services in the way in which business firm can advertise its products. Government advertisement or publicity is looked upon with great suspicion and hostility.

Difference is one of degree rather than kind: To sum up, public administration has certain special features. Public accountability is its half - mark; consistency of treatment is its watch dog; and consciousness of service to community is its ideal. However, private business too is obliged to functions within the framework of general laws and special laws controlling it. Profit motive is no longer its driving force. . Therefore the difference between the two is one of degree and rather than kind. Nevertheless, private and public administrations are not two distinct entities. They are the two species of the same genus, administration.

1.7 PUBLIC ADMINISTRATION A SCIENCE

Public administration as an administrative activity is as old as human civilization. As an academic discipline, however, it is a century old. Public administration as an activity of administering governmental affairs is decidedly an art. But in Public administration as a subject of study of governmental affairs, a Science? This is a big question.

Public Administration as an Art: Public administration as skill has been practiced

from times immemorial. From the very early days, several maxims and classical books served as pieces of valuable information for the practice of public administration. Some of the examples are Kautilya's Arthashastra, Abul Fazl's Ain-e-Akbari, works of Confucius in China, Cicero's De Officiis in Rome and Machiavelli's Prince in Italy. .

There are writers who emphasize the subjective aspect of Public Administration which is primarily an art. They refuse the claim of Public Administration to be a science. For instance, Prof Jacob Viner remarks, "No one knows better than the occupants of the social science chairs that their discipline is so fallible and erratic that to persist in the term 'scientific' is an open invitation to ridicule".

Practice and devotedness are necessary to the administrators also. Knowledge of art cannot be gained quickly. It requires constant effort. In fact, Public Administration is an art as it evolves gradually along with the development of society.

Whether Public Administration is a science or not The answer to this question depends on the definition we give to the word '**Science**'. If by science, we mean a conceptual scheme of things in which every particularity covered may be assigned a mathematical value, then Public Administration is not a science.

On the other hand if we use the word science as a body of systematized knowledge derived from experience and observation then Public Administration is a science.

Public Administration is not a Science: Public Administration being a species of human behavior is not a subject of uniformities of nature like physical phenomena. It is not possible to isolate the facts of administration. It is difficult to measure and classify them with any exactness.

1. **Scientific methods of Study: Application is difficult:** Public Administration studies human behavior also which is influenced by free will, choice, Purpose, value and so on. Hence it is not possible to apply scientific methods to study it.
2. **No common Definition:** There is no agreement even on the definition of Public Administration itself. While some writers viewed it from operational aspects, others viewed from humanistic aspects. In science, there is an absolute agreement on the definition of the subject. .
3. **No agreed Principles:** Hardly any two writers agree about them. L.D. White points out that for every principle of Public Administration which is stated with some plausibility it is generally possible to advance an exactly opposite one with an equal degree of plausibility.
4. **No Universality:** Administrative policies change from country to country due to the differences in their political systems. The cherished administrative policy of one country may be rejected by another country.
5. **Presence of Normative value:** Public Administration is finally politics. Normative values are not sacrificed totally. If this were not so, a computer could have been an ideal chief executive.

Public Administration's claim of being a science: With the growth of administration in government and industry, Public Administration has begun to claim the status of a science. Administrative skill and experience have been systematized. Scientific methods

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of study have been applied to it. Principles of general applicability has been evolved. The movement of scientific management has given impetus to this process. Following are the arguments for the claim of Public Administration to be a science:

- i) **It is a science yet to be developed :** F. W. Taylor and Urwick hold the view that Public Administration is a science yet to be developed. There are so many unknown factors and so much territory is unexplored in the field of administration. As such the generations arrived at present are only a framework of ideas yet to be systematised. Hence it is a science yet to be developed.
- ii) **It is already a Science:** There are writers who hold the view that Public Administration is already a science as any other social science. It has far it a field of its own, well marked out. Data is often gained through the scientific methods of study and principles are evolved. This view is expressed by Merton.
- iii) **It is a Science with some Degree of Exactness:** There a writers who claim a fair, degree of exactness to the science of Public Administration. Charles, A. Beard holds, "Public Administration has developed a body of rules and axioms which experience has demonstrated to be application to concrete practice and to working lout approximately as forecast".

1.8 VARIOUS APPROACHES TO THE STUDY OF PUBLIC ADMINISTRATION

Public Administration is a social science and as such there cannot be a single method. In physical sciences, scientific method is employed. But in social sciences the use of scientific method is limited. The subject matter in the study of social sciences is variable. Hence the social sciences must pursue all possible methods and see where and to what extent they can be used.

The methods or approaches to the study of Public Administration can be categorized from many angles. One way may be to divide them into Normative and Empirical Approaches. The Normative Approach concentrates on what Public Administration should be. The Empirical Approach concentrates on descriptions and analysis of actual administrative situations.

Another classification of approaches is based upon the objects of study the individual scholar seeks to emphasize. Philosophical, legal, historical, case method, institutional, structural and the behavioural approaches come under this.

1. **Philosophical Approach:** This is the oldest approach. This can be found in the 'Shantiparva of Mahabharata', Plato's 'Republic' Hobbe's 'Leviathan' etc. The goal of this approach is to enunciate the 'principles', or 'ideals', underlying all the aspects of administrative activities.
2. **Legal Approach:** This is systematically formulated approach. It is traced in the European tradition of rooting public administration in Law. This approach found its place when the functions of the state were limited and simple in nature. The followers of this approach study the Public Administration as a part of law and concentrate on the legal structure and organisation of the public authorities.
3. **Historical Approach:** This method attempts to study the past and analyse the

situation on the basis of the materials covered. This approach is suited to a country which has a rich past. It attempts at identifying the uniqueness of the administrative system. Indeed, many administrative system can be best understood in the light of their past.

4. **The case method Approach:** This approach has gained popularity in 1930's. A case' is defined as 'a narration of what has actually taken place keeping in tact the context and all relevant dimensions'.

This approach studies the administrative decisions as the focal points for historical expeditions. With the help of recorded fact of similar types of cases the administration arrives at rational conclusions. This method could not become very much popular because of some limitations. It is learned, that in most cases, the government may not agree to furnish the necessary information. In the absence of such data, it is not possible for the administration to utilise this method. The administrator may have his own viewpoint regarding the case and he may not be interested in knowing the previous cases of this type. In spite of these limitations, this method is employed in India, U.S.A and many other countries of the world.

5. **Comparative Method:** This method is based on history this method, the comparative study of different organisations, their policies or programmes is essential to discover General Principles of Administration. In this approach, the emphasis is on understanding the problem of administration under different socio-political cultural settings.
6. **Behavioral Method or Approach:** The method has proved to be useful in Public Administration. Those who favour this approach believe that the administration should know the behaviour of the people before arriving at any decision. He should discover the facts about the human behaviour. Herbert A. Simon and Robert A. Dahl are the pioneers of this approach.
7. **Institutional Approach:** This approach concentrates on the description of administrative structure of the governmental policies. It studies organisation, personnel management and financial administration. However this approach is missing the 'human elements'.
8. **Psychological Approach:** Now - a - days, this approach gaining much popularity. M.P. Follet applied this method. She showed how the mass behaviour, community sentiments and the trade union feeling have always been influencing the decision making process.
9. **Systems Approach:** The origin of this approach is traced to the thinking of a Biologist, Von Bertalanfly According to this approach in Public Administration, an organization is to be viewed as a social system in its totality. The chief contributor to this approach is Herbert Simon.
10. **Ecological Approach:** The word 'Ecology' refers to "the mutual relations, collectively between organism and their environment". This approach found its place in the writings of John Gaus. F.W. Riggs is the chief exponent of this approach. This approach is based on the idea that an administrative system acts and reacts under the influence of various sub system surrounding it. There is a great degree of

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interdependence between all social organisations and their ecological settings which include the factors like topography, population, levels of physical and social technology etc.

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After having discussed the various approaches, the one question that arises here at this stage: Which approach is preferable to the study of Public Administration?

The answer to this question is vividly given in the following lines. Scholarship is a quest after truth like a diamond has many faces or facets, which may not be adequately studied by any one approach. No single approach is sufficient in itself. A mix of approaches, since these approaches do not stand in dichotomous relationship, will benefit and serve the study of Public Administration.

1.9 PUBLIC ADMINISTRATION DIFFERS FROM MANAGEMENT

Public Administration means a co-operative and co-coordinated effort in the pursuit of certain common goals or objectives. Public Administration also means that it is a determined action taken in pursuit of a purpose. It is the systematic ordering of affairs and calculated use of resources for the desired things to happen. Public Administration is also the direction and organization of human and material resources for the achievement of desired goals. Further, Public Administration is the direction, co-ordination and control of many persons for the achievement of some purpose or objective. Public Administration can also be defined as consisting of all those operations undertaken for the execution of public policy. It is also systematic and detailed application of law. It is the law in action and executive side of the government.

On the other hand, management is a process made up of several definite functions. Management is a process of achieving a desired goal. It means the accomplishing of pre-determined goals. Thus, the management is confused with Public Administration. There are writers who equate the term Public Administration and Management. Often they are used interchangeably. However, the fact is that these words give different meanings in different contexts. Normally, the process of making decisions for achievement of goals is referred to as management in business organisations whereas administration in governmental or public organisations.

There are different views regarding the distinction between Public Administration and Management. Scholars like Kontz and Newman argue that Public Administration and Management are similar concepts and any distinction between them is undesirable. On the other hand, scholars like Meyer, Ordway Read etc., who argued that these two must be separated as they are different activities. According to Meyer, management in contrast administration is purely an internal concept characterizing any activity discharged within the framework of an organisation. To Tead, Public Administration concerns with the determination of goals, and formulation of policies, exercise of control while management deals with the implementation of policies for the achievement of pre-determined goals. There are others who consider Public Administration as a decision making process while management as an executive function.

According to those who separate Public Administration and Management also agree that the administration generally occupies top positions in the organization while the

managers occupy the middle and lower positions. It is also maintained by these scholars that administrators make decisions to achieve goals while the managers implements these decisions. Thus administration is end oriented while management is means-oriented.

It can be noted that Public Administration is a wide process which includes setting of objectives and making of decisions establishment of structures and provision of human and financial resources for the achievement of these goals. In other words an administration involves the fulfillment. or getting done of a task by a group of persons. It is, thus the joint effort of several people for the achievement of desired goals. In other words, Public Administration is a wider process of integrating the efforts of several people for achieving the desired objectives. In contrast, management is simply the process of implementation of decisions and policies for the achievement of goals of the organisation.

However, there is another view which opposes the above opinion. According to this view point management is more comprehensive than Public Administration. This view states that Public Administration is the simple process of getting things done while management is dynamic, creative, innovative, and risk taking. Further, management is a broader field carrying out wide ranging, areas such as planning decision making, human behavior and also such other aspects like personnel administration, motivation, communication, leaderships, budgeting, accounting, auditing, marketing and so on. Thus management includes several areas that require skills and expertise.

In spite of the differences between Public Administration and Management it is believed that management approach is valuable for Public Administration. This belief has originated and also became popular in the United States. As a result of adoption of this approach, several changes have occurred in the system of Public Administration in this country. Several management techniques were adopted for the evaluation of the administrative programmes. Further several new analytical and evaluative tools were increasingly used for evaluating the public policies and programmes. However, the most important Management technique used in Public Administration in recent past is the computerization technique. The computerization technique has been becoming increasingly popular in Public Administration in both developed and developing countries since the last part of 20th century. However, the benefit of computerization to Public Administration has not yet been established clearly. But there is all the likelihood of computerization becoming still more popular in Public Administration in all countries in the near future.

However, it must be emphasized that the impact of management on Public Administration is not as strong as that of Political Science. Nevertheless, its impact on Public Administration is positive in several ways. Management Science had entered into the realms of Public Administration in its formative period. It is not a blood relative of Public Administration like Political Science. Further Management Science did not restrict the growth of Public Administration like its parent field Political Science. On the whole, the Management Science has benefitted the Public Administration in three ways. Firstly, it encourages Public Administration to examine what public is in Public Administration. Secondly, it encouraged the experts and practitioners of Public Administration to adopt new methodologies and techniques to improve its efficiency. Thirdly, it provided Public Administration a framework to evaluate itself on theory and practice.

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A dominant theme in the Public Administration since 1980 the emergence of Public Management. The growing disillusionment with the state as well as bureaucracy all over the world led many people to question the capacity of the government in serving the people and solving their problems. As a result of this development, a new concept known as Public Management gained currency in America and spread to other countries. The impetus to this new concept came from different sources. The first came from America where the view that management techniques used in private sector can profitably be used in public sector which would make it more efficient has become popular. Secondly, it is the neo-conservatism or new right which believes in the superiority of the market has popularised the concept of public management. The new management deemphasize its the role of state and bureaucracy and strongly emphasizes on the privatization, debureaucratization deregulation and so on.

Public Management heavily draws from the Political Science and Management Science. It emphasizes the importance of certain political concepts such as liberty, equality, law, constitution, rule of law etc., and at the same emphasizes on the management techniques such as cost-benefit analysis and so on. It stands for the adoption of management techniques for the problem solving by the state. Even though Public Management has become popular since 1980's onwards, it is not yet a fully developed concept.

1.10 CHALLENGES IN THE SCOPE OF PUBLIC ADMINISTRATION

There are different versions on the changing scope of public administration both as an academic discipline and as an activity. We find some shifts in its scope and importance. Some scholars have argued that as the scope of the state in welfare activities and other things have been reduced, consequently the scope of administration is also view as reduced. On the other hand, some other scholar viewed the role of the something of a change, and also of the administration.

1.10.1 Importance of Public Administration in the Changing Context

There are several conflicting view points with regard to the changing character and importance of public administration in the developing countries.

Some scholars and experts on public administration argue that as a result of the pressures of globalization, privatization and liberalization, the autonomy of the state and resulted in the reduced sphere of public administration. Public administration is withdrawing from the public sector organizations as a consequence of privatization. The size of the public services and public servants is also downsized. Public administration as a n agent of welfare is not relevant today. Its focus is on the development and economic growth of the sate. Economic policies and their implementation are gaining importance. Service sector are losing their prominence. Economy and efficiency is viewed as the twin goals of public administration and the objective of public welfare is replaced by profit making.

Some other scholars feel that public administration while continuing to be an agent of social and economic transformation it is necessary for it to play the role of an agent of welfare administration. It cannot withdraw or retreat from its responsibility of establishing an egalitarian society. The downtrodden and depressed sections of the society shall be

taken care of by the public administration. The welfare schemes shall continue and the bureaucracy has to change its culture. These scholars still feel that their revenue culture is not in tune with the development culture and the public administration should focus on the development of the weaker sections and it should also go for populist schemes.

In countries like India, it is true that there are many problems like dependence on agricultural sector, poverty, illiteracy, poor medical facilities and lack of infrastructural facilities necessary for the development. Under these circumstances, the state and public administration has to play the provider of services, fulfiller of the basic needs of the common man. He cannot be treated just simply like a customer as the privatization looks upon.

Therefore, many feel that state and public administration has to look after the needs of the common man. Only after providing the basic opportunities, it may of for globalization, liberalization and privatization. Hence it is also widely felt that if the reforms are pushed with hastiness, a country like India will face disastrous consequences.

Features of Administrative System:

Ferrel Heady in his Public Administration: A Comparative Perspective points out the following characteristics of the administrative patterns of the developing countries.

- i) The basic pattern of public administration is imitative rather than indigenous. All countries, including those that are not ex – colonies have consciously tried to introduce some version of bureaucratic model in administration.
- ii) The bureaucracies in these countries are deficient in the requisite skills necessary for the developmental programmes. The problem is not a general shortage of man power. It is often criticized that the administrators lack management capacity, developmental skills and technical proficiency.
- iii) The bureaucracies tend to emphasize on non – productive orientations. Much bureaucratic activities are channeled towards the realization of non – developmental goals. Riggs refers to this as a preference among bureaucrats for personal expediency as against principles and interests. This behavior is explained in their attachment to status based on ascription rather than achievement.
- iv) Non – merit considerations influence the promotion, assignment, dismissals, and other personnel practices, corruption is widespread.
- v) There is a widespread discrepancy between form and reality. This is another notable feature. Riggs has called this ‘Formalism’.
- vi) The bureaucracies in these countries opt to have a generous measure of operational autonomy.
- vii) Administration in these countries is handicapped by lack of public co – operation and participation. Public apathy may take the form of hostility to public officials.
- viii) There is problem of imbalance between the political wing and the administrative wing of the government. This is a peculiar and unique feature of the developmental process of the third world, contrary to the Western experience. In Western societies, the developmental process had originated from the economic sector. But due to the peculiarities of the administrative process of the third world societies, political and

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Self-Instructional Material **13**

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socio-economic development was preceded by administrative development. The relative predominance of bureaucracy over the public institutions is a natural by product of this imbalance of development between the bureaucratic and other non-governmental institutions.

There are several handicaps like shortage of capital, skilled manpower and lack of developmental infrastructure. The people in these countries expect the government to provide them with the basic needs like the supply of adequate electricity water supply, drainage, roads etc. The immensity of the developmental problems and the urgency of their solution has, in fact, thrust upon the state the principal burden of accomplishing the developmental goals. As a result, in the third world countries, the state is expected to bring rapid socio-economic development.

1.11 PUBLIC ADMINISTRATION IN THE MODERN STATES

Modern states are performing a variety of functions, protective, regulative and welfare. It is becoming almost a sort of producing, distributing and regulating agency. The responsibility of the state does not end just by designing its policy and plans. It is of non use unless they are translated into services. This task is carried on by public administration. If Public Administration fails, it is very difficult to imagine as to what happens to the human civilisation and its course. "If our civilisation fails, it will be mainly because of the breakdown of the Public Administration", declared Donoholms. In the words of C. Beard, "there is no subject more important than this subject of administration. The future of civilized government, I think, of civilization. The future of civilization itself rests upon our ability to develop a science and a philosophy and a practice of administration competent to discharge the functions of civilized society".

Factors responsible for the growth of importance of study of public administration:

1. Industrial Revolution has brought many changes in the world. Production became mechanized and large scale. Means of production are concentrated in the hands of the hands of the very few wealthy. Majority of the society are helpless. The state has to make several laws for ensuring the welfare of the laborers. Thus the scope of the Public Administration is enlarged.

Besides, the technological developments have made the processes of production more complex and intricate. This required administration to secure skill. The fast means of communication have made large scale of administration practicable to an extent undreamed of before.

2. **Concept of Planning:** State has been to regulate private business and industry. It started running a number of enterprises. Planned regulation and development became a necessity, therefore, the field of Public Administration is widened and its importance is increasing.

3. **Growth of Population:** The pressure of population has complicated the problems of providing food, shelter and other necessities of life. This means an additional burden of public Administration and extension of its boundaries.

4. Concept of Welfare: Democracy is not only a form of government and a way of life but also a form of social order. Therefore, the government has to promote the welfare of all the sections of the society. This demands for the provision of more and more services L.D. White rightly remarks, “There was a time when people expected nothing but oppression from the public authorities. Later, they expressed chiefly to be let along. Now, however, they expect a wider variety of services and functions”. Public Administration would be what the people wanted it to be. The concept of welfare had been the main factor for the growth and increasing importance of the Public Administration.

5. Concept of War: The concept of “Total War”. Has brought many changes, It has enlarge the sphere of Public Administration. Modern war is not confined to the war field only. Even the civilians are not spared, War, today means, “total war”, therefore, mobilization of all resources, material and human is necessary to defend the country. This task is carried by Public Administration.

6. Democratic Administration: Democratic Administration satisfied the following Three criteria: (i) It is open in the sense of having wide contacts with the people. (ii) Administration is controlled not only by official hierarchy but also by public opinion and public liberties, such as the freedom of press and the right of association and demonstration. (iii) Administration power is subordinate to the political authority.

In democratic countries, this concept of democratic administration is assuring great importance. It is opening the gates of Public Administration and thus increasing the importance of the administration.

The role of Public Administration is vital in the context of the newer and wider duties thrown on the state. Today public administration is not only carrying the public policy, but also assisting the legislature and the minister concerned with the formulation of the policy. It works the details of legislation through rule making with its expert knowledge and experience. The successful execution of policy depends on the skill and efficiency of the public administration.

1.12 IMPORTANCE OF PUBLIC ADMINISTRATION

The following factors have contributed to the increasing importance of public administration in modern times, They are the industrial revolution, the concept of welfare state, the need for planned development, radical changes in the transport and communication facilities, dangers of ware, expansion of socialism and the reluctance of private sector institutions towards the social change.

A variety of functions are being performed by the modern welfare state. Today the modern state has become a producing, distributing and regulating agency. However best may be the policies and plans, they will not serve the public unless they are translated into services. This task is well carried out by public Administration,. If the public administration fails, the whole structure of modern society and civilisation will collapse like a house of cards. W.B. Dunholms remarks, “If our civilisation fails. It will be mainly because of a breakdown of administration”, pointing out the significance of public administration, Charles A. Beard speaks, “the future of civilized government and civilisation results upon our responsibility to develop a science and a philosophy and practice of administration competent to discharge functions of civilized society”.

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1. **Promoter of socio-economic change:** Public Administration is a dynamic force which follows and leads the will of the people. As Waldo puts it, "it is a part of the cultural complex, and it is not only acted upon but also acts". It has become the main – task of the democratic governments to reduce the economic disparities that are existing between the rich and poor.
2. **Serves the people from cradle to grave:** Public Administration is touching upon the life of the individuals at each and every turn, from the cradle to the grave. It is showing great interest before the individual is born in the shape of the prenatal care of the expectant mother. It is showing the same interest even after his death i.e., recording his death in the official papers taking care of his property, proving his will if he has made. Once he becomes a few years old, he goes to a school probably state owned or aided. After education, he enters either government service or industry regulated by the state. Thus it serves the individual at every turn of his life.
3. **A great stabilizing force:** Governments often change. But administration seldom experiences violent changes, Administration effects a element of continuity between the old and the new administrative order,. "The experience of India after independence serves as an example. Though the foreign autocratic rule is replaced by a democratic government of the people, the basic pattern of the administration is continued".
4. **Provides various services:** Today Public Administration is providing not only the security from internal and external dangers to its citizens, but also playing the role of an educator, manufacturer, distributor, and a regulator. For the purity of water and food we consume, for instance, we look to the municipal administration of action. Similarly for the purposes of protection, safety, Security, health etc. we look to the central and state administrations. We look to the administration when the entire society is faced with grim problems like scarcity, natural calamities, epidemics and war.
5. **Participates in Law-making:** Legislature today has neither time nor the ability to do so, Hence, the legislatures are confining themselves to the task of laying down the broad outlines. The details are prepared by the administration in the shape of rules and regulations. Thus, administration is participating in law making process also.
6. **Sharing the judicial powers of the state:** Individual officers of certain departments like income tax, Sales Tax. Revenue have been given the powers to dispose of causes arising under their respective acts. Administrative and labor tribunals and labor courts are created and given the powers of appeal. Thus, the administration is exercising the judicial powers also. All this is a result of the technical nature of the cases.

1.13 GLOBALIZATION

Globalization is now a widely used term. The UN document (2001) defined globalization as "increased flows between countries. These flows are of goods, services, capital,

ideas, information and people which produce national cross – border integration of a number of economic, social and cultural activities:. Farazamand defined it as “ a phenomenon linked to world capitalism’s endless efforts to reach global markets for accelerated accumulation of capital”. Globalization both as a transcending phenomenon and a process considers it “as a process of accumulation by global capitalism, a constant process of expansion into new frontiers and opportunities for increasing capital accumulation at the global level”.

Globalization initially was very much the result of the liberal democratic theory. It began in the early 70s of the European countries and the United States of America. It gained focus in the third world countries after the collapse of the Soviet Union. We can say that this process started in India in the early 1990s. As consequences of globalization, global pressures are increasingly changing the character of the state and the nature of public administration. Three major global pressures namely information technology, global institutions, and efficiency and productivity are of particular importance.

1.13.1 Privatization

Privatization is understood as the transformation in governments away from a centralized management of public organizations, which includes control, monitoring and a direct channeling of resources towards decentralization, the reduction of involvements, and the increase of competition in the various market fields. Privatization is almost naturally connected with the New Public Management and is the result of the globalization. Privatization hands over managerial responsibility (and sometimes also ownerships) from organization, which have been completely public, to the free market. By increasing this freedom and creating competition, the expectations is that many services, which in the past have been managed in a heavy and inept manner, would become more flexible, responsive and efficient, and thus will come closer to fulfilling their original goals. Through the process of privatization, the scope of governmental bureaucracy is reduced, the number of public sector employees is cut down, and the government of only the essential services in which is impossible to or there is no wish to involve the business sector.

It is therefore, understandable why the privatization challenge has been so eagerly adopted as a main component in the reform process of many European countries as Australia, New Zealand, and even in the developing countries since the end of the 1970s. It is important however, to remember that the privatization challenge is usually accompanied by criticism and sharp drawbacks, which require a careful and calculated implementation. This process is sometimes accompanied by the maintenance of the state’s strength and in its close monitoring of the developing competition process. These limits are essential, as the management processes that are based on the generally opposed to social values such as justice, welfare to all, and fair distribution of public foods to those who are without resources.

1.13.2 Liberalization

Liberalization denotes a process that allows the privatization easy. It allows the market to start forms, companies and industries without much delay. It also denotes the process of delicensing. It means that the earlier procedures, rules and regulations and rigidities in the sanctions for starting of new firms etc., are done away with and we can find a

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greater relaxation. It is essential that we have to understand the processes of globalization, privatization and liberalization are very much interlinked.

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1.14 SUMMARY

No doubt that the administrative phenomenon is not amenable to easy analysis and observation as the physical phenomenon. Yet observation and experience have provided a mass of ascertained facts upon which deductions are made. The deductions or principles may not have the same validity as, those of the physical sciences. Yet they are useful as probabilities. It may point out that even the principles of physical sciences are not absolutely certain.

Further, the arguments leveled against Public Administration being a science are equally applicable to any other social science. Hence Public Administration can be given the status of a science. In the words of Simon: “Public Administration as any other social science can be called a science even if such study enabled merely to, understand it and yielding no practical rules of guidance”.

1.15 KEYWORDS

- The word ‘**public**’ has several meanings. It may mean people or government. However in public administration the word public denotes government. Thus, the literal meaning of Public Administration goes as to serve the general public.
- **Administration:** ‘**Administration**’ is derived from two Latin words ad and ministrage which mean to serve, to manage affairs or to look after. Felix A. Negro has defined administration as “determined action taken in pursuit of a conscious purpose”. In every kind of administration; a common purpose and collective or group effort are there. It is generic word i.e. different kinds of administrations like military administration, revenue administration and private administration.
- **POSDCORB:** The word ‘**POSDCORB**’ coined by the Luther Gulick. Every letter of this word indicates the following. “**P**”: Planning. “**O**”: Organisation.”**S**”: Staffing. “**D**”: Direction.” **Co**”: Co - Ordination.”**R**”: Reporting. “**B**”: Budgeting.
- **Globalization:** Globalization is now a widely used term. The UN document (2001) defined globalization as “increased flows between countries. These flows are of goods, services, capital, ideas, information and people which produce national cross – border integration of a number of economic, social and cultural activities:.. Farazamand defined it as “ a phenomenon linked to world capitalism’s endless efforts to reach global markets for accelerated accumulation of capital”. Globalization both as a transcending phenomenon and a process considers it “as a process of accumulation by global capitalism, a constant process of expansion into new frontiers and opportunities for increasing capital accumulation at the global level”.
- **Privatization:** Privatization is understood as the transformation in governments away from a centralized management of public organizations, which includes control, monitoring and a direct channeling of resources towards decentralization, the reduction of involvements, and the increase of competition in the various market fields. Privatization is almost naturally connected with the New Public Management

and is the result of the globalization. Privatization hands over managerial responsibility from organization, which have been completely public, to the free market.

- **Liberalization:** Liberalization denotes a process that allows the privatization easy. It allows the market to start forms, companies and industries without much delay. It also denotes the process of delicensing. It means that the earlier procedures, rules and regulations and rigidities in the sanctions for starting of new firms etc., are done away with and we can find a greater relaxation.

Meaning of Public Administration

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1.16 ANSWERS TO ‘CHECK YOUR PROGRESS’

1. What is the meaning of Public Administration?

Ans.

Meaning: ‘Public’ and ‘Administration.’ The word “**Administration**” is derived from two Latin words **ad** and **ministrare** which mean to serve, to manage affairs or to look after. Felix A. Negro has defined administration as “determined action taken in pursuit of a conscious purpose”. In every kind of administration; a common purpose and collective or group effort are there. It is a generic word i.e. different kinds of administrations like military administration, revenue administration and private administration.

The word ‘**public**’ has several meanings. It may mean people or government. However in public administration the word public denotes government. Thus, the literal meaning of Public Administration goes as to serve the general public.

2. Define the Public Administration

Ans.

1. **According** to Woodrow Wilson, Public Administration is a detailed and systematic execution of public Law.
2. **L.D. White** says that Public Administration consists of all those operations having for their purpose the fulfillment or enforcement of public policy.

3. What is the meaning of Globalisation?

Ans

Farazmand defined the Globalization as “a phenomenon linked to world capitalism’s endless efforts to reach global markets for accelerated accumulation of capital”.

4. What is the Privatization?

Ans.

Privatization is almost naturally connected with the New Public Management and is the result of the globalization. Privatization hands over managerial responsibility from organization.

5. What is the Liberalization?

Ans.

Liberalization means that the earlier procedures, rules and regulations and rigidities in the sanctions for starting of new firms etc., are done away with and we can find a greater relaxation.

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1.17 QUESTIONS FOR DISCUSSION

I Essay Questions

1. What is meant by public administration? Discuss the nature and scope of the public administration.
2. What is the difference between public administration and private administration?
3. What is the importance of globalization, privatization and liberalization in the present context?

II Short Questions

4. Expand the POSDCORB.
5. What is the meaning of the public administration?
6. Explain the nature and scope of public administration.
7. Liberalization
8. Globalisation
9. Privatization

1.18 SUGGESTED READINGS

1. Public Administration: Theory and Practice, P. Sharavan.
2. Administrative Thinkers, D. Ravindra Prasad.
3. Public Administration, Mohit Bhattacharya.
4. D Ravindra Prasad, Vs Prasad and P Satyanarayana, Administrative Thinkers, Sterling Publishers, New Delhi, 1989.
5. Mohit Bhattacharya, Public Administration, The world press, Calcutta, 1981.
6. Avasthi & Maheshwari, Public Administration, Laxmi Narain Aggarwal, Agra
7. Nicholas Henry, Public Administration and Public Affairs, Prentic Hall Inc., Englewoo cliffs, N.J. 1980 New Delhi.

Lesson 2

EVOLUTION OF PUBLIC ADMINISTRATION

Structure

- 2.0 Aims and Objectives
- 2.1 Introduction
- 2.2 Evolution of Public Administration
- 2.3 Summary
- 2.4 Keywords
- 2.5 Answers to 'Check Your Progress'
- 2.6 Questions for Discussion
- 2.7 Suggested Readings

2.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Know the Development of the Public Administration
- Know the Various stages of evolution of the Public Administration.

2.1 INTRODUCTION

Public Administration is viewed both as a governmental activity and a field of systematic study. As a aspect of government activity, Public administration has been co -existing with political system as the action part of government. It is an instrument through which the goals of government are realized. Functioning of the scholars and observers long ago. Kautilya's 'Arthasastra' Machievelli's 'Prince' the Mahabharata and Ramayana contain many insightful observations about the organization and working government.

But as a field of systematic study, the science of Public Administration cannot claim a long history. In fact, it is just 100 years old. Yet it has passed through several phases of development. According to Avasthi and Maheshwari the history of Public Administration can be divided in to the following periods.

2.2 EVOLUTION OF PUBLIC ADMINISTRATION

Stage I

The first stage is regarded as the era of politics –administration dichotomy. As an academic discipline public administration was born in the United States. Woodrow Wilson who

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taught political science in Princeton University and later became the president of America, is regarded as the father of public administration. In his article, "The study of Administration" published in 1887, emphasized the need for the study of public administration as a separate branch. He is the originator of politics – administration dichotomy.

During this period, Administration, it was argued, is concerned with implementation of policy decisions taken politically. Frank J. Goodnow's 'politics and Administration' is another notable work in which he developed Wilson's theme further and declared that. "Politics has to do with policies or expressions of the state will while administration has to do with policies or expressions of the state will while administration has to do with the execution of these politics. During this period, it was argued that the processes of administration have a certain regularity and concreteness about, them and these are amenable to scientific investigations which are likely to lead to a science of administration. Thus Public Administration was recognized as an important sub – area of political science. In 1926, appeared the first text – book on the subject. This was L.D. White's 'Introduction to the Study of Public Administration'. This book also reflected the dichotomy of politics and administration.

Stage II

The idea of politics and administration dichotomy and the central theme of public administration was the Principles of Administration. Willoughby published the work 'Principles of Public Administration' (1927). It is regarded as the beginning of this stage. Many numbers of books were also published in this period. The most notable among them were (i) M.P. Follet's 'Creative Experience'. (ii) Henry Fayol's 'Industrial and General Management' and (iii) Mooney and Reiley's 'Principles of organization'.

This period reached its climax in 1937 when Luther H. Gulick and Lyndall Urwick's paper on the Science of Administration appeared. During this period the administrative practitioners have joined hands to emphasize the mechanistic aspect of management unraveled by the whims of the politicians and the frailties of the human beings. This stage witnessed the more rigorous analysis of structures and processes of public organizations.

In short, the years 1927-37 were the golden years of 'Principles' in the history of Public Administration. A new term POSDCORB was coined by Luther Gulick and Urwick.

Stage III

Soon these principles began to be challenged. During 1938 – 47, these challenges were continuous. Chester Bernard's 'The Functions of the Executive', Simon's 'Administrative Behavior' and 'The Proverbs of Administration' etc., were the important work which contained these challenges. According to Simon there is nothing as principles of administration. What appeared as 'Principles' are in truth no better than proverbs.

Robert Delphi pointed out three problems in that one cannot exclude normative considerations from the problems of public administration. Secondly, Public Administration

has to study certain aspects of human behavior which is inconsistent. Thirdly, there was tendency to enunciate universal principles based on a few examples drawn from limited national and historical settings.

These three problems can be identified as the public administration was in a deflated position and the morale of the new discipline was low. This marks the beginning of the fourth period.

Stage IV

During this period, public administration was facing a crisis of identity. In short, this period witnessed the political science not only in letting Public Administration separate itself from it but also not fostering and encouraging its growth and development within its own field.

Public Administration found an alternative in the form of administrative science. The protagonists of this view held that administration is administration irrespective of its setting and it was on this premise that the journal of 'Administrative Science Quarterly' was found in 1956. James J. March and Simon's 'Organization', March's 'Hand book' etc. are among the important works inspired by this perspective.

Stage V

During this period, Public Administration made a rapid progress. It has entered the seventies with an enriched vision. It is concentrating on the dynamics of administration. It has attracted various scholars from other disciplines and thus truly becoming inter – disciplinary in its nature.

2.3 SUMMARY

This history of public administration is found primarily in the United States. The discipline is born in that country and it strongly bears the marks of percentage. This science is reflecting in American concerns and in the process they tend to become universalized. In India, Public Administration is taught as one of the branches of Political Science till recently. Today a large number of universities are providing for the teaching of public administration, independently at the Post Graduate level.

2.4 KEYWORDS

- **Evolution:** The development of administration is called as Evolution.
- **Stages:** The different periods of development is called as stages.

2.5 ANSWERS TO 'CHECK YOUR PROGRESS'

1. What is the second stage of Evolution of Public Administration?

Ans.

The idea of politics and administration dichotomy and the central theme of public administration was the Principles of Administration. Willoughby published the work 'Principles of Public Administration' (1927). It is regarded as the beginning of this stage.

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Introduction to Public Administration

Many numbers of books were also published in this period. The most notable among them were (i) M.P. Follet's 'Creative Experience'. (ii) Henry Fayol's 'Industrial and General Management' and (iii) Mooney and Reiley's 'Principles of organization'.

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This period reached its climax in 1937 when Luther H. Gulick and Lyndall Urwick's paper on the Science of Administration appeared. During this period the administrative practitioners have joined hands to emphasize the mechanistic aspect of management unraveled by the whims of the politicians and the frailties of the human beings.

2.6 QUESTIONS FOR DISCUSSION

1. Briefly discuss the evolution of Public Administration.

2.7 SUGGESTED READINGS

1. Public Administration, Mohit Bhattacharya.
2. Public Administration, Avasti Parameshwari.
3. Administrative Thinkers, D. Ravindra Prasad.
4. Development of Administration, Weidner.

Lesson 3

RELATIONS WITH OTHER SOCIAL SCIENCES

Structure

- 3.0 Aims and Objectives
- 3.1 Introduction
- 3.2 Political Science & Public Administration
- 3.3 Public Administration and Sociology
- 3.4 Economics and Public Administration
- 3.5 Law and Public Administration
- 3.6 Economics and Public Administration
- 3.7 Science & Technology and Public Administration
- 3.8 Psychology and Public Administration
- 3.9 Other Sciences and Public Administration
- 3.10 Summary
- 3.11 Keywords
- 3.12 Answers to 'Check Your Progress'
- 3.13 Questions for Discussion
- 3.14 Suggested Readings

3.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Understand the relations between Public Administration and Political Science, Sociology and Economics
- Know the importance the Public Administration.

3.1 INTRODUCTION

The words 'Politics' and 'Public Administration' denote two things.

- i) They are certain kind of activities.
- ii) They are the names of two separate branches of study. Therefore, the relationship between Politics and Public Administration must be studied from both angles.

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3.2 POLITICAL SCIENCE & PUBLIC ADMINISTRATION

Earlier writers on public administration made a sharp distinction between politics and public administration. It was a result of the enthusiasm shown by the writers like Woodrow Wilson and Bluntschili. They have made sincere attempts to give public administration a separate identity and status. According to Woodrow Wilson, "Administration lies outside the proper sphere of politics, administrative questions are not political questions. Although politics sets the task for administration, it should not be suffered to manipulate its offices". Bluntschili said, "Politics is state activity in great things universal while administration is the activity of the state in individual and small things. Politics is the special province of the administrative official while administration is of the technical official".

The following are the differences between Politics and Public Administration as activities.

- 1) The field of politics and field of public administration separate areas of public life.
- 2) Administration is concerned with 'how to do' and politics concerned with 'what to do'.
- 3) Politics is concerned 'with laying down of politics whereas administration is concerned with its implementation.
- 4) Politics is concerned with the manipulation of power and administration with the use of the power for providing services.

The Dichotomy Objectives

Though there are various differences between Politics and Public Administration as mentioned above, the dichotomy is subjected to the following criticism

- 1) Politics not only lays down policy, but also supervises its implementation. In the same way Public Administration is not only implementing the policy but also assisting the government in the formulation of the policy. They are inextricably mixed up. Thus like light and shade, they shade off into each other.
- 2) Politics – Administration dichotomy resulted in the non – political view of administration which has developed itself into a anti – political view. Consequently administration viewed the methods of representative and party government as the corrupt influences to be got rid of. Such an attitude on the part of the administrator constitutes a danger to democracy and may led to bureaucratic absolutism. Writers like Dimock, Carl Friedrich. John Gaus, D. Waldo were the writers who criticized the dichotomy.

Extremes are to be avoided: M.P. Sharma points out that, "a cent percent politics dominated view is a baneful and dangerous as a cent percent politics exchanged view".

Distinction between Political and Administrative officers piffner

Piffner points out the following 10 differences.

Political Officers	Administrative Officers
1. Amateur	Professional
2. Non – technical	Technical
3. Partisan	Non Partisan
4. Temporary	Permanent
5. More public contacts	Fewer public contacts
6. More legislative contacts	Less legislative contacts
7. More policy formulating	More Advisory
8. More decisions	More advisory
9. More coordination	More performance
10. Influenced by technical opinion	Influence by technical data collected from study research.

The above differences help us to understand the distinction between the areas of politics and administration.

Politics & Public Administration: Viewed as Science

They appear to be as the two species of the same genus, two benches growing out the same tree – social science.

It is generally accepted that Public Administration is a specialized branch of ‘Politics’. Historically, this statement may be true. Logically, however, it is not correct. ‘Politics’ is mainly concerned with theory of the state i.e. explanation of its origin development, forms, justification, principles of activity etc. Public Administration mainly is concerned with the principles of organization and methods of implementing the policy. To conclude in the words of M.P. Sharma, “These differences, however, must not bind us to the points of affinity between political science and administratively feasible degenerates in to mere building of castles in the air, and administration shown of its political context, becomes an empty nothing”.

3.3 PUBLIC ADMINISTRATION AND SOCIOLOGY

Sociology we concerned with the behavior of the man as member of the group. It studies society in its fundamental forms and ramifications. It gives importance to the study of various kinds of groups that arise in society and the way in which they influence human instincts.

Use of the Knowledge of group Behavior to the Administrator: Public Administration is the mechanics of social action. Administration is a cooperative enterprises in which large numbers of people meet and act. The personnel working in an organizations can be called a social group. There may be smaller group, personal sympathies and antipathies. These groups and subgroups influences the work of the organizations, This knowledge of the group behavior is necessary to the administration in tackle the issues and problems.

Use of Sociological Studies to the Administration: Sociology provides the necessary ‘data base’ to the administrator. The studies on status, class, caste, family, power and occupation are useful to the administrators. The administrator can proceed with his work more confidently with the knowledge of the sociological back – ground of the people and the environmental setting. The National Institute of Rural Development, Hyderabad is conducting several sociological welfare and developmental programmes

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launched by the government. The findings are useful to the administrators who are engaged in rural development.

Social Change: Sociology is concerned with social change too. Public Administration is the most important instrument of the social change. It is not only accelerating the pace of social change but also preserving the social peace and communal harmony.

Public Administration and social Behavior: Public Administration modifies and moulds the patterns of social behavior and inter – relationship among various kinds of groups . The eradication of untouchables to a large extent can be cited as an example in this connection.

Contribution of Great Sociologists to Administration: Max Weber’s ‘Essay on Bureaucracy’ was the first systematic contribution of a sociologist to the field of Public Administration. Since the impact of behaviouralism on social sciences, Public Administration has come very close to sociology. Max Weber’s “Essay on Bureaucracy” has influenced the study and practice of Public Administration. According to Max Weber, bureaucracy is an ideal type and is capable of attaining the highest degree of efficiency and the most rational form of administration.

Herbert felt that all administrative problems are to be viewed in their environmental settings. Thus sociology has given public administration a new perspective. This has very much widened the scope of Public Administration.

To Conclude, Public Administration has close relationship with sociology, particularly in the context of behavioral and ecological approaches. There is much truth in modern times, when we say that administrator is a social scientist in action.

3.4 ECONOMICS AND PUBLIC ADMINISTRATION

Public Administration and Economics are coming very close and they have much in common. Both are social science. Both have got separate form politics. Both have separate identities now.

Transformation from Laissez Faire to Welfare State

During the 18th century and the early years of the 19th century, the state pursued the policy of Laissez Faire. The state was regarded ‘a necessary evil’ and the functions of the state were limited to those of defense, police and administration of justice. The consequences of the Industrial revolution and the advancement of science and technology have its impact on the sphere of the state activities. The goal of economic development nationalization and international competition compelled the state to enter directly into the field of business and industry. The state began to start and manage its own enterprises irrespective of the economic systems whether capitalist or socialist systems, the tendency of the times is to draw the state more into economic matters. The whole theory of taxation and financial management is economic in nature.

Besides the modern state is a welfare state. One of its primary tasks is to reduce the gap between the rich and poor. Hence the Administration should interfere in the economic aspects.

Apprehension of Economic Problems: Need of the Administration

The present day administrator cannot discharge his duties successfully without having a comprehensive knowledge of the economic problems.

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Following points illustrate this

- 1) Every administrative policy has to be evaluated in terms of its economic consequences. Most of the pressure groups try to influence the administration to get economic gains.
- 2) One of the important duties of the administration is to ensure the economic prosperity and the strength of the nation. For this, the administration has to provide employment to all the unemployed. All these things demand the full awareness of the economic problems, consequences and solutions for administrators.

A) Relationship between Public Administration and Economics

Public Administration influences the economy of a nation in the following ways:

- i) **Regulates Private Economy and Industry:** The modern state is welfare state. To regulate the working and service conditions of the workers the government is interfering in private industry. Public Administration naturally therefore plays an important role in regulating the private productions.
- ii) **Public Administration runs government owned industries:** As a result of the nationalization the government owns and runs certain important industries. To manage these industries, a separate economic civil service, which is a part of public administration is created.
- iii) Public Administration regulates the distribution system also.

3.5 LAW AND PUBLIC ADMINISTRATION

Public administration functions within the framework of the law of the land. Nothing that is contrary to law can be attempted by the administrator, however, reasonable or desirable it may be on other grounds. Indeed, the public administrator has to be on the right side of law not only negatively in the sense of not breaking it, but also positively, that is of not doing anything unless the law warrants it. This is, as we saw, one of the principal differences between public and private administration. The former can never function in excess of legal power. If it does, its acts are ultra-vires, i.e., void.

Most laws contain in them expressions of public policy, i.e., they prescribe what shall be done and from that point of view, as Wilson put it, public administration becomes the 'systematic and detailed execution of public law. It is on account of this intimate relationship between the two that in continental countries public administration has mainly been studied as a branch of law.

Administration is also intimately concerned with the making of law. The proposals for a large part of legislation actually arise from the various administrative departments and their first drafting is done according to their directions. In modern times, the administrative officers and departments themselves do a great deal of subordinate law making in the shape of rules and regulations to fill in the details of laws passed by the legislature. This is called delegated or executive legislation.

Law is one of the great instruments of enforcing the responsibility of administration.

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The unauthorized acts and excess of administration are corrected by the courts under the provisions of law. Law prevents administration from encroaching on the liberties of the citizen.

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But administration is not simply a matter of law. The administrator has to be left a certain amount of discretion within the framework of law to enable him to adjust his action to the individual requirements of the situation and to choose the means he considers to be best under given circumstances. It is in this field of discretion that administrator's skill and sagacity have the opportunity to manifest themselves.

Finally, requirements of administration have had their influence on moulding the basic concepts of law. Thus, the egalitarian principles of the common law in many particulars have been replaced by the rule of greater protection to the weaker party in the interest of higher justice. A new body of law governing the social and economic activities of the state has grown up and, in many instances, it is administered not by the ordinary courts, but by special administrative tribunals made up of officials and technical experts. This shows the source from which the inspiration for the enactment of such law has come - the accumulated experience of administration.

Administration is very closely related to constitutional law and can make valuable contributions to it. Wilson explained this relationship as follows :

“The study of administration, philosophically viewed is closely connected with the study of the proper distribution of constitutional authority. To be efficient, it must discover the simplest arrangements by which responsibility can unmistakably be fixed upon officials, the best way of dividing authority without hampering it, and responsibility without obscuring it. And this question of distribution of authority, when taken into the sphere of the higher, the original functions of government is obviously a central constitutional question. If administrative study can discover the best principle upon which to base such distribution it will have done constitutional study an invaluable service.”

3.6 ECONOMICS AND PUBLIC ADMINISTRATION

Public administration in our days is dominated by economic problems. It was not always so. During the 18th century, and the early years of the 19th when the state pursued on the whole a policy of *laissez faire*, its functions were confined chiefly to defence, police and administration of justice. But the industrial revolution and the numerous problems that arose in its wake compelled the state to intervene in the economic and industrial matters for the protection of the workers by regulating the hours and other conditions of their work. Economic nationalism, and international competition made it necessary for the state to protect and subsidize home industries and encourage foreign trade. Later, in the interest of social justice, the state found itself compelled to enter directly into the field of business and industry, and start and manage its own enterprises. The progress in this direction has been more in some countries than in others, but the tendency of the times is to draw the state more and more into economic matters. The whole theory of taxation and financial management is economic in nature.

Today the administrator must, therefore, have a comprehension of the economic problems. Every administrative policy has to be evaluated in terms of its economic consequences. Most of the pressure groups and pulls which seek to influence

administration have economic interests to safeguard or protect. It is considered to be the foremost duty of administration to ensure the economic prosperity and strength of the nation. It must fight adverse business cycles and depressions, secure employment for the unemployed, maintain, as far as possible, a favorable balance of trade and do everything in its power to safeguard the financial credit and stability of the nation. Every project undertaken involves expenditure and the question of ways and means to meet that expenditure and any administration which fails to solve its financial problems satisfactorily, would soon find itself discredited and at a stand-still.

The newer economic developments are influencing the machinery and methods of administration in important ways. The incursion of the state into the field of the business enterprise has led to a new form of the administrative organization - the government corporation. The efforts of the state to regulate the activities and property of the private persons in the interests of the community particularly of the less favored sections of it, has created a new system of jurisprudence and courts known as the administrative law and tribunals. Economic exigencies of war-time have produced techniques of rationing and control. The increasing preoccupation of the state with economic and industrial matters, has led to the idea of the economic and industrial civil service, distinct from the traditional civil service in its methods of recruitment promotion, tenure and responsibility. Such a service has, in fact, already emerged in the socialized industries of Great Britain. There is a clamour for introducing more and more of business methods in the proceedings of the government, and many experiments in the direction have already been made.

In these several ways economic influences and consideration affect public administration which in its modern context cannot satisfactorily be understood without some knowledge of economics.

3.7 SCIENCE & TECHNOLOGY AND PUBLIC ADMINISTRATION

It is difficult to overestimate the influence of the scientific and technological inventions over the modern world and our way of life. The railway, the motor car, the aeroplane, the telegraph, and the telephone have annihilated distance for purposes of travel and transmission of news and information. The use of mechanical power in industry has led to gigantic factories, and urbanization with the myriads of their social consequences. Scientific weapons of war of which the latest are the atom and hydrogen bombs have made war tremendously destructive, threatening the very existence of modern civilization. In short, during the last "two hundred years, the forces of technology and science have transformed the world out of recognition.

The vast environmental change thus wrought, could not but affect public administration in important ways. In the first place, it has greatly increased its functions, duties and responsibilities. As a consequence of the complexities created by the modern industrial civilization, the individual has lost his capacity of self-help at many a vital point of his life. He feels himself powerless before the large-scale influences confronting him in matters of the supply of the necessities of life, housing, employment, business prospects, wartime protection and hundreds of other things, and needs the help of public administration to safeguard his interest in these matters. Secondly, large scale organization

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and greater centralization of administration has been rendered possible by the swift means of communication now available. Thirdly, a large addition has been made to the tools and implements of administration, many of the routine processes of which are being mechanized. The administration no longer lives in the era of the simple pencil and pen, hand-copying and slow-going couriers and messengers. Now he has the typewriter, the calculating, accounting, sorting, and various other kinds of machines, the telegraphs and the telephone, and the railway and the aeroplane to expedite and facilitate his work. The take the telephone only, how much correspondence and delay it has eliminated, and to what a great extent quick personal and informal consultation and discussion- it has facilitated. These mechanical devices have also accentuated the problem of the training of the staff in their proper handling. Interesting studies have been made of the peculiar psychological factors which come into operation when a person is talked to on a telephone instead of face to face.

The swift means of communication have modified in important ways the organizational and working relationships between the headquarter and the field agencies of administration. The newspapers, the radio and similar other means of publicity and propaganda have had a tremendous bearing on the problem of public relations. Finally the whole of 'scientific management movement initiated by F.W. Taylor and his followers has drawn its inspiration from science and technology. These are only a few examples of the ways in which science and technology have affected administration. Anything like a complete inventory of the influences of the former over the latter would be all but impossible to make.

3.8 PSYCHOLOGY AND PUBLIC ADMINISTRATION

It is now recognized by all that psychology plays a great part in all human organizations. No social science concerned with the activities of human beings can afford to disregard the psychological factors involved in such study. There was a tendency in the earlier days to view public administration purely as a matter of legal or formal relationships between the superior Officers and subordinates or the ruler and the ruled. Experience, however, revealed that legal and the structural relationships are only one aspect of administration. Underlying these, there are the psychological attitudes and reactions of the personnel and public deeply influencing the practical working of the organization. This truth forced itself into the notice of the observers first in the field of the industrial administration which was often plagued by disputes and strikes as a consequence of ignoring the psychology of labour. From there, it quickly spread to other spheres of administration too.

To-day administration is increasingly being studied from the psychological point of view. The most important result of the psychological approach has been the recognition of the fact, that underlies every formal organization as determined by the law and the rules, there exists also an informal organization which naturally springs up from the personal and social relationships and attitudes of the personnel engaged in running the organization. The same organization will work in one way, if there be mutual sympathy and goodwill between its head and his principal lieutenants, but in a very different way, if those who are lower down, dislike and distrust the officer at the top, or vice-versa. The social groups among the personnel, and their mutual reactions to the ideas and

attitudes of one another, modify the formal relationships of the organizational structure in countless ways.

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Psychology has thus added a large number of new items to the problems which the students of administration have to study. A few examples are the problems of incentive, prestige, and morale which are all psychological in nature. There has arisen also a whole new science of industrial psychology. Psychological tests are being increasingly used in the selection of the personnel. Personnel administration is being influenced more and more by psychological considerations. Arrangements for consultation with staff through committees and conferences, devices like Whitley Councils representing employer and employees equally for resolving disagreements between the two, the staff so as to attune them to the central objective of the organization, increasing attention to public relations—publicity and propaganda to make the policies and acts of administration understood and appreciated by the public, are all based on the recognition of the importance of the proper psychological relationships between the various parties concerned with administration. In short, as a result of the understanding of the psychological implications of the administrative activity, it has come to be viewed essentially as a system of human rather than mechanical relationships.

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3.9 OTHER SCIENCES AND PUBLIC ADMINISTRATION

Public administration is also related to sociology, history, ethics, geography, etc.

Sociology is concerned with the behaviour of a man as the member of a group. It studies the various kinds of groups which arise in society and the way in which they influence human instincts and activity. Administration is a co-operative enterprise in which usually a large number of people have to meet and act together. Thus the personnel employed by any organization may be taken to be a social group. Within the larger group of the entire personnel, there arise also smaller ones based on the common branch or unit of work, common status, personal sympathies and antipathies, etc. These groups and subgroups have their own loyalties, and their own ethos and outlook which give so many twists and turns to the formal arrangements of the organization and thus deeply influence its work. A knowledge of the way in which groups arise, function, and influence their members can illumine many of the phenomena of administration which remain otherwise incomprehensible. Since such knowledge comes to us from sociology, the importance of this science to public administration is obvious.

History is the storehouse of the past experiences of mankind. As such, it has its lessons for all branches of human activity. Public administration is no exception to the rule. The administrative problems which arose in former times and the way in which they were solved are of great interest to the student as well as the practitioner of public administration. History can serve public administration both as example and as warning. Unfortunately, history as it has been written hitherto, has not devoted much attention to administration and its problems. It has been more interested in spectacular policies and their outcome than in the processes of their formulation or execution. Administrative history is only now emerging as a definite branch of the historical lore. But we do get occasional glimpses of administration and its problems even in general historical works.

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Works like Abul Fazal's Aine Akbari and Akbarnama, for example, contain a treasure-house of valuable information for the student of the Indian administration.

Like other institutions, administrative institutions of a country too have evolved in the course of ages and bear upon them the impress of the past. They cannot be properly understood unless historically studied.

The importance that administration attaches to history is strikingly brought out by the practice of maintenance of records in all organizations and the respect given to precedents. The meticulousness with which records are maintained varies greatly from country to country, but the present trend is towards making them everywhere as full, systematic, and complete as possible. Administrative records and minutes are valuable for the conduct of public administration in three ways. Firstly, as we have seen, public administration has to be uniform and consistent with itself in its dealings with the public and it can be neither of these unless precedents are available for guidance. This makes systematic record keeping indispensable. Secondly, records furnish the material for the intelligent formulation of policy and the assessment of its success and failure. Thirdly, under parliamentary democracy, records are necessary to enable the departments to furnish answers to the questions put to the ministers in parliament. There is no transaction, important or otherwise, which cannot be the subject of a parliamentary question. Hence the voluminous mounting, hunting up of precedents, record keeping, and the consequent delay of which the 'bureaucracy' is often accused. Public administration cannot get away from its own history without stultifying itself.

Ethics provides the criteria for the evaluation of any human activity. The questions of 'good' and 'evil' arise regarding whatever we may do. Administration too must have its goals and objectives ratified by ethics. Specially under democracy, no administration which runs counter to the people's sense of propriety can long survive.

Some thinkers and writers have tried to lay down for administration its own independent criteria and standards. Two such standards, often put forward, are 'economy' and 'efficiency'. But the question has inevitably arisen, 'economy' and 'efficiency' for what? It has been argued, and quite rightly, that efficiency and economy cannot be absolute criteria of judgment for public administration. They must derive their content from some ethically desirable object. Just as the attempt to make politics non-moral and absolute failed in spite of its Machiavellis and Hobbeses, so also the attempt to make administration morally colorless, in spite of its enthusiasts, has failed.

As for **geography**, the habitat of the people has an undoubted effect upon their way of life and hence on their problems and institutions. Montesquieu pointed out long ago the influence of geography on the form of government, and it is the same with administration. Geographical features like mountains, river valleys, etc., often influence the boundaries of administrative areas. By making communications easy or difficult, they may encourage a policy of centralization or decentralization. The growth of modern means of communications has greatly counteracted the influence of geography on administration, but it has by no means succeeded in eliminating it altogether.

3.10 SUMMARY

The newer economic developments are influencing the machinery and methods of the government in the following ways (i) States entry into the field of business enterprises led to the development of a new administrative organization called 'Public Corporation'. (ii) Regulation of private property led to a new system of law and courts known as Administrative Law and Tribunals. (iii) War – time exigencies produced the techniques of ratio and control. (iv) There is a clamor for introducing more and more business methods in the proceeding of the government.

3.11 KEYWORDS

- **Politics and Public Administration:** Politics' and 'Public Administration' denote two things. (i) They are certain kind of activities. (ii) They are the names of two separate branches of study.
- **Sociology:** We concerned with the behavior of the man as member of the group. It studies society in its fundamental forms and ramifications. It gives importance to the study of various kinds of groups that arise in society and the way in which they influence human instincts.
- **Economics:** Public Administration and Economics are coming very close and they have much in common. Both are social science. Both have got separate form politics.

3.12 ANSWERS TO 'CHECK YOUR PROGRESS'

1. What is the meaning of Politics and Public Administration?

Ans.

Administration lies outside the proper sphere of politics; administrative questions are not political questions. Although politics sets the task for administration, it should not be suffered to manipulate its offices.

2. What are the differences between Politics and Public Administration?

Ans.

There are various differences between Politics and Public Administration as mentioned below

1. Politics not only lays down policy, but also supervises its implementation. In the same way Public Administration is not only implementing the policy but also assisting the government in the formulation of the policy.
2. Politics – Administration dichotomy resulted in the non – political view of administration which has developed itself into a anti – political view. Consequently administration viewed the methods of representative and party government as the corrupt influences to be got rid of. Such an attitude on the part of the administrator constitutes a danger to democracy and may led to bureaucratic absolutism.
3. M.P. Sharma points out that, "A cent percent politics dominated view is a baneful and dangerous as a cent percent politics exchanged view".

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3.13 QUESTIONS FOR DISCUSSION

I. Essay Type Questions

1. Explain the relationship between Public Administration and Political Science.
2. Briefly discuss the relationship between Public Administration and Sociology.
3. Explain the relationship between Public Administration and Social Science

II. Short Questions

1. Sociology and Public Administration.
2. Politics and Public Administration.
3. Psychology and Public Administration.
4. Law and Public Administration.
5. Geography and Public Administration.
6. History and Public Administration.

3.14 SUGGESTED READINGS

1. Awasthi A and Maheshwari S.R., Public Administration Eds 1985, Lakshmi Narian Agrawal, Agra.
2. Sharma M.P., Public Administration in Theory and Practice 1988, Kital Mahal Allahabad.
3. Gullick Luther & Urwick, papers on the science of Administration, Public Administration Service, Newyork.

Lesson 5

CLASSICAL APPROACH

Structure

- 5.0 Aims and Objectives
- 5.1 Introduction
- 5.2 Fayol's Views on an Organisation
- 5.3 Fayol's Administrative Management
- 5.4 Characteristics of the Classical Theory
- 5.5 Luther Gulick , Urwick and their Works
- 5.6 Papers on the science of Administration Gulick and Urwick
- 5.7 Gulick and Urwick on the Principles of Organization
- 5.8 Gulick: POSDCORB
- 5.9 Summary
- 5.10 Keywords
- 5.11 Answers to 'Check Your Progress'
- 5.12 Review Questions
- 5.13 Suggested Readings

5.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Know the importance of Fayol's contribution to administrative management.
- Understand the Fayol's fourteen principles and their importance.
- Explain nature and principles of organization
- Describe the importance of Classical Approach
- Discuss the Gulick and Urwick's Approaches

5.1 INTRODUCTION

Henry Fayol's views on administration first came to the knowledge of the people 1900 and later in 1908. He presented them in the form of papers in engineering and mining conferences. Fayol is renowned French engineer-manager. He was the pioneer among who systematically examined his personal administrative experiences on the basis of the theories of management. In contrast to Taylor's emphasis on first line supervision in production areas, Fayol work was oriented towards the higher level of organization.

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Fayol was born in 1841 of a French bourgeois family. He spent his early working life in the French mining industry. At the age of 21 he was appointed as an engineer in the Commentary pits of the S.A. Commentary-Fourchamboult-Decazeville and by 1888, at the age of 47, he had risen to the position of managing director of this mining firm, Fayol retired at the age of 77. After that he decided to devote the remaining years of his life in disseminating an understanding of his concepts and exploring the possibilities of the Administration Industrielle et Generale was published in 1916. French executives started analyzing the operation of their organizations employing the methodology devised by Fayol.

A systematic scientific study of organization is traced to the early part of the 20th century. Taylor and Fayol are regarded as the first to formulate certain postulates. Scientific management as developed by Taylor and his followers was conceived narrow as it focused on efficiency at the operative level. During the first half of this century a broader approach to organization was initiated by a group of writers like Gulick, Urwick, Mooney, A.C. Reily, M.P. Follett and R. Shelton. These writers have developed certain 'principles' which form the basis and substance of classical approach to the study of organization.

Classical theory is the result of the experience of the experience gained by man both in military and industrial organizations. By the thirties of this century the theory has taken shape. During this period the impact of industrial revolution was great and the emergence of United States of America as a potential economic power on the world scene is a great development. It was the capitalism that promoted the production and resulted in complexity of organization. All these factors contributed for a detailed discussion on the principles of organization.

March and Simon have characterized administrative theory as "Administrative Management Theory". As this theory lays stress on the formal structures of the organization, this theory is known as structural or mechanistic theory also.

In 1937, Gulick and Urwick with their wide experience in industry and government edited a famous work, ***Papers on the Science of Administration***, which was actually a report presented to President Roosevelt's Committee on ***Administrative Management***. According to them, administration is a science and its principles are universally applicable. They laid down seven principles of administration that came to be expressed as **POSDCORB** which are discussed in this lesson in detail.

5.2 FAYAL'S VIEWS ON AN ORGANISATION

The major task of an organization, according to Fayol, is to develop the personnel capable of carrying out the six activities already noted. For this, the use of specialized task skills becomes essential. This would allow an individual to attain greater dexterity in his particular branch of activity, thereby facilitating increased production. Fayol highlighted the point that every organization, big or small should place its employees according to the talents and experience of each.

The concept of organisation can essentially be described as a matter of relationship of man-to-man, job-to-job and department to department. The relationship may be either of formal type or informal type. From this point of view the form of organisation can broadly be classified into two types, namely, formal organisation which is based on

formal relationship and informal organization which is based on informal relationship. Organisation involves the setting up of functions to be performed by individuals or groups respectively for the attainment of defined objectives given the necessary authority and responsibility. Thus, in organisation there is a combination and coordination of individual and group efforts with in an enterprise. Thus, organisation may be defined as a process of dividing and arranging of efforts of a working group for achieving of the objective of organisation. It involves the allocation of duties to the managerial staff. The works or activities are determined by the objectives of the organisation. The entire work involved both in operating and managing is split into component activities that are to be performed by different personnel. This splitting up of activities is taken further down to determine the job to be performed by each individuals. Organisation requires grouping of like activities into divisions. The division of work is one of the important elements of the organisation to reach the goal of the organisation.

Every organisation depends on the principles of the organisation. Gulick and Urwick are important exponents of the principles of division of work for the development of their classical theory of organisation. They drew inspiration from the workers of Henry Fayol and F.W. Taylor. Gulick and Urwick devoted their attention in particular, to the discovery of principles on which administration structure is based. The principles of division of labour are among these principles which Gulick and Urwick have developed.

According to Henry Fayol, the major task of any large organisation is to develop its personnel in such a way that they may be capable of carrying out its six activities technical commercial, financial, security, accounting and managerial. For this purpose, specialists of functions become necessary. As a result of its application every individual acquire greater skills in a particular branch of activity, thereby facilitating increased production. With this aim in view, every organisation big or small should place its employees according to talents and experience of each. According to Mooney, the first application of the functional principle to the division of work gives us four broad categories - legislative, executive, judicial and advisory functions. Administrative organisation in any government falls within the executive, it is divided into departments, Boards, Commissions and bureaus. All these are staff and auxiliary agencies. A department is divided into divisions, branches and sections.

Every organisation carries on its objectives with the help of various persons engaged in fulfilling different tasks of the organisation. The diversity of tasks in the organization necessitates division of work in accordance with the principals of division of labour. A government organisation in every country is divided into a number of departments, services and agencies, which are further sub-divided into administrative units to facilitate work in order to see that these various units, agencies and departments work in harmony with each other and coordinate with each other becomes necessary.

He emphasized the need to develop a general approach to management sciences. He observed that management was an activity common to all human undertakings, whether public, private or domestic. He also highlighted the point that all undertakings engaged in performing management functions require five basic managerial elements, viz, Planning, Organizing, Commanding, Coordinating and Controlling.

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5.3 FAYOL'S ADMINISTRATIVE MANAGEMENT

Fayol developed a set of principles of management or administration which, by and large, could be used in varying organizational situations. He identified a number of principles of management which he thought would serve this purpose. Certainly Fayol did not assume that these principles will have universal application or would have the characteristic of permanency. Yet even after an elapse of half a century, most of Fayol's principles continue to be integral parts of modern management theory.

Fayol specified the following principles in his general theory management:

(1) Division of work; (2) Authority and responsibility; (3) Discipline; (4) Unity of command; (5) Unity of direction; (6) Subordination of individual interest; (7) Remuneration of personnel; (8) Centralization; (9) Scalar chain; (10) Order; (11) Equity; (12) Stability of tenure of personnel; (13) Initiative; (14) Esprit de corps.

In addition, Fayol formulated a number of other principle to the course of analyzing the five elements of administration mentioned earlier. Thus there appears to be no specific limit to the number of principles incorporated in Fayol's conceptual scheme. In fact, new principles take the form of old ones in the light of experience. Yet the major focus of Fayol's inquiry remained on the fourteen principles enumerated above.

It may be stressed that the principles propounded by Fayol should be seen only as a guidelines to great skill and knowledge would be required in using and adopting them to particular circumstances. A brief reference to these principles may be in order at this point.

1. Division of Work

The major task of an organization according to Fayol, is to develop the personnel capable of carrying out the six activities already noted technical, commercial, financial, security, accounting and managerial. For this, the use of specialized task skills becomes essential. This would allow an individual to attain greater dexterity in his particular branch of activity. Thereby facilitating increased production. Fayol highlighted the point that every organization, big or small should place, its employs according to the talents and experience of each.

a) Reasons for Division of Work

According to Luther Gulick, there are four reasons for the existence of division of work in any organisation.

- * People differ in abilities, aptitudes, and skills and they gain proficiency by specialization
- * The same person can not be physically present at two places at the same time.
- * One person can not do two things at the same time.
- * The range of knowledge and skills is so vast that a man can not within his life span known more than a part of it.

In modern , the sheer enormity of size and complexity of organisations necessitate division of work. Governments of modern welfare states and big business concerns are notoriously multifunctional. They employ several hundreds and thousands of people to

carry out their complex activities therefore, there is necessary of the principle of division of work for an organisation to achieve the desired goals.

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b) Advantages of Division of Work

1. Division of work leads to specialization of work.
2. Specialization leads to the advancement of human skills and their maximum utilization in managing the affairs of the organisation.
3. Specialization is conducive to the attainment of higher work speeds and efficient performance of work. It allows a person to acquire mastery of his job.
4. As a result of specialization, a worker need not waste his time in changing from one task to another.
5. Further, under the principle of division of work, inferior work can be entrusted to low paid unskilled employees and superior work to high paid and highly skilled employees.
6. It enables to produce more and better work with the same efforts.
7. There is economy in time and money.
8. Specialists attain precision and confidence in the work he does.
9. Training for specialization is more efficient for the organisation is respective. It is easier and less costly to train them for difficult and complex activity.

c) Disadvantages of Division of Work

1. Division of work requires more specialists.
2. More expensive and requires more supervision.
3. It may be a problem to identify the real specialists.
4. The principle of division of work may be more applicable to the large organizations but not to the small organisations.
5. More expensive and time consuming for training the specialists in the organizations.

d) Defects of Division of Work

People who perform highly specialised tasks find over a time that their work becomes bring, monotonous fatiguing and anxiety creating. The result is work dissatisfaction or alienation. This in turn reflects itself in lower out put and reduction in the quality of product or services rendered. When division of work carried too far it can also create a problem of coordination verging on anarchy. In spite of its advantages of division of work suffers from certain short comings.

2. Authority and Responsibility

Fayol defined authority as “the right to give orders and the power to exact obedience”. He distinguished between two types of authority, official authority, which is legally given to a person, and personal authority, which a person acquires through his ability, knowledge, experience and intellect.

Since authority must commensurate with responsibility, soeial steps must be taken to induce people to accept responsibility. This can be made feasible by pinning down

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specific responsibilities on all the people who exercise authority at various levels in an organization.

Executive work at all levels of Organisations has common needs and requirements and every aspect of administration is important to the total result. But policy determination Programmes, planning. Supervision, co-ordination, motivation and communication are particularly important. Leadership runs throughout this complex process, supplying incentives and motivation and providing the basis for delegation as well as co-ordination. The question may therefore be asked what the role of authority is in this complex process.

Authority is not position, nor is it legal right, nor is it bossing people, nor issuing orders. Rather, authority is influence with people a form of voluntary consensus. Thus, Said M.P. Follett, leadership and authority are plural because many people are involved. Chesterd Barnard, head of the Rockefeller foundation, confirmed this view when he remarked that a 'Superior' is not an authority nor does he have authority, strictly speaking, because authority lies in the 'Potentiality of assent' flowing from a wide - spread loyalty to the common goals of the Organisation, Infact, in the accomplishment of the objectives of the programme officials among the lower ranks of the hierarchy may have ever more actual power than those at the top.

Meaning & Definition of Authority

Fayol defines authority as "The right to give orders and exact obedience". He called this official authority but also recognized that official authority by itself was often ineffective. Official authority, a compound of intelligence, experience, moral worth, ability to lead etc. According to Theo - Haimann "Authority is the rightful legal power to request a subordinate a certain to do a certain thing or to refrain from doing so, and if he does not follow these instructions, the manager is in a position. If need be, to take disciplinary action, even to discharge the subordinate without authority, only anarchy and chaos would result".

A standard definition adhered to by many writers in the area of management take authority to be a legal or rightful power, a right to command or to act. It is a power to command others to do or not to do a certain thing which the possessor of the authority is deems appropriate and necessary to realize the objectives of the enterprise.

Distinction between Power & Authority

Weber defined power as the probability that one actor within a social relationship will be is a position to carryout his own will despite 'resistance', 'impersonal control', or authority on the other hand, is the probability that a command with a given specific content will be obeyed by a given group of persons. Thus, power is the more intensive terms and extends to all combinations of circumstances in which a person might impose his will in a given social situation. On the other hand, exercise of authority would require that a person successfully issue orders to a group of subordinates who respond because of their belief in the legitimacy of the order.

Both power and authority are used interchangeably since they influence the behavior those on whom these get exercised. The semantic difference is fine. Authority is right to command, power is the capacity to command. The right to command does not necessarily cannot note the capacity to command. A rich person exercises social influence and has

thus the capacity to command, but he has no right to do so. Though the right and capacity are distinguishable, some times the distinctions blurs. In organisation, some people acquire more power due to personal factors and then authority and power run together a continuum. Authority is legitimized and is institutional. Power reflects the political realities. Authority is exercised in organisational context. Power may exist without organisation.

Theories of Authority

There are primarily two schools of thought and other acceptance theory of authority:

i. Formal Authority Theory

According to this school of thought the ultimate source of authority lies principally in the institution of private property as guaranteed by the constitution of the country. Under India's democratic form of government, the right upon which managerial authority is based has its source in the constitution through the guarantee of private property. Since the constitution is the creature of the peoples it follows that society, through government is the source from which authority flows to ownership and thence to management. The formal Authority theory, thus, considers authority as power transmitted from the basic social institutions to the individual managers. In a business enterprise, authority originates at the top of the institution (of private property) and is delegated by the owners to their representatives, the directors, chairman, and from there further down to the various subordinates.

ii. Acceptance Theory of Authority

According to Chester Barnard, Mary Parker Follett, Herbert Simon, and others, the true source of authority of the manager lies in his acceptance by his subordinates, Chester Barnard, in his Function of an executive, has defined the term "authority" in the following words "Authority is the character of a communication (order) in a formal organisation by virtue of which it is accepted by a contributor to or members of the organisation as governing the action he contributes, that is, as governing or determining what he does or is not to do so as far as the organisation is concerned". According to this definition, authority involves two aspects. First the subjective, the personal, the accepting of the communication, and second, the objective aspect, the character in the communication by virtue of which it is accepted. If a directive communication is accepted by one to whom it is addressed, its authority for him is confirmed or established. It is admitted as the basis of action. Disobedience of such a communication is a denial of its authority for him. Therefore, under this definition, "decision as to whether an order has authority or not lies with persons to whom it is addressed, and does not reside in persons of authority or those who issue these orders". The central theme of acceptance theory is that the manager is not said to possess authority till subordinates accept him as their superior.

3. Discipline

Fayol observed that for proper exercise of authority, discipline in an organization is a prerequisite. Discipline, in fact, is a two-faceted phenomenon: employees would obey orders only when the management plays its role well by providing good leadership. In some situations, it could turn out to be just one-sided, for instance, when discipline is imposed upon the subordinates by the management from above.

4. Unity of command

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Fayol's principles of unity of command was in contrast to Taylor's principle of functional authority. Fayol opined that each employee in an organization should have only one direct superior from whom he would receive directives. This arrangement would help avoid conflicting lines of authority. Fayol did not favour a system of dual command which, in his view, was likely to result into confusion in authority channels and ambiguity in responsibility pattern.

5. Unity of Direction

Along with unity of command, unity of direction was also among Fayol's most vigorously stated principles. Fayol stressed that there should be a single head and a uniform plan for a group of activities having the same objectives. He observed that a body with two heads in a social organization as also in the animal world is like a monster that has difficulty in surviving.

6. Subordination of Individual Interest to General Interest

According to Fayol, management must ensure that the goals of the organization dominate the individual's interest. The individual, whether a worker or a manager, should submerge his own interest into the organizational goal interest. Since organization is above everything, its interest or, in other words, the general interest, should come first. The aims and interests of groups, departments and sections should be subordinated to the larger organizational needs and goals. This approach is likely result into greatest common good.

7. Remuneration of Personnel

This particular principle in Fayol's conceptualization emphasizes that the compensation policies and practices in an organization should be fair and affords maximum satisfaction to the employer as well as to the employees. This principle in essentiality is similar to one of the basic assumptions underlying Taylor's Scientific Management, i.e., motivation of an employee is dependent, among other things, on the monetary incentive that he gets in an organization.

8. Centralization

Fayol observed that the degrees of centralization or decentralization in an organization vary, depending on the condition of the business and abilities and qualities of the people involved. Fayol opined that centralization is not something which can be used or abandoned at will. It was the consequence of a natural order of things involving sensation of coverage towards the brain or directive part and from the brain or directive part, orders are sent out which set all parts of the organism in movement.

According to Fayol, the degree of centralization in an organisation varies, depending on the condition of the business and abilities as well as qualities of the people involved.

In ancient times the states were very small and central power could easily administer them. But day by day states and population started growing in size. So, it became difficult to administer them from a central place. Now the modern thinkers have started thinking of decentralization of power and independent charge for better results in any organisation or government sector.

A) Advantages

1. In centralization all the power would be concentrated at one place that is top level

and central power has got its monopoly in the administration.

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2. Operation is very easy in centralized system.
3. The vital departments like defence and economic, planning generally follow the centralized administrative method.
4. Uniformity would appear in the administration in centralization system.
5. In centralization adoption of a planned economy has become a compulsion in most states. Developed or developing integration has clear obvious benefits for planning.
6. The most important advantage in centralization is it reduces conflicts and overlappings jurisdiction in organisation.

B) Disadvantages

1. In centralization the central authority has to take all the decisions. Sometimes it leads to problems in business at the high level of administration. It leads to delay in the decision making.
2. It reduces the opportunities of the active participation at the bottom level.
3. In rapid changing society and the circumstances this system would not give good results.
4. The population is growing rapidly, and the states functions and also increasing to meet the necessities of the power. So, for the proper function of the government machinery through centralization is almost impossible.
5. In centralization, the central authority has to take decision. Sometime they may take time for proper decision, the result is wastage of time.
6. In centralized administration they are unable to adapt to local variations for better result.
7. It reduces the opportunities for the popular initiative participation in administration.
8. In centralization the workload at the central level would be heavy as all the important decisions they have to take for the proper administration.

9. Scalar Chain or Hierarchy

Scalar Chain refers to the line of authority from superior to subordinate. It is a channel of authority for communication and decision making. Fayol held the view that this chain should remain unbroken. An employee should not freely approach directly his superior's superior. Thus the scalar chain should only be short circuited when scrupulous following of it would be detrimental to the organizational effectiveness or when two employees with the consent of their respective superiors make direct contacts with each and inform their bosses of the decisions reached between them. Fayol's emphasis on the principle of hierarchy shares common concerns with other management thinkers of the classical school and with Max Weber.

Hierarchy is most essential to link the various levels through co-ordination and communication. It provides unity to the organization. The distribution of various functions and responsibilities is both, horizontal and vertical. When more functions are added

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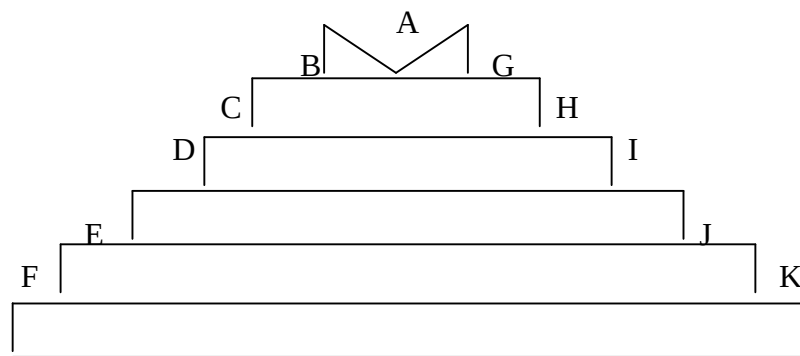
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without increasing the number of levels it is called horizontal growth. But when additional levels are added in an organizational structure, it is called vertical expansion. Vertical distribution creates levels like top management, middle management supervision and the level of specific performance. Due to the difference in the nature of responsibility of various levels the difference in the salary scales as between different levels and the difference in the qualifications, skills and qualities of the personnel manning at various level superior subordinate relationship does emerge in the organization.

“Hierarchy consists in the universal application of the superior - subordinate relationship through a number of levels of responsibility reaching from the top to bottom of the structure. J.D. Mooney and A.C. Reiley call it the “Scalar Process”.

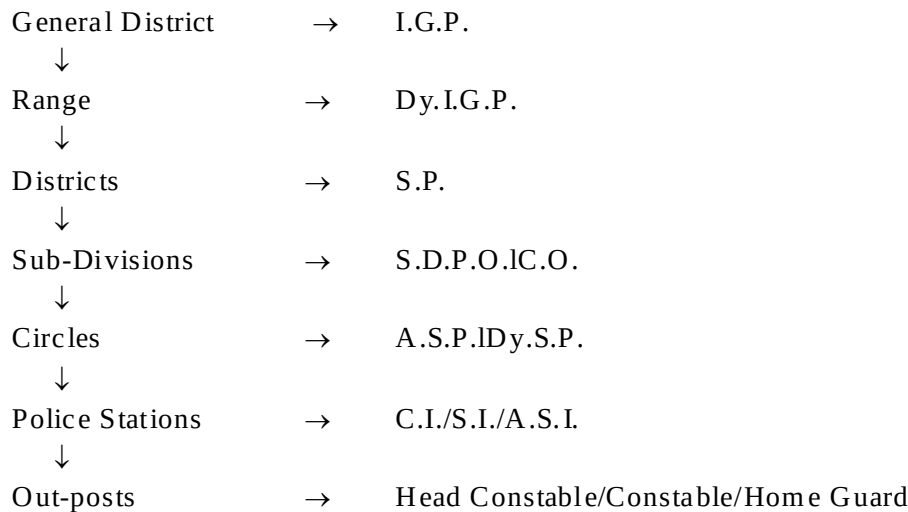
Explanation

Hierarchy becomes a channel of command, a means of communication among various levels of authority. The ideal type of Hierarchy is found in military administration. Let us illustrate it



(A. Hierarchy)

The above pyramidal chart shows that B is subordinate to A, C is subordinate to B, but C is also subordinate to A through B. If A has to order anything to C, it must be through B, and if C has to say anything to A, that must go through B. In the same way. D is subordinate to C, but he is also subordinate to B and A. Thus like a chain, the line of authority runs through upwards and downwards step by step. Similar F cannot approach A directly. He will have to go through E, D, C and B, and the vice versa is also true. Like wise every order of communication should move through ‘proper channel’ that is through the immediate superior to the top level officer step by step. A clerk is under a head clerk, the latter is under office superintendent and the section officer. If the section officer has to give any command to the clerk, it shall come through the office superintendent and the head clerk. Hierarchy in District Police Administration. The incharge is District Inspector General of Police (I.G.P.).



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The hierarchy in Police Administration from top to bottom is : LG.P., D.I.G.P., S.P., S.P., D.S.P., Circle Inspector, Sub-Inspector, Asst. Sub-Inspector, Head Constable, stable and Home Guard.

Characteristics of Hierarchy

The basic features of a hierarchical organization may be stated as below

1. It is structured in a pyramidal form.
2. Every person has only one immediate superior from whom he receives orders and instructions as to how the work is to be performed.
3. No middle level of authority is skipped over in the dealings of the people at the top with those at the lower level or vice versa.
4. The entire organization is divided into units and sub-units.
5. Authority, command and control in the organisation descends from the top to the downwards.
6. Employee in an organisation who is given responsibility for getting a work done is also endowed with authority commensurate with his responsibility.

The system of hierarchy has three chief characteristics. They are

- 1) Leadership
- 2) Delegation of Authority and
- 3) Functional Definition

Leader-Ship

The Chief executive, sitting at the apex of the organization is called the leader. leadership is an activity which receives Cooperation from the staff of the organisation by persuasion and inspiration. It is an influence aspect which guides and directs the people to work together in a collective effort to achieve the purpose of the organization.

Delegation of Authority

In a complex organization, to work efficiently, there should be delegation of authority at various levels and steps in the chain of command. By delegation a superior confers authority on sub - ordinate officials to do things and take decisions. Delegation means

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conferment of some discretion and powers on the individuals to take decisions in meeting their obligations. But it should be done carefully and within limits.

Types of Hierarchy

According to Pfiffner and Sherwood there are four types of hierarchy they are

A) Job Task Hierarchy: The place of each individual working in an organisation is fixed according to the task he has been assigned. The more powers and responsibilities one wields in the organization, the higher position he holds there and vice versa.

B) Rank Hierarchy: In this system of hierarchy, the position of person is assessed not by the tasks and responsibilities, but by the office rank they hold. In the army this hierarchy is found. A commander is commander, whether he is in office or fighting in the battle field. Here importance is attached to the rank and not to the work.

C) Hierarchy of Skill: Here the stress is laid on ability and skill. The production engineer is at the top of the industrial organisation and there are several specialists to assist him. This hierarchy is essential for higher production.

D) Pay Hierarchy: In this system hierarchy is formed on the basis of the wage and salary of employees working in an organisation. A person getting highest salary is at the top of the organization and vice versa. The form of training and quantum of experience are fixed on the basis of wage & salary.

Advantages

Every administrative organisation is hierarchically organized. In an organization when a large number of human beings work together, it is very essential that every one knows his role, position, functions and responsibilities. Not only this, each and every individual should also know his relationship with the other individuals. It must be very clear to everyone as to whose commands he has to obey, and whose authority he has to follow. Then only it is possible to avoid confusion and conflict in an organization. Hierarchy is a system of interlocking superior subordinate relationship from top to bottom. This scheme of inter-locking superior-subordinate relationships gives unity to the organization. As orders pass step by step they do not lose their weight. On the contrary they are reinforced, as they secure attention of lower levels of control. It facilitates the process of communication in an organization by ensuring as to who should command whom. When orders have been transmitted from the superior to the subordinate it can be easily located who was responsible for the implementation and execution of these orders. Hierarchy makes it possible by delegating authority at every stage of the organization, and then making the individuals accountable to the superiors for their actions. As hierarchy principle goes on delegating authority, it also goes on creating and establishing different centers for decision-making, and thus it decreases the burden of work of the chief executive and persons at the apex of the organization.

Disadvantages

In the system of hierarchical organization on spite of its many advantages, it has some disadvantages also. They are

A) Delay: Rigid application of the principle of hierarchy leads to delay because in it

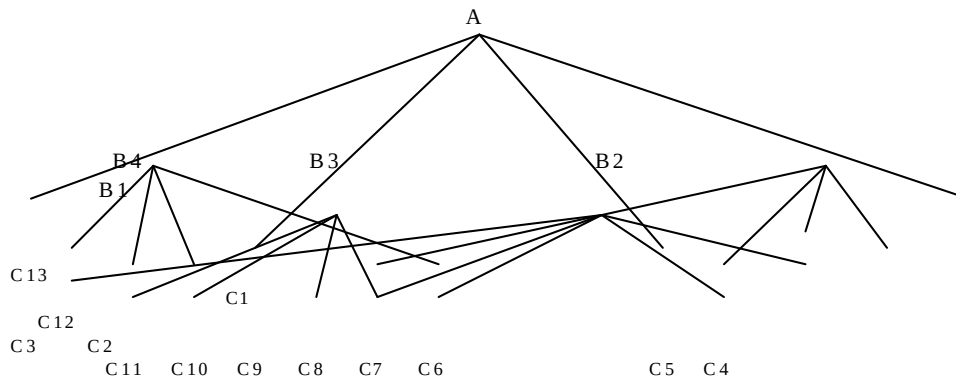
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proper channel is to be followed. Every step is to be crossed before one can reach the chief executive. To avoid this difficulty short cuts' are always devised.

B) Red Tapism: This hierarchical system leads to red tapism in the organization. Everybody has to move step by step and at every step it has to wait for a certain time.

C) Formal and Informal Relations: No organizational system can work only on formal principles of hierarchy. Informal relations also develop in the organization. At various levels informal relations between the superior and the sub ordinate do not depend on the formal hierarchical authority. These faults and defects result not because of hierarchy alone but because of the attitudes of the personnel working in the organization.

D) Fan Wise of Organization: Because of the defects inherent in the hierarchical organization, some of the thinkers have preferred the Fan - Wise system of organization. Under this system of organization, the authority passes downward not in a single chain of command but at each successive stage it is split up into multiple parts which are based on subject matter speciality. Thus a fan - wise organization will look like as illustrated below.



As the head of the department issues the programme, it is split up and divided stage by stage into various parts on the basis of specialization and control also is exercised on the basis of speciality. This way makes it possible not only for the programme to be split up into a definite number of parts, but also to check the flow of money and expenditure according to plan. The method gives the head of the department initiative in regard to the framing of the programme and the allotment of money and to the officials at each stage the power to direct and control the activities of those immediately in front of them. This system ensures specialized direction, rapidity of action and a straight - forward and pointed attack upon the targets.

10. Equity

As has been stressed earlier, Fayol was more concerned with human relations element in organization than what he is generally credited with to some extent, this concern is also reflected in his stress on the efficacy of equity in organization which, according to him, resulted from the combination of kindness and justice. It was the duty of the management to ensure that justice and kindness were meted out to the workers in an organization.

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11. Stability of Tenure of Personnel

Fayol believed that an effective business organization would require a relatively stable management cadre. This is essential on account of the time and expense involved in training good managerial personnel. A quick turnover of personnel is dysfunctional to organizational effectiveness and is also wasteful. Instability of tenure caused lowering of the morale of employees, loss of experience and expertise and break the continuity of organizational policies.

12. Order

The principle of order revolves round the idea that there is a place for everything and everything has its place. Order applies to human as well as social material. Order minimizes wastage of time and material resources, although social order needs a careful balance of requirements and resources.

13. Initiative

Initiative, Fayol stressed, must be encouraged by the management at all levels. In the process of percolation of this esprit to the lower levels, it is likely to involve a sacrifice of “personal vanity” on the part of managers. Fayol also suggested that managers should share some of their decision-making authority with their subordinates, because initiative thus generated would become a source of strength for the organization as a whole.

14. Esprit de Corps

The Last principle outlined by Fayol was Esprit de corps which is described as the prevalence of among all members of the organization. Management must foster the morale of its employees and for this real talent is needed to coordinate activities, encourage keen interpersonal cooperation, and reward each man for his merit without giving rise to any jealousies. Fayol even welcomed the trend for competing firms to develop friendly relations and settle common interest by joint agreements.

5.4 CHARACTERISTICS OF THE CLASSICAL THEORY

1. This theory deals primarily with formal organizational structure.
2. This theory believes that there are certain fundamental principles on the basis of which an organization can be established to achieve a specific objective. For instance, Henry Fayol propounded fourteen principles of organization as listed below: (i) Division of work, (ii) Authority, (iii) Discipline, (iv) Unity of Command, (v) Unity of Direction, (vi) Subordination of individual interest to general interest, (vii) Remuneration, (viii) Centralization or decentralization, (ix) Scalar chain, (x) Order (xi) Equity, (xii) Stability, (xiii) Initiative, (xiv) Esprit de corps.
3. This approach emphasizes on the structure of an organization. Structure is defined as a device, through which the human beings working in an organization are assigned the tasks and are related to each other,
4. These principles of organization are universally valid.
5. The principles propounded are not from philosophical exercise or figments of the imagination but from vigorous empirical observations, which means the principles have scientific validity.

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6. The watchwords of this approach are efficiency and economy.
7. This approach is concerned with discovering the true basis on which work can be devised in an organization and with devising proper methods of bringing effective organizational coordination.
8. This theory is marked by four features-impersonality, specialization, efficiency and hierarchy.
9. This view considers human behavior to be completely rationalistic.
10. This approach takes a mechanistic view of organization and ignores the dynamic of organizational behavior.
11. This approach takes into account only the formal relationships in an organisation and completely ignores the informal relationship.

In short, this approach views organization as a formal design or plan. According to Dimock, this approach bears the stamp of the engineer seeking scientific precision, logical structure, and the one best way of performing each step and of relating the parts to a unified whole. Its best statement is found in this definition of Leonard White: "Organization is a formal declared pattern of relationships established in government by law and by top management. It is based on the nature and volume of work to be done and is dictated by the requirements of efficiency. Classical theory or approach is subjected to the following criticisms.

1. Each principle has been proved to be neither empirically valid in organizational functioning nor universally applicable. Hence Simon dubs them as proverbs.
2. This approach is lacking in the behavioral analysis. It is completely ignoring the human aspects.
3. Their methods tend to be prescriptive rather than descriptive.
4. It is atomistic in the sense that it sees the individuals in isolation.
5. This theory is marked by an undue concern for the problems of the structure in relation to roles.
6. It treats organization as a closed system completely unconnected with, or uninfluenced by the external environment.
7. Its close attachment with the normative aspect of the functioning of organizations leads to its neglect of the study of actual and informal behavioral matters in the formal organizational structure.
8. The principles lack in specificity and therefore are not very helpful for the practicing administrator. For example, the principle of division of work and specialization is easy to understand, but it tells very little about how the tasks in an organization should actually be divided.
9. The principles cannot be wholly followed and some of the principles contradict others. Thus, a short span of control and a short chain of command do not go together.
10. Gullick's recommendation for departmentalization has been criticized by Simon for

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its ambiguity. An education department, as he points out, can be looked at as a purpose organization (meant for education) or a clientele organization (for children).

11. March and Simon called it the “machine model” theory.
12. Warren Bennis has observed that the focus of classical theory is an “Organizations without people”
13. It is also widely felt that principles view the organization more from the management point of view and not from the workers point of view.

Importance of Classical Approach

In spite of the criticisms as explained above, the classical approach has made major contributions to administration which cannot be ignored. In the first place this theory played a notable role in rationalizing and stimulating the production. Secondly, this theory promoted the idea that administration itself was a separate activity.

Thirdly, it formulated a set of concepts in administration and developed a terminology which has provided a base for subsequent researches in this field. Finally the limitations of this theory stimulated further researches in organizational behavior, thus becoming an important milestone in the development of organizational theories.

5.5 LUTHER GULICK , URWICK AND THEIR WORKS

Luther Gulick was born in 1892 in Osaka, Japan. He obtained his Ph.D., in 1920 from Columbia University. He secured his D. Litt in 1939 and was conferred LLB., in 1954. He served on the National Defense Council during the First World War. He became the president of the institute of Public Administration, New York in 1960. The greatness of Gulick lies in the fact that he was a consultant in administration for several countries. His important books and articles are : Administrative Reflections from World War II, Metropolitan problems and American Ideas, Modern Management for the city of New York.

Urwick and His works

Urwick was born in England in 1891. He was educated at the Oxford University. He worked as a Lt. Col, during the first world war in the British army. He was associated with several International Management Associations and was a known consultant on Industrial Management. Associations and was a known consultant on industrial Management. His works are: Management of Tomorrow, The making of scientific management (3 vol.), the elements of Administration, and The patterns of Management and Leadership in the XX Century organization.

5.6 PAPERS ON THE SCIENCE OF ADMINISTRATION GULICK AND URWICK

This is an important book edited by them which is regarded as an important landmark in the development of the science of administration. They had a rich experience in the Civil Service, Military Organizations and Industrial Undertakings. This wide ranging knowledge is responsible for their references to the factors like “Discipline and Efficiency”. This helped them borrow concepts like line and staff from the military organization.

Gullick and Urwick are inspired by the works of Taylor and Fayol. They believed in the possibility of developing a science of administration based on principles. They attached importance to the structure of administration and neglected the role of men in the organization. Urwick remarks that “it is impossible for humanity to advance its knowledge of organization unless the factor and structure is isolated from other considerations, however artificial such an isolation may appear”, He felt that friction and confusion are the result of faulty structural arrangement in the organizations.

5.7 GULICK AND URWICK ON THE PRINCIPLES OF ORGANIZATION

I. Views of Urwick

Urwick in his book ‘The Elements of Administration’ defines organization as ‘determine activities that are necessary for a purpose (or plan) and arranging them in groups which may be assigned to the individual’. He conceived the organization chiefly as a designing process. He feels that lack of design is illogical, crucial, wasteful and inefficient. According to Urwick there are eight principles of organization, viz.

1. The ‘principle of objectives’ – organization should be expression of a purpose;
2. The ‘principle of correspondence’ – authority and responsibility must be co-equal.
3. The ‘Principle of responsibility’ – responsibility of superiors for work of subordinates is absolute;
4. The scalar principle;
5. The principle of the span of control’ a superior cannot supervise directly, the work of more than five or six subordinates whose work interlocks.
6. The principle of specialization limiting one’s work to a single function.
7. Principle of coordination; and
8. The ‘principle of definition’ – a clear prescription of every duty.

Later he integrated the principles of Fayol, Money and Reilly, Taylor, Follett and Graicunas and derived 29 principles like investigation, forecasting, planning appropriateness etc. However he suggests that there may be unknown factors for a fuller understanding of the organization.

II. Views of Gullick

Gullick is influenced by Fayol’s fourteen principles. He enumerates ten principles of organizations. They are: (1) Division of work (2) Bases of departmental organizations (3) Coordination through hierarchy (4) Deliberate coordination (5) Coordination through committees (6) Decentralization (7) Unity of Command (8) Staff and Line (9) Delegation (10) Span of Control.

Among the ten principles he attaches good importance to the principles of division of work. He remarks that division of work and integration are the boot- straps by which mankind lifts itself in the process of civilization. The chief characteristic of Gullick’s theory is ‘his theory of departmentalization’. This theory examines the basis on which the work is divided and departments are created. The basis of the departments are :

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purpose or function, process, persons (clientele) and place, which are popularly known as the 4 p's Gullick.

5.8 GULLICK: POSDCORB

POSDCORB is new word coined by Gullick of which every letter denoted the following:

P: Planning: Outlining the things and methods which accomplish the purpose of the organization.

O: Organization : Designing the formal structure of authority.

S: Staffing: It covers the whole personnel function.

D: Directing: Making decisions and embodying them in specific and general orders and instructions.

Co: Coordinating: Interrelating the various parts of work.

R: Reporting: An activity which keeps the executive informed and informs the subordinated through records, research and inspection.

B: Budgeting: It involves physical planning accounting and control.

Some important principles of organization are discussed below.

1. Unity of command: This principles state that a subordinate should receive orders only from one superior. This principles is not capable of universal application.. Keeping the limitations of this principle in mind, Gullick argued that we should take the advantage of the principle and believes that in absence of this principle or its violation, confusion, inefficiency and irresponsibility will follow.

2. Delegation of Authority: This is necessary to see that the subordinates discharge their responsibilities and administer the functions entrusted to them.

3. Principles of Span of Control : This principle believes in the fact that an executive can supervise some only. Urwick fixes the span of control to five or six. But he is not dogmatic about the number. But Gullick unlike Urwick, is less categorical about the number. But Gullick examines the important factors or variables that determine the span. The span depends on individual supervision the nature of work, the size and experience of the organization.

Gullick and Urwick did not favour the organizations headed by plural bodies like committees, but insisted on single top executive. In this connection Urwick feels a committee is like neither a corporation with not a soul to be damned nor a body to be kicked. They feel that the special staff units do not exercise any direct authority and that adequate information.

Criticism: There are several criticisms against the principles laid down by Gullick and Urwick.

1. They are not clear about the meaning of their principles.
2. Herbert Simon is very critical about these principles. He says that it is a fatal defect of the current principles of administration that, like proverbs, they agree in pairs.

For almost every principle one can finds an equally plausible and acceptable

contradictory principle. Although the two principles of the pair will lead to exactly opposite organizational recommendations, there is nothing in the theory to indicate which the proper one to apply is. For example, one proverb says administrative efficiency is increased by specialization. But it is not clear whether specialization is good or fictionalization is better.

3. The principle of span of control is criticized. Urwick fixed the number as to five or six. There is no scientific validity at all behind this ideal number.
4. The principles are incapable of providing theory with evidence. It means it is not possible to conduct controlled experiments to test the theory time and again.
5. It ignored human element in organization.
6. They have also ignored the informal organisational processes and gave importance to the aspects of informal organisation only.
7. They have not paid adequate attention to the dynamic nature of administration and the ever changing setting in which it is functioning.
8. Simon and March pointed out certain limitations on the classical administrative theory. They are : (a) Improper motivational assumption, and (b) The existence of intra organizational conflicts of interests in defining the organizational behaviour.
9. The principles of Gullick and Urwick lack sophistication in the theories. They do not appeal to the intellectual curiosity of academicians.
10. Gullick and Urwick have exhibited pro-management bias in their theories.

5.9 SUMMARY

The greatest merit of Fayol's work is his logical thinking and foresight. His original listing of the functions of management still reads like a managerial treatise.

Fayol was the first modern administrative thinker to emphasize the universality of management functions and principles. He attributed his practical success to the application of certain simple principles which could be taught. His management theory paved the way for the evolution of the modern approach to higher management. Even when we agree that Fayol's theoretic formulation was incomplete, was too narrow and was based solely on the authors own personal limited experiences, it cannot be denied that the whole exercise had a substantial thematic congruity and relevance to the modern management system. Through there are inconsistencies in the principles of Urwick and Gullick, their importance cannot be defined. They represent only half truths. Even Simon could not discard them completely. POSDCORB principles are very useful to any kind of organization. These are applicable to any management to take decisions and implement the programmes to achieve its goals also objectives.

5.10 KEYWORDS

1. **Division of Work:** is one of the important principle of the principles of organisation, as expounded by the classical proponents. Thus, it is essential to know about the organisation and its principles, before studying anything about division of work.
2. **Organisation:** The concept of organisation can essentially be described as a matter

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of relationship of man-to-man, job-to-job and department to department. The relationship may be either of formal type or informal type. From this point of view the form of organisation can broadly be classified into two types, namely, formal organisation which is based on formal relationship and informal organization which is based on informal relationship.

3. **Meaning Division of Work:** Division of work means specialization of tasks. It includes the splitting up of the Job to be done into various tasks and allocating them to various offices or individual employees placed at different levels in an organisation
4. **Esprit de Corps:** The Last principle outlined by Fayol was Esprit de corps which is described as the prevalence of among all members of the organization. Management must foster the morale of its employees and for this real talent is needed to coordinate activities, encourage keen interpersonal cooperation, and reward each man for his merit without giving rise to any jealousies.
5. **Classical Approach:** In spite of the criticisms as explained above, the classical approach has made major contributions to administration which cannot be ignored. In the first place this theory played a notable role in rationalizing and stimulating the production
6. **Elements of Administration:** Urwick in his book 'The Elements of Administration' defines organization as 'determine activities that are necessary for a purpose (or plan) and arranging them in groups which may be assigned to the individual'. He conceived the organization chiefly as a designing process.

5.11 ANSWERS TO 'CHECK YOUR PROGRESS'

1. What is the meaning of Division of Work?

Division of work means specialization of tasks. It includes the splitting up of the Job to be done into various tasks and allocating them to various offices or individual employees placed at different levels in an organization.

2. Define the Equity?

Fayol was more concerned with human relations element in organization than what he is generally credited with to some extent, this concern is also reflected in his stress on the efficacy of equity in organization which, according to him, resulted from the combination of kindness and justice. It was the duty of the management to ensure that justice and kindness were meted out to the workers in an organization.

3. Briefly discuss the Division of Work?

Division of work according to work, department, job, etc., is one of the most important contributions of Henry Fayol to the modern Management. He advocated division of work as every stage and in every sphere. Henry Fayol has even recommended the minute division of the functions of a job. With division of work, he thought, the units of production would increase, which in turn, would help the enterprise to grow and prosper.

4. What is meant by POSDCORB?

POSDCORB is new word coined by Gullick of which every letter denoted the following:

P: Planning : Outlining the things and methods which accomplish the purpose of the

organization. **O**: Organisation : Designing the formal structure of authority ; **S**: Staffing : It covers the whole personnel function; **D**: Directing : Making decisions and embodying them in specific and general orders and instructions. **Co**: Co-ordinating : Interrelating the various parts of work. **R**: Reporting: An activity which keeps the executive informed and informs the subordinated through records, research and inspection.
B: Budgeting; It involves physical planning accounting and control.

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5.12 REVIEW QUESTIONS

I Essay type Questions

1. Explain the Fayol's principles of management in detail?
2. Briefly discuss the Division of Work?
3. Describe in detail "POSDCORB"?
4. Write the principles of organizations?

II Short type Questions

1. Hierarchy
2. Esprit de Corps
3. Centralization
4. Authority
5. POSDCORB
6. Authority
7. Delegation of Authority

5.13 SUGGESTED READINGS

1. Modern Public Administration - P. Sharan
2. Management Principles and practice - R. Srinivasan S.A. Chunawalla
3. L.D. White, Introduction to the study of Public Administration.
- A. Avasthi & Shriram Maheshwari, Public Administration.
4. C.P. Bhambhri, Public Administration.
5. Rukmi Basu, Public Administration: Concepts and Theories.
6. A.R. Tyagi, Public Administration: Principles & Practice.
7. T.K. Agarwal, Public Administration.
8. Mohit Bhattacharya, New Horizons of Public Administration

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Lesson 6

SCIENTIFIC MANAGEMENT APPROACH

Structure

- 6.0 Aims and Objectives
- 6.1 Introduction
- 6.2 Need for Scientific Management
- 6.3 Principles of Scientific Management
- 6.4 Advantages of Scientific Management
- 6.5 Criticism
- 6.6 Summary
- 6.7 Keywords
- 6.8 Answers to 'Check Your Progress'
- 6.9 Review Questions
- 6.10 Suggested Readings

6.0 AIMS AND OBJECTIVES

After reading this lesson, you will be able to

- Explain the need for Scientific Management
- Discuss principles of Taylor's Scientific Management
- Describe advantages of Scientific Management
- Criticism of Scientific Management

6.1 INTRODUCTION

Frederick Winslow Taylor (F. W. Taylor) was born in Germantown, Pennsylvania on March 20, 1856. From 1901 he devoted his time for research improving upon the techniques of scientific management till his death on March 1915. In the words of A.A. Sapiro "Taylor is important and interesting not only because of his work, but also because of his personality. His passion for efficiency was boundless and his capacity for work phenomenon. His incredibly active life illustrates a remarkable character".

6.2 NEED FOR SCIENTIFIC MANAGEMENT

During the later half of the nineteenth century the industrial revolution had reached a stage of maturity. But it had its adverse effects too. The work methods tools and procedures were neither standardized nor planned for efficiency. The need to raise production and promote efficiency with economy in industry urgently required new techniques of

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management. It was mainly to fulfill this need and find ways to raise industrial productivity that Taylor came out with his ideas on scientific management. Taylor's principles of management were scientific to the extent that they were based on first hand experimentation in and observation of work procedures and conditions in industrial enterprises.

Taylor's contribution to the development of scientific management was recorded in his papers. They are: A Piece- Rate System (1895), Shop Management (1903), The Art of Cutting metals (1906) and The principles of Scientific Management (1911).

6.3 PRINCIPLES OF SCIENTIFIC MANAGEMENT

F.W Taylor has proposed the following very important principles of an organization which are accepted by the many organizations in the World. Those are:

1. Standardization of Work Methods

The goal of the good management should always be either higher productivity or lower unit cost. In order to see that there is higher productivity, standardization of work methods is necessary. Scientifically investigating the working conditions of the workers and the total quantum of work to be undertaken in any enterprise in a given period is the first step. Fixing the daily task assignments so that the worker may work in a planned way is the second step. After this scientific method for each task should be developed which replaces adhocism in the selection of work procedures.

2. Scientific Selection and Training of Workers

The selection, placement and training of the workers should be done in a scientific manner. Standardization of working conditions will be crucially served by selecting and placing workers on abilities. It is the responsibility of the management to train workers for their tasks and provide them all facilities for development of their personalities.

3. Equal Division of Work between Management and Workers

Taylor noted the unhealthy trend of overburdening the workers with heavy work and managers having the lesser responsibilities. In this context, Taylor has advised that half of the work of the workers must be taken by the management.

4. Mutual Collaboration of the Workers and Management

Last but not least is that there should be, cordial relationship between the management and the workers. This factor promotes the efficiency and productivity.

6.4 ADVANTAGES OF SCIENTIFIC MANAGEMENT

Some of the advantages of scientific management were briefly explained in detail below.

1. Wastage of human and material resources is greatly minimized.
2. It helped in the standardization of work procedure and improvement of working conditions in factories.
3. Labour was greatly benefited by higher wages, better placements, and training, limiting of working hours and the general improvement in working facilities.

4. It provided the management with the effective guide lines to develop an effective organization.
5. Scientific management has resulted in the principles of hierarchical management and the consequent design of government departments into neat pyramids with the precise chains of command.
6. It had a snowballing effect on the administrative thought of USA. It permitted the government organizations also. In 1910, the scientific management movement manifested itself in the establishment of the Commission on Economy and efficiency under President Taft.

Taylor was the first management thinker to introduce and stress the five postulates of management – research, standards, planning, control and mutual collaboration between the labour and the management. These five principles form the curve of the every successful management.

6.5 CRITICISM

Though the scientific management offered the hope of resolving industrial problems, it has received the condemnation of both the managers and the labourers.

1. **Opposition from the Laborers and Trade Unions:** Trade unions felt that Taylor was more interested in the mechanical aspects of work and not much concerned about the total work situation. The unions were against the modern methods of increasing output by the introduction of the premium bonus system. The trade union leaders considered Taylorism as not only destroying trade unionism but also destroying the principle of collective bargaining.
2. Professor Hoxie who conducted an investigation for the United States Commission of Industrial Relations, criticized the Taylor's approaches as they were concerned only with mechanical aspects and not with the human aspects of production. The report also stated that the basic ideals of scientific management and labour unionism were incompatible.
3. As against the finding of the Taylor, Hawthorne experiments of Elton Mayo have proved that it is the emotional aspect of workers which is responsible for the increasing of productivity.
4. Taylor did not properly understand the anatomy of work. His emphasis on minute division of work and specialization was criticized on the following grounds: (a) Minute division of work depersonalizes and the worker is made a cog in the machine. (b) It leads to automation of the workers. (c) It is difficult to develop proper team work in the workers. (d) It serves against the principle of law of diminishing returns.

In the words of S.A Sapre, Taylor's philosophy was summarized thus: "First, he confuses the principle of analysis with the principle of action and so on. Second, planning and doing are separate parts of the same job; they cannot be totally divorced".

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6.6 SUMMARY

One of the main features in Taylor's work that should be remembered is Taylor underemphasized the human relations aspect but did not neglect it entirely. By all accounts Taylor is regarded as pioneer in the study of human beings at work. He is the first person to initiate request of better performance at work. His movement even spread to Germany, England, France, USSR etc. Bertram gross remarks that Taylor combined theory and practice, thought and experiment, and doing and reaching all in one person in one life. "The greatness of Taylor lies in the fact that modern scientific management- operations research, method study, time study, systems analysis, management by exception etc. are all a part of Taylor's heritage.

6.7 KEYWORDS

1. **Winslow Taylor:** Frederick Winslow Taylor was born in German town, Pennsylvania on March 20, 1856. From 1901 he devoted his time for research improving upon the techniques of scientific management till his death on March 1915. In the words of A.A Sapre "Taylor is important and interesting not only because of his work, but also because of his personality. His passion for efficiency was boundless and his capacity for work phenomenon. His incredibly active life illustrates a remarkable character".
2. **Scientific Management:** During the later half of the nineteenth century the industrial revolution had reached a stage of maturity. But it had its adverse effects too. The work methods tools and procedures were neither standardized nor planned for efficiency.
3. **Works of Taylor:** Taylor's contribution to the development of scientific management was recorded in his papers. They are: A Piece- Rate System (1895); Shop Management (1903); The Art of Cutting metals (1906); The principles of Scientific Management (1911).

6.8 ANSWERS TO 'CHECK YOUR PROGRESS'

1. **Explain about the principles of taylor's Scientific Management?**

Ans.

- a. **Standardization of work methods:** The goal of the good management should always be either higher productivity or lower unit cost. In order to see that there is higher productivity, standardization of work methods is necessary
- b. **Scientific Selection and Training of Workers:** The selection, placement and training of the workers should be done in a scientific manner.
- c. **Equal division of work between management and workers:** Taylor noted the unhealthy trend of overburdening the workers with heavy work and managers having the lesser responsibilities.
- d. **Mutual collaboration of the workers and management:** Last but not least is that there should be, cordial relationship between the management and the workers. This factor promotes the efficiency and productivity

2. What are the Advantages of Scientific Management?

Scientific Management Approach

Ans.

- a. Wastage of human and material resources is greatly minimized.
- b. It helped in the standardization of work procedure and improvement of working conditions in factories.
- c. Labour was greatly benefited by higher wages, better placements, and training, limiting of working hours and the general improvement in working facilities.
- d. It provided the management with the effective guide lines to develop an effective organization.
- e. Scientific management has resulted in the principles of hierarchical management and the consequent design of government departments into neat pyramids with the precise chains of command.

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6.9 REVIEW QUESTIONS

I Essay Type Questions

1. Taylor's contribution to Scientific Management. Discuss?
2. What are Scientific Principles of Management?

II Short Type Questions

1. Explain the need for Scientific Management
2. Taylor's Works.
3. What is meant by Scientific Management?

6.10 SUGGESTED READINGS

1. D Ravindra Prasad, V.S. Prasad and P Satyanarayana, Administrative Thinkers
2. Mohit Bhattacharya, Public Administration
3. Avasthi & Maheshwari, Public Administration
4. Nicholas Henry, Public Administration and Public Affairs

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Lesson 7

BUREAUCRACY APPROACH

Structure

- 7.0 Aims and Objectives
- 7.1 Introduction
- 7.2 Max Weber Views on Bureaucracy
- 7.3 Weber's Model of Bureaucracy- Its Characteristics
- 7.4 The Weber's Models of Bureaucracy
- 7.5 Criticism on Weber's Bureaucracy
- 7.6 Marx's Objection to Hegel
- 7.7 Max Characteristics of Bureaucracy
- 7.8 Ideas of Marx on State and bureaucracy
- 7.9 Summary
- 7.10 Keywords
- 7.11 Answers to 'Check Your Progress'
- 7.12 Review Questions

7.0 AIMS AND OBJECTIVES

After reading this lesson, you will be able to

- Explain Bureaucracy and its importance.
- Describe Weber's Model of Bureaucracy
- Discuss Characteristics of the Weber's Models of Bureaucracy.
- Know the Karl Marx views on bureaucracy
- Explain the Marx's contribution to state bureaucracy

7.1 INTRODUCTION

Max Weber was born in 1864 in West Germany. He has studied Law at the University of Heidelberg in 1889. He submitted his doctoral dissertation on "A contribution to the History of Medieval Business Organization". Later he joined the University of Berlin as an instructor in Law and completed his second work called "Roman Agrarian History and its significance for public and private laws". In 1894, he becomes a professor of economics at Heidelberg University.

Weber began his analysis at the age of 13. He attached importance to practical experience than library research. He was progressive in outlook but conservative at

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heart. His writings reflect the social conditions of his times. The unification of Germany has great impact on his writings.

7.2 MAX WEBER VIEWS ON BUREAUCRACY

Before analyzing the ideas of Max Weber on bureaucracy, it is important to have some idea about the evolution of the concept of bureaucracy. The word bureaucracy is first used by French economist, M. de Gournay, British political philosopher. J.S. Mill has also written extensively about bureaucracy. But it is Max Weber who gave importance to the systematic study of bureaucracy and its characteristics.

Weber did not define bureaucracy. Simply he described it. According to Max Weber bureaucracy is “an administrative body of appointed officials. He excluded the elected officials. Weber classified bureaucracy into (i) Patrimonial bureaucracy (ii) Legal rational bureaucracy. The characteristics of legal - rational bureaucracy is popularly known as Weberian model of Bureaucracy.

7.3 WEBER’S MODEL OF BUREAUCRACY- ITS CHARACTERISTICS

Weberian model of Bureaucracy or the model of legal-rational bureaucracy has the following characteristics.

- 1) Official business is conducted on a continuous basis.
- 2) An administrative agency functions in accordance with stipulated rules and is characterised by three inter related attributes. (a) The powers and functions of each official are delimited, in terms of impersonal criteria. (b) The official is given matching authority to carry out his responsibility and (c) The means of compulsion at his disposal are strictly limited and the conditions under which their employment is legitimate are clearly defined.
- 3) Every official and every office are part of a hierarchy of authority. Higher officials of offices supervise while lower offices and officials have the right of appeal.
- 4) Official do not own the resources necessary for rendering the duties, but they are accountable for use of official resources. Official business and private affairs, official revenue and private incomes are strictly separated.
- 5) Offices cannot be appropriated by the incumbents as private property which can be sold and inherited, and Administration is conducted on the basis of written documents.

Max Weber: The Official

- 1) He is personally free (and not a servant to anybody personally) and appointed to an official position on the basis of a contract.
- 2) He exercises the authority delegated to him in accordance with impersonal rules, and his loyalty is expressed through faithful, execution of his official duties.
- 3) His appointment and job placement depend upon his technical (administrative) qualifications.

- 4) His administrative work is his full - time Occupation and
- 5) His work is rewarded by a regular salary and by prospects of regular advancement in a life time career.

Bureaucracy Approach

7.4 THE WEBER'S MODELS OF BUREAUCRACY

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Structural and Behavioral Elements:

1. **Impersonal Order:** In Weber's ideal type there is no place for personal whims and fancies or irrational sentiments. Official activity is conducted in business like manner with a high degree of operational impersonality. To put it in the words of Merton, "authority, the power of control, which derives from an acknowledged status, lies in the office and not in the particular person who performs the official role.
2. **Hierarchy:** It means each lower office is under the control and supervision of a higher one. He also states that "the whole administrative staff under the supreme authority are organised in a clearly defined Hierarchy of officers". Remuneration is fixed in accordance with the nature of the job and the graded responsibility. Promotion and career advancement is on the basis of seniority and merit.
3. **Rules:** They regulate the conduct of an office. Their rational application requires specialized training. Bureaucracy Works in accordance with the consistent system of rules.
4. **Division of Labour:** This involves a specified sphere of confidence which has been marked off as part of a systematic division of labor. This division of labour involves the provision of the incumbent with the necessary authority to carry out his functions.
5. **Rationality:** Weber's ideas on efficiency and rationality are closely related to his ideal typical model of bureaucracy. Weber observes that bureaucracy is the most rational known means of achieving imperative control over human beings. It attains a high degree of efficiency in the organization.
6. **Rule Orientation:** His bureaucracy is Tule-oriented Rationality and impersonality are mainly achieved through the formulation of rules and procedures. They define official spheres of authority and conduct.
7. **Neutrality:** Bureaucracy is supposed to be natural political in its orientation.

7.5 CRITICISM ON WEBER'S BUREAUCRACY

Weber's concept or model of bureaucracy has received widespread criticism and condemnation.

- 1) Weber's bureaucratic model is criticised by behavioural writers like Simon and C. Barnard. They argue if Weber's model is accepted, it leads to administrative inefficiency and they, stress on the informal aspects of the organisations.
- 2) Merton believes that strict observance of Hierarchy rules lead to such consequences which are against the interests and objectives of the organisations.

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- 3) Selnick criticised Weber's model for its inefficiency in describing the actual behaviour of bureaucrats.
- 4) Talcott Parsons criticized Weber's idea of administration staff to be technically superior. He questions the internal consistency of Weber's idea type of bureaucracy.
- 5) Weber did not recognize the influence of environment factors on the behaviour of organizations.
- 6) Weber's concept of rational administration is also criticised from the view point of changing environment. Pointing to this defect, Peter Blau says that "the efficient administration is possible only when an individual is allowed to identify with the purposes of the organization and to adopt his behavior to the changing circumstance". H.G. Creel and A.B. Spitzer questioned the modernity of Weber's concept. For instance, Creel points out the existence of Weber Model in China by 200 B.C.
- 7) In the light of notions of public liability and accountability, his concept is criticised. Frederick Burin says that, "his model is not suited to the non-western countries".
- 8) It is proved that in democratic countries, it is difficult to find political neutrality as it envisaged by Weber.
- 9) The principle of Hierarchy is criticised on the grounds that it 'leads to authoritarianism of the superiors.

A careful analysis of the above criticisms reveals that these criticisms are pointing out the three defects in Weber model (i) the rationality of the model, (ii) the degree of the rational bureaucracy can have, (iii) the basis on which Weber constructed the ideal type.

7.6 MARX'S OBJECTION TO HEGEL

Karl Marx criticised the views of Hegel regarding the relationship between the State and Civil Society. Hegel distinguished between Society and State. For Hegel State represents the general interest and the Society represents the particular interest. Contradicting the views of Hegel, Marx says that Society and State are not separated permanently. The civil society comprises all the individuals, their desires and ambitions. The state is the creation of the civil society. In his critique of Hegel's Philosophy of Right, Marx says that Hegel starts from the State and makes men subjectified state, democracy starts from man and makes the State objectified man. Marx does not believe in the distinction between civil Society and the State.

Hegel regards bureaucracy as the embodiment of idea. He does not consider it as a Social category with distinctive characteristics. For Hegel, bureaucracy acts as a link between civil Society and State. It was the duty of the executive to implement decisions. It was shared between committee of monarch and the State officials. It was conducted according to the principles division of labor and hierarchy. For this task, the officials had to be educated and trained. To serve the "universal interest of the community the officials had to be financially supported". Hegel says that bureaucrats should be liable to external and internal control. This concept of bureaucracy looks like a complete distorted picture, to Marx.

7.7 MAX CHARACTERISTICS OF BUREAUCRACY

According to Karl Marx the features of bureaucracy are as follows

- 1) Bureaucracy grows along the lines of the State and also withers away through its destruction.
- 2) To put in the words of Marx, "The bureaucracy is the State formation of civil Society. It is the State's consciousness, the State's will, the State's power as corporation. It is a particular closed society within the State. It must defend the imaginary universality of particular interests".
- 3) According to Marx, "The General Spirit of bureaucracy is the secret, the mystery preserved inwardly by means of hierarchy and externally as closed corporation. To make public the mind and deposition of the State appears, therefore, to the bureaucracy of a betrayal of its mastery".
- 4) Bureaucracy cannot survive without its authority.
- 5) The bureaucracy is a circle from which no one can escape. Its hierarchy is hierarchy of knowledge, the top entrusts the understanding of the lower levels, while the lower levels credit the top with understanding of the general and so, and all are mutually deceived.

7.8 IDEAS OF MARX ON STATE AND BUREAUCRACY

According to Marx, there are five elements of the State. They are

- 1) State is an organ of economically dominant class. The dominant class is able to have political dominance over the working class.
- 2) State is an alienated and parasitical social force.
- 3) State is based on development of Bourgeois society on the free movement of private interest.
- 4) The objective of the State is to create an order which legalizes and perpetuates the oppression of one class by other.
- 5) State withers away with abolition of classes in society. It is a temporary phenomenon.

7.9 SUMMARY

Weber model has both positive and negative elements. Impersonal order, rules, spheres of competence hierarchy, technical rules, written documents, form the negative category. Selection through merit and technical qualifications, complete absence of appropriation of official positions by the incumbents come under positive categories. It is very important to note that those who criticise Weber model are not criticising Weber, but they are criticising the present day bureaucracies which are often equated with inefficiency. Simon and March have considered Weber as a classical thinker as he did not pay attention to human behaviour in the organisation. His greatness lies in the simple fact that all the propositions and models pertaining to bureaucracy till to day are either attempt of contradiction or modification to it.

Marx brought out the distinct aspect of bureaucracy as social formation with its

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particular interests and relationships. He examined bureaucracy from the broader perspective of the background of State. His concept of bureaucracy throws light on many facts of administrative performance in the modern state.

Karl Marx denounces bureaucratic rule and replaces it with another system of genuine public service as in the Soviet Union. He condemned the modern state system as 'Bourgeois'. If the state is an 'executive committee of the 'bourgeois' class bureau becomes its instrument.

7.10 KEY WORDS

1. Bureaucracy

Max Weber bureaucracy is "an administrative body of appointed officials. He excluded the elected officials. Weber classified bureaucracy into (i) Patrimonial bureaucracy (ii) Legal rational bureaucracy. The characteristics of legal – rational bureaucracy is popularly known as Weberian model of Bureaucracy.

2. Webers Characteristics of Bureaucracy

Weberian model of Bureaucracy or the model of legal-rational bureaucracy has the following characteristics.

- a) Official business is conducted on a continuous basis.
- b) An administrative agency functions in accordance with stipulated rules and is characterised by three inter related attributes. (a) The powers and functions of each official are delimited, in terms of impersonal criteria. (b) The official is given matching authority to carry out his responsibility and (c) The means of compulsion at his disposal are strictly limited and the conditions under which their employment is legitimate are clearly defined.

3. Marx Bureaucracy

Marx says that Society and State are not separated permanently. The civil society comprises all the individuals, their desires and ambitions. The state is the creation of the civil society. In his critique of Hegel's Philosophy of Right, Marx says that Hegel starts from the State and makes men subjectified state, democracy starts from man and makes the State objectified man. Marx does not believe in the distinction between civil Society and the State.

2. Max's Characteristics of Bureaucracy

According to Karl Marx the features of bureaucracy are as follows

- 1) Bureaucracy grows along the lines of the State and also withers away through its destruction.
- 2) To put in the words of Marx, "The bureaucracy is the State formation of civil Society. It is the State's consciousness, the State's will, the State's power as corporation. It is a particular closed society within the State. It must defend the imaginary universality of particular interests".
- 3) According to Marx, "The General Spirit of bureaucracy is the secret, the mystery preserved inwardly by means of hierarchy and externally as closed corporation. To

make public the mind and deposition of the State appears, therefore, to the bureaucracy of a betrayal of its mastery”.

Bureaucracy Approach

7.11 ANSWERS TO ‘CHECK YOUR PROGRESS’

1. What are the views of Max Weber on Bureaucracy?

Before analyzing the ideas of Max Weber on bureaucracy, it is important to have some idea about the evolution of the concept of bureaucracy. The word bureaucracy is first used by a French economist, M. de Gournay, British political philosopher. J.S. Mill has also written extensively about bureaucracy.

2. Criticism on Weber’s Concept of Bureaucracy?

Weber’s concept or model of bureaucracy has received widespread criticism and condemnation.

- 1) Weber’s bureaucratic model is criticised by behavioural writers like Simon and C. Barnard. They argue if Weber’s model is accepted, it leads to administrative inefficiency and they stress on the informal aspects of the organisations.
- 2) Merton believes that strict observance of Hierarchy rules lead to such consequences which are against the interests and objectives of the organisations.
- 3) Selnick criticised Weber’s model for its inefficiency in describing the actual behaviour of bureaucrats.
- 4) Talcott Parsons criticised Weber’s idea of administration staff to be technically superior. He questions the internal consistency of Weber’s idea type of bureaucracy.

3. What are views of Karl Marx on Bureaucracy?

According to Marx there are five elements of the State, they are

- 1) State is an organ of economically dominant class. The dominant class is able to have political dominance over the working class.
- 2) State is an alienated and parasitical social force.
- 3) State is based on development of Bourgeois Society on the free movement of private interest.
- 4) The objective of the state is to create an order which legalizes and perpetuates the oppression of one class by other.
- 5) State withers away with abolition of classes in society is a temporary phenomenon.

4. What are characteristics of Bureaucracy?

- a) Bureaucracy cannot survive without its authority.
- b) The bureaucracy is a circle from which no one can escape. Its hierarchy is hierarchy of knowledge, the top entrusts the understanding of the lower levels, while the lower levels credit the top with understanding of the general and so, and all are mutually deceived.

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- c) Bureaucracy grows along the lines of the State and also withers away through its destruction.

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7.12 REVIEW QUESTIONS

I. Essay Type Question

1. Describe the Weber's concept of Bureaucracy?
2. Comment on Weber's Bureaucracy?
3. Karl Marx's contribution to State Bureaucracy?
4. Explain the characteristics of Bureaucracy?

II. Short Type Questions

1. What is meant by Bureaucracy?
2. Write about the Max Weber?
3. Weber's views on Bureaucracy?
4. Karl Marx
5. Any two Characteristics of Bureaucracy?
6. What is the Concept State Bureaucracy?

7.13 SUGGESTED READINGS

1. Fred Luthans - Organisation Behaviour.
2. D. Ravindra Prasad, V.S. Prasad and P. Satyanarayana - Administrative Thinkers.
3. Sharan, P- Public Administration: Concepts and Theories
4. Mohit Bhattacharya, Public Administration
5. Avasthi & Maheshwari, Public Administration

Lesson 8

HUMAN RELATIONS APPROACH

Structure

- 8.0 Aims and Objectives
- 8.1 Introduction
- 8.2 Mayo - Basic Experiments
- 8.3 Hawthorne Studies
 - 8.3.1 The Illumination Experiments
 - 8.3.2 Relay Assembly Test Room Experiments
 - 8.3.3 Bank Wiring Observation Room Study
- 8.4 Human Attitudes and Sentiments
- 8.5 Absentism in the Industries
- 8.6 Features of Human Relations Movement
- 8.7 Critical Appraisal
 - 8.7.1 Status - Quo Oriented
 - 8.7.2 Ignores Institutional and Structural Factors
 - 8.7.3 Emphasis Non-Scientific Management Variables
 - 8.7.4 Manipulative Technique
- 8.8 Summary
- 8.9 Keywords
- 8.10 Answers to 'Check Your Progress'
- 8.11 Questions for Discussion

8.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Know the human relations in an organization
- Understand the human relations movement
- Describe Hawthorne experiments of Mayo.

8.1 INTRODUCTION

The Human relations Approach is predominant approach to the study of Public

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Administration. Elton Mayo has been one of the Pioneers of this Human Relations Approach. This approach has also grown along with other approaches of Public Administration. The Human Relations Approach concentrates its attention to the man in the Organization and the formal relations that govern the organizational activity. The Human Relations Approach was basically a response to the needs and demands of Industrial Organizations where the production had to be stepped up.

Mayo studies on Industrial Organizations contributed to a systematic understanding of the human dimension in the Organizations. Mayo was influenced by the Psychologists like Pierre Jenet and sigmond Freud, was profound on the studies of Mayo. In all his research activity Mayo focused his attention on the behavior of the workers and their production capacity keeping in view physiological, physical, economic and psychological aspects. Mayo based his analysis largely on a premise that the level of performance of a person depends on his motivation and mental frame work.

Mayo found that human body can work efficiently only the work is planned in a very systematic and scientific way. It is not enough that the work is divided and allotted to various functionaries. This is what is done division of work. It is also not enough if these supervisory levels to organize the work of the workers while structuring all the work (in a physical sense) is important. How a human being receives the work and how he performs it is equally important. In the course of his investigation, He found that Fatigue accidents in the Industry are more result of human failures and not the failure of the structure. These are the result of steno working conditions and bad industrial labour relations.

8.2 MAYO - BASIC EXPERIMENTS

Elton Mayo, concentrated his attention on fatigue, accidents, production levels, rest periods, working conditions etc., of the industrial labour in the factories. He started his research in a textile mill near Philadelphia in 1923. In the circumstances prevailing then, the mill near Philadelphia in 1923. In the circumstances prevailing then, the mill provided all the facilities to the labour, was well organized, and was considered to be a model Organizations. The employers were highly enlightened and humane but the president and director of personnel faced problems in the mule-spinning department of the textile mill. The general labour turnover in all the departments was estimated to be approximately 5 per cent or 6 per cent per annum while in the mule - spinning department the turnover was estimated at nearly 250 per cent. It means that about 100 industrial workers were required every year to keep about 40 working. Since it was a crucial department for the smooth functioning of the mill, the management introduced a number of schemes by way of incentives but to their surprise all the attractions failed miserably or retain the labour. Several firms of efficiency engineers were consulted. Four specific financial incentives were introduced on the suggestion of efficiency engineers but they yielded no appreciable results. Despite the setbacks the president of the mill refused to accept the situation to be beyond remedy. As a last resort, the firm referred the problem to Harvard University.

This was the first major research study undertaken by Elton Mayo after joining the Harvard School and named the study. "The First Inquiry". He studied the problems of the mule-spinning department intensely from various angles i.e., physical, social,

psychological, physiological. After protracted participatory observation method he found out that almost every piece, working in the mule-spinning department, suffered from foot trouble for which they had no immediate remedy. This trouble developed since every piece had to walk up and down a long alley, a distance of 30 yards or more, on either side of which a machine head was operating for the purpose of spinning the frames with cotton thread. While these frames moved back and forth, the worker was expected to watch the working of the machine closely so that whenever there was a broken thread he had to piece the ends together. Since there were 10 to 14 such machines in the care of a single worker he felt miserable attending to the job.

Mayo also found out that although there were two or three pieces in the section they were located far apart and communication between them was almost nil due to terrific noise of the machine. Added to this, some of the workers were young-in their twenties and others were in their fifties. All of them confessed that they were too fatigued to enjoy social evenings after work. But the workers would never flare up on the company president who had been a colonel in the US Army as most of them had been in the army in France under his command both before and during the First World War. Mayo found out all these details with the help of a nurse. The workers confided their problems to the nurse who promised them to maintain utmost secrecy.

On the basis of the information collected by the nurse and his own findings, Mayo, with the permission of the management-started experimenting with rest periods. He introduced rest periods-two of ten minutes duration in the morning and two again in the after with every team of pieces. From the beginning the results were encouraging. Gradually, the rest periods scheme was adapted to all the workers to eliminate the problem of physical fatigue. The workers evinced interest in the scheme and were pleased with the results. The symptoms of melancholy disappeared, the labour turnover almost came to an end, production rose and the morale generally improved.

The condition continued for sometime but in view of a heavy demand for goods the supervisors had done away with the new system.

Within a week the production decreased and the workers were unhappy and the old symptoms started reappearing. At this point the president of the company. "The Colonel" took charge of the problem. After prolonged discussions with Mayo and the members of his research team, the president ordered that the spinning department should be shut down for ten minutes, four times a day and that all hands from the supervisors down. To the workers should avail the opportunity of rest. With these changes pessimism disappeared, production picked up and the workers started earning bonus.

Thus Mayo in his first research study was able to probe into the problem and suggest remedies. In his endeavor, he found in the colonel a sincere president who had immense faith in his workers, evinced interest in their welfare and, true to his military background, neither wavered in his decisions nor forgot his men and their problems. His military experience taught him to care for his men and not to be afraid of making decisions. In addition, the president also introduced another change. He had placed the control of rest periods squarely in the hands of workers which led to consultations among the workers. Social interaction was set in motion. A new awakening began whereby the

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assumptions of 'rabble hypothesis'. This assumes 'mankind as a horde of unorganized individuals actuated by self-interest'. What was questioned?

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8.3 HAWTHORNE STUDIES

The second phase of the human relations concept commenced at the Hawthorne Plant of the Western Electric company which employed 25,000 workers at the time and was located in the Chicago city. It was conducted in different phases. At that time it was felt that there was a clear-cut cause and effect relationship between the physical work, environment, the well being and productivity of the worker.

The Hawthorne experiments may be classified into three parts

1. Illumination experiments, 1924-27.
2. Relay assembly test room experiments, 1927-32.
3. Bank wiring observation room experiment, 1931-32.

8.3.1 The Illumination Experiments

The illumination experiments began in November 1924 to study the relationship between quality and quantity of Illumination and efficiency in industry. This experiment started on the original hypothesis of scientific management that there was correlation between the intensity of illumination and workers output. It was however discovered that there was no relationship between two variables, and illumination (a physical condition of job) had no effect on the amount of output. These experiments showed there was something more than illumination which affected the productivity. This something more provided a significant clue to investigate the complex human variables affecting productivity which formed the basis of later experiments.

8.3.2 Relay Assembly Test Room Experiments

Taking a clue from the illumination experiments, the researchers began relay assembly test room experiments in 1927 to find out the relationship between working conditions incentive system, rest interval, additional physical facilities and the productivity. For this purpose the researchers set up a relay assembly test room and two girls were chosen. These girls were asked to choose four more girls as co-workers. The work related to the assembly of telephone relays. Each relay consisted of number of parts which girls assembled into finished products. Out put depended on the speed and continuity with which girls worked. An active observer was associated with the girls to supervise their work. Before each change was introduced, the girls were consulted. They had the opportunity to express their view points and concern to the superior their ideas a suggestions were sought, and in some cases they were allowed to take decisions.

There was less supervision, increase in morale, and decreased absenteeism on the basis of these findings, researchers concluded that there was a definite relationship between productivity and various factors being adjusted. The employees appreciated being recognized as individuals, having an equal voice with management in making comments on the organizational dynamics. The employees realized their worth, since they were allowed to express themselves freely and at length. During the course of experiments, thousands of interviews were conducted to determine employee's attitudes towards the company, supervision, promotion and wages. The interviewers realized that

social structure is a web of human relations bound together by a system of sentiments. However such observations were not satisfactory and researchers decided to explore the factors underlying restricted output. As such the detailed study of a shop situation (Bank Wiring Room) was started to find out the behavior of workers in small groups.

8.3.3 Bank Wiring Observation Room Study

A number of employees worked in a project under a constant observation and their outputs were recorded. It was found that the group had set a standard for output and this was not exceeded the informal group standard was subjected to strong social pressure. In spite of the fact that their output was carefully related to their wages, they deliberately restricted, their output and held down their wages. Their purpose was not to obtain more money but they wanted to give the impression of a uniform rate of output. They were highly integrated with their own social structure and code of behavior. This code included solidarity on the part of the group against management. Mayo argued that the importance of social grouping determines the levels of output.

8.4 HUMAN ATTITUDES AND SENTIMENTS

In 1928, the Harvard study team started in the same plant, a special study of human attitudes and sentiments. The workers were asked to express freely and frankly their likes and dislikes on the programmes and policies of the management, working conditions, how they were treated by their boss etc. In the beginning the interview schedule was tight but as there was no direct relation between the subject-matter and the views of the workers, the interview technique was changed. The interviewer played a minor role. After a brief initial explanation of the topic, he displayed real interest in everything the workers spoke. This change caught the imagination of the employees and each one of them took more time than they did earlier in answering the schedule. After a few days there was a change in the attitude of the workers. Although no reforms were introduced, the workers thought in view of their complaints the working conditions were changed. They also felt that the wages were better although the wage scale remained at the same level. It appeared that there was an opportunity to 'let off steam' which made the workers feel better even though there was no material change in the environment.

After interviewing about 21,26 workers, the complaints were analyzed and it was found that there was no correlation between the nature of complaints and the facts. The research team concluded that there were two types of complaints the manifest or material complaint and latent or psychological complaint. The Harvard team felt that the pre-occupation of the worker with personal problems like family tragedies, sickness etc., which Mayo had called pessimistic reveries in his early research, inhibited his performance in the industry.

The study succeeded in identifying the following three aspects

First, the workers appreciated the method of collecting the information on the problems of the company from them. They thought they had valuable comments to offer and felt cited on the feeling that they had an equal status with management. They also realized that they were allowed to express themselves freely and felt satisfied with it. They also entertained a feeling that the conditions in the environment were changed to the better although no such change took place.

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Second, there was a change in the attitude of the supervisors because they realized that their method of supervision was closely observed by the research team and the subordinates were allowed to comment freely about their supervisors.

Third, the research team also realized that they had acquired new skills in understanding and dealing with their fellow beings. It was felt that in the absence of proper appreciation of the feelings and sentiments of the workers it was difficult to understand their real problems, personal feelings and sentiments derived from both an employee's personal history and his social situation at work.

8.5 ABSENTISM IN THE INDUSTRIES

During the Second World War, Mayo came across a typical problem faced by the foundry shops in three industrial undertakings which manufactured important component's for aircraft. In view of the war situation, there was all-round dislocation in several walks of life, including the industrial establishments. People migrated from industry to armed forces, joined other speculative activities which resulted in an uncertain situation. The turnover of labor in the two industries was more than 70 per cent and absenteeism was chronic while the situation in the remaining industry was however better. Alarmed at this state of affairs, the managements requested Mayo to study the problem of heavy turnover and unjustified absenteeism in the industries and suggest remedial measures. The research began in 1943.

On the basis of the Hawthorne experience, Mayo and his research team found a few distinctive characteristics in the three plants. In the industry in which the turnover was minimum and the absenteeism was negligible, the management was found to have introduced group wage scheme and made it clear that workers would earn group wage without any shortfall in any shift in a day. In the event of any shortfall in any shift, the cut in the wages was uniformly applied. Therefore, all the workers became alert and formed into a group under the leadership of a natural leader who devoted time and energy in consolidating the group solidarity. Now it was the turn of the employees to ensure smooth functioning of the wheels of the industry. Mayo found out how an informal group demonstrated its strength and capacity in raising the level of production by cooperating with the management.

In the present case, the positive response was possible because the supervisor and his assistants were too busy otherwise and rarely paid any visit to the department. All the work was under the charge of a man who had no official standing and this person emerged as a natural leader of the team. In the case of other two factories there were neither informal groups nor natural leaders to knit the workers into a team. They were unable to form a team because of certain personal eccentricities as they were not given an opportunity to form an informal team. Hence, there was heavy turnover and absenteeism of the labour in the production centers of the industries. Mayo prescribed that to the extent possible the management should encourage formation of informal groups and treat the problems of the worker with humane understanding. He suggested that the workers should be treated as human beings but not as cogs in the machine. The labour should not develop a feeling that they were subject to exploitation by the management. The Mayo thought the managements should take the initiative in the

development of human relations in the industry and encourage a conducive situation among the industrial workers.

The significance of the Hawthorne studies was in discovering the informal organization. Mayo was also interested in discovering as to how spontaneously cooperation could be encouraged in organisations, so that organizational objectives may be achieved without breakdowns. His studies led to a realisation and understanding of the human factor in work situations, importance of an adequate communication system, particularly upwards from workers to management.

8.6 FEATURES OF HUMAN RELATIONS MOVEMENT

The human relations movement lasting for more than two decades has significant features. The important features of the human relations approach was a shift away from the tradition of scientific management and structural approach with their narrow base to an informal group membership and supervisory practices. It became an inter-disciplinary approach where knowledge of different branches of social sciences was synthesized to hammer out solutions to the day-to-day problems of organisations. As an observer pointed out “the principal significance of human relations movement was that it represented the coming of age of social sciences as their findings found every day relevance. It led to increase in profits and reduction in strife”.

As Arensberg observed the process of human relations research took a form of a definite order of developments: (1) an increase of managerial initiative, (2) followed by an increase of inter-worker communication, (3) followed by an increase of regressive up-the line action of the workers upon foremen or spokesmen, (4) which results in further changes of rewarding system in managerial action, (5) changing individual attitudes, (6) reaching expression as new group attitudes or morale, (7) which won informal sanction by the workers on one another, (8) and stimulated further release of individual productivity.

8.7 CRITICAL APPRAISAL

While human relations approach has been praised because of its substantial impact on production. It is also subject to very severe criticisms. The following are some of the major criticisms levelled.

8.7.1 Status - Quo Oriented

The critics Kerr and Fisher pointed out that the ideology of human relations ignored conflict and equated loyalty with freedom, protected the status-quo and glorified the closed static society with fixed statuses and embarrassing controls that serve to preserve a monolithic structure.

8.7.2. Ignores Institutional and Structural Factors

The human relations approach ignored the institutional forces and failed to analyse the power differences and the quest for power. Critics feel that it over emphasis the inter-personal relationships. On the country, it has been argued that market forces, the business cycle and profitability have an enormous effect on human relationships. They argue that the impact of economic forces on the attitudes and behavior of the participants is quite substantial which is ignored by the movement. It is criticized that human relations pay

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greater attention to primary group relations and inter-personal skills and not to the structural factors. How organizations are structured and which principles govern their functioning is as important as informal human relations. Formal organizations can be only one component of formal structure and not a substitute to it. Organisations are only a part of larger socio-economic systems. The changes in the socio-economic system are bound to effect the organizational culture. How organisations interact and respond to socio-economic changes is also an important dimension. Human relations approach has not taken a broader and integrated view of the social process.

8.7.3 Emphasis Non-Scientific Management Variables

The human relations approach not only under-estimates the potential of scientific management but concentrates its attention on non-scientific management. By emphasizing on such dimensions it renders management more an art than a science. In fact it effects adversely the growth of science of management in human organisations.

8.7.4 Manipulative Technique

The human relations movement is essentially a development which occurred in the wake of emergence of capitalism in the western societies. Capitalism seeks to maximize profit by appropriating the surplus created by the labour. The Human Relation Approach contributes to this process by manipulating the workers consciousness to the advancement of the owners of the Industry.

8.8 SUMMARY

The human relations approach made a significant impact on working of the organizations and their productivity. Another unique feature of this approach is its empirical thrust. Although these concepts are basically capital oriented, they did help in understanding the human nature on the one hand and considerably reduced human drudgery in the work on the other hand. The knowledge and experience gained can as well be used for the benefit of the workers provided these are changes in the political system and it's Ideological directions.

The total contribution of Elton Mayo regarded as one of the founding fathers of human relations approach in the organization. The significance of Hawthorne investigation was in discovering the informal organization which it is now realized exists in all organizations. The importance of group affecting the behavior of workers at work was brilliantly analyzed through these experiments.

8.9 KEYWORDS

1. Hawthorne Studies
 1. Illumination experiments, 1924-27.
 2. Relay assembly test room experiments, 1927-32.
 3. Bank wiring observation room experiment, 1931-32.
2. Human Relations of Movement: The human relations movement lasting for more than two decades has significant features. The important features of the human relations approach was a shift away from the tradition of scientific management and structural

approach with their narrow base to an informal group membership and supervisory practices. It became an inter-disciplinary approach where knowledge of different branches of social sciences was synthesized to hammer out solutions to the day-to-day problems of organizations.

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8.10 ANSWERS TO 'CHECK YOUR PROGRESS'

1. **Mayo's Contribution to human relations?**
 - a. **Hawthorne Studies :** The second phase of the human relations concept commenced at the Hawthorne Plant of the Western Electric company which employed 25,000 workers at the time and was located in the Chicago city. It was conducted in different phases. At that time it was felt that there was a clear-cut cause and effect relationship between the physical work, environment, the well being and productivity of the worker.
 - b. **Bank Wiring Observation Room Study:** A number of employees worked in a project under a constant observation and their outputs were recorded. It was found that the group had set a standard for output and this was not exceeded the informal group standard was subjected to strong social pressure. In spite of the fact that their output was carefully related to their wages, they deliberately restricted, their output and held down their wages.

8.11 QUESTIONS FOR DISCUSSION

1. Explain the importance of Hawthorne studies.
2. What are the main features of human relations approach?
3. What are the main criticisms against human relations approach?

8.12 SUGGESTED READINGS

1. Fred Luthans Organisation behaviour, Mc-Graw Hill, New Delhi, 1987.
2. D. Rvindra Prasad, V.S. Prasad and P. Satyanarayana - Administrative Thinkers, Sterling Publishers, New Delhi, 1989.
3. P. Sharan - Public Administration: Concepts and Theories
4. Peter, self, Administrative Theories and Politics.
5. Bhattacharya, Mohit , Public Administration.
6. Sharma and Sadana , Public Administration

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Lesson 9

BEHAVIOURAL APPROACH

Structure

- 9.0 Aims and Objectives
- 9.1 Introduction
- 9.2 Behavioral Sciences
- 9.3 Contemporary Research in Behavioral Studies or Administrative Behavior
- 9.4 Contributions in the field of decision making
- 9.5 Classical theory
- 9.6 Behavioural Approach : Criticism
- 9.7 Simon's Contribution to the Science of Public Administration
- 9.8 Simon Decision Making Theory
- 9.9 Simon Decision Making Process
- 9.10 Simon on Fact and Value
- 9.11 Simon's Behavior Alternative Model
- 9.12 Programmed and Non-Programmed Decisions
- 9.13 Simon's Theory
- 9.14 Models of Decision Making Behavior and Organizational Influence
 - 9.14.1 Modes of Organizational Influence
- 9.15 Theory of Equilibrium Organisation
- 9.16 Let us Sum up
- 9.17 Keywords
- 9.18 Answers to 'Check Your Progress'
- 9.19 Questions for Discussion
- 9.20 Suggested Readings

9.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Know the classical approach to public administration
- Understand the Behavioral Approach
- Discuss Simon's Decision making theory.

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9.1 INTRODUCTION

The classical approach to Public Administration 'is also known s institutional -. structural approach. There was a growing discontentment against the institutional - structural approach. This has crystallized into what has come to be called as the behavioural approach. This approach or method originated in the United States and was - first applied to social environment other than Public administration. This - approach which dates back to the forties, focuses on the actual behaviour of persons and groups in the organisations. Simon and Robert Dahl have been first among the pioneers of this approach to the study of Public Administration.

This approach is concerned with the scientific study of human bahaviour in diverse social environment. This approach began as a protest against traditional, historical, normative and largely descriptive approaches in the social sciences. The behavioural approach adopts an interdisciplinary approach which has the impact of Sociology, Social Psychology and Cultural Anthropology.

9.2 BEHAVIOURAL SCIENCES

Definition: Berelson and Steinen have defined the behavioural sciences as “By the behavioural sciences we mean the disciplines of anthropology, psychology and sociology minus and plus : Minus such specialised sectors as physiological psychology, archaeology, technical linguistics and most of physical anthropology ; plus social geography, some psychiatry and the behavioural parts of economics, political science and law. In short we are concerned here with the scientific research that deals directly with human behaviour.”. There are many and varied contributions form the behavioural scientists. Starting with human religionists, the scientists have enriched administrative theory and management practice.

Behavioral Scientists: Their Contribution

Some of the great names associated with behavioural approach are Chester Barnard, Simon, Carl Rogers, Moreno, Kurt Lewin and A.H. Maslow. Barnard gave importance to the psychological aspects of management. He views the organisation as basically a social system. Simon has developed Barnard's thoughts further. Simon is concerned with the behaviour og organisations as goal oriented and adoptive entities. According to Simon “Administrative behaviour is a part of the behavioural sciences”. Hence the study of Public Administration should involve the study of individual and collective human behaviour in administrative institutions. He introduced the concept “Satisficing behaviour on organisational institutions where human beings seek to attain a satisfactory level of performance”. Rogers is well known for his clinical approaches to counseling therapy and Moreno for his study of inter personnel relations. Lewin and his followers pioneered the action research approach to organisational development. Maslow's contribution is, he has developed the theory of motivation in the organisational behaviour. He has laid a hierarchy of needs in an ascending order from basic economic survival needs to social, self - esteem and self actualization needs.

Behavioural Approach

Characteristics: The behavioural approach in administrative studies has the following

salient features.

Behavioural Approach:

1. Its literature is descriptive rather than prescriptive, with the studies on motivation being an exception.
2. Increased attention is paid to the individual based on more realistic research concerning motivation, decision making processes and the nature of authority.
3. Stress is laid, on informal relationships and communication among members of an organisation.
4. It emphasizes operational definitions of terms and -empirical study based on rigorous methods such as field study; laboratory experiments or use of other statistical methods.
5. It is chiefly, though not exclusively, concerned with quantification and formal theory construction.
6. It is interdisciplinary in character, and makes considerable use of propositions drawn from other social sciences.

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9.3 CONTEMPORARY RESEARCH IN BEHAVIOURAL STUDIES OR ADMINISTRATIVE BEHAVIOR

Contemporary research in administrative behaviour has been classified by Herbert Simon as follows: (1) The study of Bureaucracy; (Robert Merton, Peter Blaw and others using and extending upon the Weberian Model); (ii) Human relations, pertaining to motivation and increasing job satisfaction (Chris Argyris, Warren Bennis and others). (iii) Motivation studies using the Bernard Simon's equilibrium model; and (iv) Decision making studies emphasizing primarily cognitive processes and rational components of administrative behaviour.

In short the behaviouralist adopted an integrated and interdisciplinary approach. 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 judgment, for the purely value oriented. It also emphasized scientific approach to the study of administrative problems and their solution. In India also a number of scholars have used behavioural techniques in research. They are Pal Pandikar, Kuldeep Mathur, Ramashray Roy, Shanti Kothari, C.P. Bhambhri. .

To conclude, the behavioural scientists have given a new orientation to administrative thought by focusing attention on the role of the individual leadership in organisation, group dynamics, motivation and satisfaction. The behavioural studies are a growing body of knowledge and these are increasingly used in organisational redesigning and problem solving.

9.4 CONTRIBUTIONS IN THE FIELD OF DECISION MAKING

Simon is an eminent American political and social scientist. Born in 1916, in Wisconsin, he received his Ph. D. in Political Science from the University of Chicago. Starting his career in municipal government on which he authored quite a few books, he served

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with great distinction in various capacities and organisations as an academic and as a consultant. His contribution to administrative thought and its popularity in the field are evident from the number of publications on different subjects, many of which have been translated into various languages including Turkish, Persian and Chinese. His principal publications are : Administrative Behaviour (1947), Fundamental Research in Administration (1953), Organisations (1958), The New Science of Management Decision (1960), Shape of Automation (1960), Sciences of the Artificial (1969) and Human Problem Solving (1972). A much sought after visiting Professor, he has lectured in many universities. He is the recipient of many awards and a number of Universities have conferred honorary doctorates on him. In recognition of his outstanding contribution in analysing the decision-making process, he was awarded the Noble Prize in 1978. Currently he is Professor of Computer Science and Psychology at the Carnegie-Melon University at Pittsburgh. An early interest in the problems of evaluating the relative efficiency of different methods of local administration led him to the field of 'Operations Research', and is presently engaged in research analysing the role of electronic computers to simulate human thinking in the process of decision-making.

Simon equates 'administration' with decision-making. He lays emphasis on how decisions are made, and how they be made more effectively. He passes a critical indictment on the narrowness and sterility of the traditional approach and argues that before one can establish any immutable 'principles' of administration, one must be able to describe, exactly how an administrative organisation looks and exactly how it works. He says that when research has been done, when a basic vocabulary to the satisfaction of many scholars has been developed, when decision-making as well as the 'doing' have been analysed, when the limits to rationality imposed by restricting abilities, habits, values, and knowledge have been explored fully then and only then it may be possible to have valid principles of administration and know how to apply them. In addition to the major stress upon decision-making as the alternative to the 'principles approach' of the traditionalists, Simon recommended an empirical approach to the study of administration. Simon is critical of the traditional principles of administration and calls them as 'proverbs'.

Thus Simon proposed a new concept of administration based on theories and methodology of logical positivism with the focus on decision-making. He maintains that to be scientific one must exclude value judgements and concentrate attention on facts, adopt precise definition of terms, apply rigorous analysis, and test factual statements or postulates about administration.

Simon calls his concept of decision-making as the core of administrative action. The shift in emphasis from the 'door' to decision-making in administration is not novel. Exponents of 'classical' school had earlier separated 'technology from operation' in their administrative theories. But this does not mean that Simon's contribution is anyway less significant as his writings aided in the fuller understanding of the administrative phenomena. Another reason for the ready acceptance of Simon's theory was due to its apparent subsuming of several administrative functions.

9.5 CLASSICAL THEORY

Simon calls the traditional concepts of administration as proverbs and myths. These principles of work division, unity of command, and span of control have all been attacked as being ambiguous and as mere proverbs, each paired with a contradictory proverb. The reason for such an ambiguity, according to him, is the 'inadequate' diagnosis of situations and definitions of terms and lack of detailed research into real situations. Simon says that these principles are more like a series of orderly cubicles contrived according to an abstract architectural logic than of a house designed to be inhabited by the human beings. He finds no compatibility between the perfection of administrative processes as conceived in the POSDCORB formula, and their utility in the attainment of objectives. Through these attacks, Simon points to the yawning gulf, between the principles and practice. The missing factor, according to him, is correct decision-making, by which he means the optimum rational choice between alternative courses of action.

9.6 BEHAVIOURAL APPROACH : CRITICISM

This approach is criticised on the following grounds.

1. **The conceptual frame - work is not adequate:** The approach is confined to analyse the 'Inside man' and did not take into account the entire social setting in which the whole organisation operates.
2. **It is a political approach:** This approach took a political view. It gave an impression that organisations are autonomous from their political environment. But it should be remembered that administrative system itself is a sub -system of a political system.
3. **Value - free and neutral approach is not helpful:** The approach tried to analyse the value judgment and ignored the ethical question. This has an inherent danger. For example a thief committing theft by picking up proper means would be within the rationalist frame. But what he does may not fit into a socially desirable ethical frame work.
4. **The approach is general and has no practical relevance:** This approach gave an explanation to the understanding of the organisation at an abstract level. Therefore, it failed to gave solution for bettering the working of the organisations. It failed to give suggestions to improve the decision making processes in the organisations.
5. **It is idealistic:** The concepts of authority and rationality as explained by behaviouralists are idealistic. The material conditions and concrete historical situations are ignored.
6. Behavioural approach is valid to small social groups and is not valid to the study of

Behavioural Approach:

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9.7 SIMON'S CONTRIBUTION TO THE SCIENCE OF PUBLIC ADMINISTRATION

Simon's decision - making theory is a major break through in the evolution of administrative theory. Simon's greatness lies in the fact that he proposed a new concept of administration based on theories and methodology of logical positivism with the focus on decision making. To Simon, "An administrative science, like any science is concerned purely with factual statements. There is no place for ethical (value) statements in the study of science". He considers Public Administration as purely a science and maintains that to be scientific one must exclude value - judgments and concentrated attention on facts, adopt precise definition of terms, apply rigorous analysis, and test factual statements or postulates about administration.

1. Simon's works

Simon, born in 1916 in Wisconsin, received his Ph. D. in Political Science from the University of Chicago. His principal publications are: (1) Administrative Behaviour (1947), (2) Fundamental Research in Administration (1953), (3) Organisations (1958), (4) The New Science of Management Decision (1960), (5) Shape of Automation (1960), (6) Sciences of Artificial (1969), (7) Human Problem Solving (1972).

It is very important to note that he is awarded the Noble Prize in 1978 for his outstanding contribution to the theory of decision making.

2. Influence on Simon

Follett's ideas on dynamics of group behaviour have a great influence on Simon's mind. He is influenced by Elton Mayo of Human Relations Approach to a considerable extent. But it was Chester Bernard who had a definite positive influence on Simon.

Simon recommended an, empirical approach to the study of administration. He has a dig at the Classical Theory. The principles of organisation such as work division, unity of command and span of control are attacked as being ambiguous and Simon calls them 'proverbs'. Inadequate diagnosis of situations and definitions of terms and lack of detailed research into real situation is responsible factor for the classical theory. Hence, Simon remarks, "one must be able to describe, exactly how an administrative organisation looks and exactly how it works".

9.8 SIMON DECISION MAKING THEORY

Simon equates administration with decision making. He proposes a new concept of administration based on the theories methodology of logical positivism and focuses his attention on decision making. He calls his concept of decision making as the core of administrative action. 'The notable feature of his theory is that he has integrated the administrative functions of the execution such as Fayol's P'OCCC (Planning, Organisation" Command, Coordination, Control) and Gulick's POSDCORB (Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting) into a single all embracing concept of decision making.

Simon views organisation as a group of decision makers. To Simon, each decision is based on a number of premises like decision makers preferences social conditioning and communications.

Behavioural Approach:

Simon views an organisation as a structure of decision-makers. According to him decisions are made at all levels of the organisation, some of them affecting many members, while others are relatively less important decisions about details. Each decision is based on a number of premises, and Simon focusses his attention on how these premises are determined."Some of these premises pertain to the decision-maker's preference; some to his social conditioning, and some others to the communications he receives from component units of the organisation. Simon asserts that the top management cannot dictate to every member of the organisation what each decision must be, but it can influence some, perhaps the most important premises on which the decisions are based.

Simon divides the decision-making process into three phases viz., intelligence activity, design activity and choice activity. The first stage involves finding occasions calling for decision. The executive tries to understand the organisations environment and identifies conditions which need fresh action. This involves spending more time and energy than the first stage. Finally, the executive selects one of the alternative courses of action available to him. Simon says that though these three stages appear to be simple and one precedes the other, in practice the sequence is more complex than what it appears to be. Each of the stages may itself involve a sequence of decision-making more complex in process, as the 'choice stage' may also involve the intelligence activity and design activity, or each stage may involve all the three stages in itself. Simon explains that decision-making basically involves choice between alternative plans of action, and choice in turn, involves facts and values. According to him, every decision consists of a logical combination of fact and value propositions. A fact is a statement of reality indicating the existing deed, act or state of things. Value is an expression of preference. Simon is, however, aware that most premises have both factual and value elements and his purpose of stressing this distinction is only to clarify the different criteria of correctness that may be applied in analysing the ethical and factual elements present in a 'decision'. He asserts that the rules of scientific analysis, most particularly the rule of observation preclude ethical judgments although both values and facts are inextricably joined as most of the value premises involve intermediate facts and they are open to segregation only for purpose of illustrative analyses.

. Mixed issues of fact and value, then impinge upon the administration complicating the decision-process. The relevance of this impingement on administration is to be seen in the purposive character of organisation which develops groups of individuals to achieve goals ordinarily beyond their individual reach. The continuum of purposiveness includes the concept of a 'hierarchy of decisions', and Simon concludes that behaviour in an organization a complex network of decision processes is, therefore, intendedly rational in character, adjusted to the goals that have erected. Speaking of the complex network of decision process Simon says that 'each decision involves the selection of a goal and behaviour relevant to it; this goal may in turn be mediate to a somewhat more distant goal; and so on, until a relatively final aim is reached.' The ambiguous synonymity between means-ends and fact-value, is clarified through a definition that so far as

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decisions lead to the selection of final goals, they may be treated as ‘value judgments’ i.e., the value component predominates, and in so far as the decision implement such goals, they may be treated as ‘factual judgments’ i.e., the factual component predominates. The relationship of a decision to a set of ends remains a factual proposition. Simon does not refer to ‘value decisions’ and ‘factual decisions’.

Rationality in Decision-Making

Having established the factorial continuum of decision-making, Simon delves further into the dynamics of decision on a different plane the plane of rationality. Simon expounds the necessity of being rational in making a choice. He defines rationality as one concerned with the selection of preferred behaviour alternatives in terms of some system of values whereby the consequences of behavior can be evaluated. To him it requires a total knowledge and anticipation of the consequences that will follow on each choice. It also requires a choice from among all possible alternative behaviours. He explains rationality in terms of means-ends construct. The term ‘means’, instrumental purpose refers to any state or situation which is earlier in time than some other state or situation. The term ‘ends’ ultimate purpose refers to any state or situation which is later in a purpose chain or set of chains. The same state or situation may always be a means from one point of view and an ultimate objective from another.” If appropriate means are chosen to reach desired ends, the decision is rational. However, there are many complications to this simple test of rationality. For, it is difficult to separate means from ends because an apparent end may only be a means for some future end. This is commonly referred to as the means-end chain or hierarchy.” Simon points out that “the means-end hierarchy is seldom an integrated, completely connected chain. Often the connection between organisation activities and ultimate objectives is obscure, or these ultimate objectives are incompletely formulated or there are internal conflicts and contradictions among the ultimate objectives, or among the means selected to attain them.” Simon differentiates between different types of rationality. A decision is

- 1) Consciously rational where adjustment of means to ends is a conscious process;
- 2) Objectively rational where it is correct behavior for maximizing given values in a given situation;
- 3) Subjectively rational if the decision maximizes attainment relative to knowledge of the subject;
- 4) Organizationally rational to the extent that it is aimed at the organization’s goals; and
- 5) Deliberately rational to the degree that the adjustment of means of ends has been deliberately sought;
- 6) Personally rational if the decision is directed to the individual’s goals.

Simon disputes the concept of total rationality in administrative behaviour. He observes that human behaviour is neither totally rational nor totally non-rational. It involves, what he calls bounded rationality. He discounts also the possibility of optimising decision which flows from the concept of total rationality. These concepts are based on the assumption that: (1) the decision-makers know all alternatives; (2) they know the utilities

(values) of all alternatives; and (3) they have an ordered preference among all alternatives. As Simon finds these assumptions to be 'fundamentally wrong', he rejects the theory of total rationality as well. In place of optimising decisions, which was based on total rationality, he advances the idea of 'satisficing'—word derived from satisfaction and sufficing. After the treatment of means and ends chain, Simon attempts at describing various models of decision-making in vogue and finally builds a model incorporating his concepts.

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9.9 SIMON DECISION MAKING PROCESS

Simon divides the decision making process or activity into three phases, viz, intelligence activity, decision activity and choice activity.

The administrator should understand the environment of the organisation and find out the conditions where the action should be taken. This part of the activity is known as Intelligence Activity.

Afterwards, administrator should try to identify develop and analyse the alternative courses of action. This requires more time and energy of the administrator. This part of the activity is known as Design Activity.

The administrator should select the right alternative or choice from those he has before him. This part of the activity is known as Choice Activity.

Though the stages or phases of decision making activity or process look simple, in practice it may not be so. The sequence is more complex and may be unclear than what it appears to be. For instance choice stage may involve the intelligence activity and design activity.

9.10 SIMON ON FACT AND VALUE

Decision making basically involves the choice between various plans of action. Choice involves facts and values. According to Simon, a fact is a statement of reality which indicates the existing deed, act or state of whose premise can be proved by observable and measurable means. A value to Simon is an expression of preference. Mixed issue of fact and value often have an impact on the administrator and complicates the decision making process.

9.11 SIMON'S BEHAVIORAL ALTERNATIVE MODEL

Herbert Simon is widely known for his model of rational decision making. He defines "rationality as one concerned with the selection of preferred behavior alternative in terms of some system of values whereby the consequences of behavior can be evaluated". He explains rationality in terms of means-ends chain. The term 'means', is instrumental purpose. It refers to any state or situation which is earlier in time than some other state or situation. The term 'ends' is ultimate purpose. It refers to any state or situation which is later in purpose change or set of change.

Simon does not agree with the concept of total rationality in administrative behavior. He tells that human behavior is neither totally rational nor totally non-rational. It involves what he calls bounded rationality and he rejects the possibility of optimizing decisions.

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These are the results of total rationality. Simon advocates the idea of satisfying. This word is derived from satisfaction and sufficing. Satisfying involves the choice of a course of action which is satisfactory or at least good enough.

Decision makers cannot perceive all possible alternatives nor can predict all possible consequences. Hence he makes his choice without examining all possible alternatives. Therefore, Simon's administrative man tends to be satisfying instead of maximizing. According to Simon resistance to change, desire for status or dysfunctional conflicts caused. by specialization etc, may impede maximization.

In this context Simon acknowledges the limitations of the actual administration in the process of his search for appropriate decision premises. They are:

- 1) Habits and reflexes of the individual which are determining of individual action.
- (2) Individual's values and loyalties which may act as constraints on rational behaviour.
- (3) Data and information are likely to be limited and difficult to get, and decision maker has to work under these basic limitations.

Under these circumstances the decision maker is not searching for the optimal decision but a satisfactory one. Thus, satisficing administrative man is thus different from the maximizing economic man.

9.12 PROGRAMMED AND NON-PROGRAMMED DECISIONS

Those decisions which are repetitive and routine are called programmed decisions. Decisions which are novel, unstructured and consequential are non - programmed decisions. Habit, knowledge and skills and informational channels are the techniques to deal with the programmed decisions. Selection and training of executives to deal with non-programmed decisions.

Simon suggest the application of mathematical tools. Operation's research electronics, data processing systems analysis and computer stimulation etc, for making decisions. Thus Simon is advocating the utilisation of computers to increase rationality and decision making.

Administrative efficiency should be a guide for the administrators in all aspects of decision making.

9.13 SIMON'S THEORY

Simon's theory provided a new angle to look at organisations and offered new-frame of reference, viz, the decision making. His contribution i.e. undoubtedly a maior breakthrough in the evaluation of administrative theory. His theory provides a deep insight into administrative behaviour and interaction between decision making processess and administrative behaviour found in organisations. However the basic principles which are propounded by Simon are criticised on the following grounds

- 1) His fact based administrative theory is more relevant to business administration than public administration.
- 2) His distinction between fact and value is attacked as reviving the politics -

administration dichotomy. This approach is harmful in its effects on decision makers. It is irrelevant to Simon's main thesis.

Behavioural Approach:

- 3) Simon neglected the social, political, economic and cultural factors while analysing the administrative behaviour. Similarly he has excluded the value premises which play a vital role in policy determination. This leads to mechanical, routine and less important aspects in the study of Public Administration.
- 4) Norton E. Long criticised Simon for making administration a value free science. In this context Long mentions that Bureaucracy is not and cannot be neutral instrument solely devoted to the Unmotivated presentation of facts to, and docile execution of orders from political superiors. Hence he feels that this situation leads to empirically untenable and ethically unwarranted view of administration.
- 5) According to Seiznick radical separation of fact and value too often identified with the logical distinctions between fact statements and preference statements, encourages the divorce of means and ends.
- 6) Simon's concept of efficiency is also criticised. Efficiency is not the only goal of organisation. There are several organisational goals like satisfaction of various interests, the production of goods and services, mobilising the resources etc. play an important role. It is important to note that efficiency is relevant only to the extent of scarcity of resources and perception of it by the members of the organisation. Of course, it is obvious that Simon confines efficiency criteria to rather lower level decisions.
- 7) Simon's theory of decision making is extremely general and does not supply details to guide organisational planners.
- 8) Argyris criticises Simon for not recognising the role of institution, training and faith in decision making. According to him Simon's theory focuses on Status Quo Ante. It uses satisfying to rationalise incompetence.

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9.14 MODELS OF DECISION MAKING BEHAVIOR AND ORGANIZATIONAL INFLUENCE

There are many models "of decision-making behaviour. These models attempt to determine the extent of rationality of the decision-makers. The models range from complete rationality to complete irrationality of the economic man and the social man respectively. Simon develops the model of administrative man who stands next to the economic man.

As the administrative man cannot perceive all possible alternatives nor can predict all possible consequences, he, instead of attempting to arrive at 'optimal solutions', is satisfied with 'good enough' or 'some-how muddling through'. Again as the administrative man recognizes that the world he perceives is the simplified version of the real world, he makes his choices using a simple picture of the situation that takes into account just a few of the factors that he regards as most relevant and crucial. In a sense Simon's administrative man tries to rationalize man, but he does not have the ability to maximize; he always ends up with satisfying. However, the difference between maximising and satisfying is relative.

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The construct of a model depicting the administrative man is followed by attempts at understanding the impediments and obstacles that come in the way of maximisation. According to Simon resistance to change, desire for status, or dysfunctional conflicts caused by specialisation, etc., may impede maximization.

Simon makes a distinction between two types of decision programmed and non-programmed. Decisions are programmed to the extent that they are repetitive and routine in nature. In such cases definite procedures can be worked out and each decision need not be dealt with separately. Non-programmed decisions are those which are novel, unstructured and consequential and have to be tackled independently as no cut-and-dried methods are available for handling them. In all such cases the executives have to work out new decisions in each case. The techniques to deal with programmed decisions are habit, knowledge and skills, and informal channels. Selection and training of executives possessing higher skills, innovative ability, etc., are the techniques to deal with non-programmed decisions. Simon suggests that it is possible to construct mathematical models to make a rational choice. The application of mathematical tools, operations research, electronic data processing, systems analysis, computer simulation, etc., can profitably be used to make decisions. Use of such techniques will reduce the dependency on the middle managerial personnel and lead to centralisation in decision-making. He points out also that the use of new techniques of decision-making will radically change the concept of delegating responsibility and decentralising decision-making, making it possible for more rational and coordinated communication of decisions than is otherwise possible. With the increasing use of computers and simulation models more and more decisions can become programmed, which in turn increases rationality in decision-making process and behaviour and thereby increase organisational rationality. Thus, what Simon is aiming at is the utilisation of computers to increase rationality.

9.14.1 Modes of Organizational Influence

The behaviour of organisation man is subject to two types of influences internal and external. The former involves establishing in the operative employees himself, attitudes and habits, which lead him to reach the desired decisions. This is achieved through organisation loyalty, concern with efficiency and training. The latter involves imposing on the operative employee decisions reached elsewhere in the organisation. This is achieved through authority and advisory and informational services. The individuals accept these influences for the simple fact that the organisation objectives also indirectly become personal objectives of the individuals and acceptance of influences satisfies personal motives.

Authority is one of the means through which organisation man is made to conform to the organisational demands. However, the general impression that authority flows from above is not correct. For, the exercise of authority, in the ultimate analysis, depends upon the willingness of those who accept it. It should also be noted that authority might operate at various levels and not necessarily downwards. Organisations develop both formal and informal relations and authority is largely used to settle the disputes in the organisation. Simon says that the operative employees is said to accept authority whenever he permits his behaviour to be guided by the decision of the superior. Following Barnard's

‘zone of indifference’, Simon discusses about the ‘zone of acceptance’, and says that if exercise of authority is attempted beyond this zone, the subordinate disobeys it.

Behavioural Approach:

1. The Criterion of Efficiency

While authority and organisational loyalty influence the value premise of the individual, the criterion of efficiency influences his capacity to handle the facts. Efficiency implies adoption of shortest path and cheapest means in achieving the desired goals.’ ‘Be efficient’’ is one of the major influences on organisational man.

2. Organizational Loyalties

It is generally observed that members in an organisation identify themselves with it. Such type of loyalty is fundamental for an organization. Organization loyalty fulfils a most important function of making individuals in the organisation confine themselves to their tasks instead of probing into the basics of the problem. However, narrow loyalties lead to friction and over competition for the resources.

3. Advice and Information

Continuous flow of information downwards, upwards and sideways is essential for effective functioning of an organisation. However, the nature of information of advice to be tendered may change from situation to situation. Therefore, collecting dependable information and proper utilization of it ensures greater effectiveness in the decision-making and provides adequate lines of communication and persuasion.

4. Training

Training is a vital device through which organization man is equipped to face challenges of the organisation. An efficient training programme would facilitate greater discretion to the individual in decision-making. Training is applicable to the process of decision whenever the same elements are involved in a number of decisions. Further training supplies facts, provides frame of reference and indoctrinates desirable values. Thus, it can be used for developing effective decision-making.

5. Administrative Efficiency

The administrative according to Simon must be guided by the criterion of efficiency in all aspects of decision-making. However, Simon is conscious of the complicated nature of its application in governmental organisations which are not commercial in nature. The criterion of efficiency ‘dictates’ that choice of alternative which produces the largest results for the given application of resources. It demands, of the two alternatives having the same cost, the one that leads to the greater attainment of the organisation objective be chosen; and of the two alternatives leading to the same degree of attainment that one which entails lesser cost should be chosen. The criterion of efficiency is thus closely related to both organisation and conservation resources. It is related to the organisation objectives in so far as it is concerned with the maximisation of output and with the conservation of resources in so far as it is concerned with the maintenance of a positive balance of output over input. Where resources, costs and objectives are variable, decisions cannot be taken purely on the basis of efficiency criteria. However, when these are given, efficiency becomes the controlling factor of administrative choice.

Through his penetrating study, Simon focuses attention on the dynamics of decision-

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making processes and its role in organisations. His study provides a deep insight into administrative behaviour and the interaction between decision-making processes and administrative behaviour found in organisations. But while concentrating on the processes and the role of decision-making, Simon relegates social, political, economic and cultural factors to the background although their role is no less significant in the analysis of administrative behaviour. Similarly exclusion of value premises which are integral and essential components of policy determination per se, would steer the study of public administration to mechanical, routine and less important aspects.

Simon's critics mainly contend that although the decision-making process is an important variable in the organisational situation, it alone is not adequate to explain the totality of the organisational picture. To them decision-making is a process involving the dimensions of emotional or expressive as well as rational or instrumental.

Simon's study of decision-making incorporates and makes use of the logical positivists' distinction between fact and value.

This approach has been attacked

- a) As reviving in a new guise the discredited politics-administration dichotomy;
- b) As harmful in its effects on decision-makers; and
- c) As irrelevant to Simon's main thesis.

Simon's efforts to construct a value free science of administration has been criticized by Norton E. Long on the ground that it may lead to the unintended and logically unwarranted result of reviving the policy-administration dichotomy in new verb age and also lead to empirically untenable and ethically unwarranted view of administration as largely instrumental. Long further observes that bureaucracy is not, and cannot be, a neutral instrument solely devoted to the unmotivated presentation of facts to, and the docile execution of orders from, political superiors. Selznick argues that radical separation of fact and value too often indentified with the logical distinctions between fact statement and preference statements, encourages the divorce of means and ends.

Simon's analysis assumes that administration plays a similar role in all societies. But it is observed from experience that administrative systems in developing countries do not have similar role orientation as their counterparts in developed countries. Simon's concept of efficiency also is subject to frequent criticism. Some criticise the term equating it with economy. Others object to the use of the term of the ground that it lead to a mechanical concept of administration, and to an inconsistent relationship between means and ends. Efficiency is not, and cannot be, the only goal of administration, because there is a whole range of other major categories of organisational purposes, such as, satisfaction of various interests, the production of goods and services, mobilizing resources, conforming with certain organised codes, using the most rational techniques. Anyone of these objectives, roughly or in combination, may under certain circumstances be more important than efficiency to an organisation. Further, the goal of efficiency may often decline in importance. Efficiency is relevant only to the extent of scarcity of resources, and the perception of it by members of the organisation. It is measurable in precise terms only when it is possible to quantify both inputs and outputs.

The study of decision-making encounters many difficulties. For one, executives

believe that it is often unwise to reveal the reasons for a decision or the procedure followed. For another, by the time the confidential facts are released via the 'memoirs' route, the case or the matter is no longer currently important.

Simon's theory of decision-making is criticised as being extremely general and while it provides the framework, does not supply details to guide to organisation planners. Simon's concept of rationality is also criticised. For example Argyris feels that Simon, by insisting on rationality, has not recognised the role of intuition, tradition and faith in decision-making.

The utility of Simon's study in the decision-making process in terms of search and comparison and its criteria of maximising or satisficing, despite the criticism is unquestionable. In difference to the effective use of fact value distinction by many decision-makers is no argument against its effective use by academics as a tool in the analysis of decision-making phenomena.

In spite of all the above imperfections Simon's contribution is undoubtedly a major breakthrough in the evolution of administrative theory. But it is unfortunate that after his major work on Administrative Behaviour, Simon has not written much on public administrative system but has diverted his attention to economic and business system.

9.15 THEORY OF EQUILIBRIUM ORGANISATION

Professor Simon has made original contribution in the field of formal organisation and administration. As already said he was very critical about traditional approach to organisation and has characterised the views of traditional theorists as proverbs and slogans. He has laid stress in the study of organisation on human values and human aspect of the problems. He has tried to understand organisational problems in the background of social and psychological problems and issues.

1. Influences on Organisation Man

He has said that an organisation man is under two types of influences namely internal and external. In the former case the employee himself reaches a decision whereas in the latter case decision is reached elsewhere in the organisation and is imposed on the employees working in the organisation. This is done by some authority and through informational services. The employees in the organisation accept both internal and external influences because objectives of the organisation indirectly become personal objectives of the individual as well. Not only this but by accepting these influences their personal motives are also satisfied.

2. Organisational Structure

The views of Prof. Simon about organisation structure very much differ from scholars and thinkers. He does not agree with them that an organisation is only a formal set up based on rules and regulations. But Prof. Simon accepts organization as a group of people, which is faced with many serious human problems.

3. Work Process in Organisation

Prof. Simon is of the view that basic work processes start at the lowest level, whereas at the middle level programmed decision are taken. These are of routine nature and continue to be repeated. These are matters of day to day concern. Non-programmed

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decisions are taken at the highest level. Those are not of repetitive nature for which precedents do not exist. There are no rules and regulations on which such decisions can be based. He has viewed organisational decisions at three levels. Simon very firmly believes that these levels are not affected by the processing of figures and automation of administrative decision system. On the other hand, because of automation mutual relation of three levels of decision makers in an organisation will become clear.

4. Individual Behaviour and Organisation

He has further said that it is the responsibility of organisation to make the people aware and provide them information about values and objectives of the decisions. He has fully appreciated the importance of employees of the organisation, but does not agree with those scholars who try to point out that individual is the pivot of the organisation. If an individual has courage, ability and imagination he can successfully work in any organisation.

5. Simon on Authority

Simon has said that authority is one of the means through which an organisation man is obliged to conform to organisational demands. He does not believe that authority flows from above. Authority, training, efficiency, organisational loyalty, organisational objectives and identification are some such factors and channels through which an organisation influences the behaviour of the individuals and moulds them to accept organisational decisions. The system of influencing an individual through organisation is technically called organisational influences. It is in this background that Simon's views about authority can be properly understood and appreciated. He has said that in the ultimate analysis, exercise of authority depends on the willingness of those who are to accept authority.

Professor Simon has defined authority by saying that it is a part of decision which guides the functioning of others. Its one important feature is that it can be used when parties to the dispute lack agreement. He feels that more stress has been laid on this aspect whereas in actual practice it is usually accepted and enforced with the help of suggestions and persuasions.

He has said that authority can operate at various levels and not necessarily downward. Technically authority is neither legal nor it is based only on informal acceptance. Essentially it depends on the person who is to obey the authority and to see whether it is linked with the objectives of the organisation or not and once he has decided favourably then only he accepts authority.

Simon has said that if authority is exercised certain limits that is bound to be disobeyed. He has also said that if a particular person is not accepting authority, it does not mean that he has no power or authority but for that there can be other reasons, both internal and external as well which force him not to obey authority.

6. The Theory of Equilibrium of Organisation

Prof. Simon views organisation as a balanced system *i.e.* a system in equilibrium which receives contribution in the form of money or efforts and offers inducements in return for these contributions. He has said that in an organisation there are three partners. They are customers, servants and entrepreneurs. All these partners continue to affiliate

and associate themselves with the organisation till their activities directly or indirectly serve their interests. They in their own way contribute in the growth and retardation of organisation. For their contribution they are paid wages or given some services. For the existence of the organisation it is essential that the contribution of the partners and others to the organisation should exceed the wages or services which it provides to them.

7. Organisational Loyalties

Usually in a good organisation members identify themselves with it. It is very essential both for the growth and existence of the organisation itself. But organisational loyalty Simon means workers and others linked with organisation, conforming themselves to their tasks rather than finding faults or looking into its problems. But he has warned that narrow loyalties lead to friction and over competition for the use of scarce available manual and material resources.

Simon has laid stress on training. According to him it is with the help of training that an organisation can be in a position to face challenges of the organisation. A good training programme is likely to be useful and helpful in the difficult task of decision making. It is training which provides facts, frame of reference and inculcates desirable values. Thus training helps in overall development of organisation man and is absolutely necessary for him.

9.16 LET US SUM UP

The behavioural approach marks a significant break-through in the growth and evolution of the organisation theory. Its contribution to the study of organisation is substantial. This approach provided a new angle to look at organisations offered a new frame of reference, viz, the decision making.

Simon's philosophy has added the concept of zone of acceptance, rationality, 'the ends - means debate' etc., to the horizon of Public Administration. In spite of all the criticisms, Simon model has greatly encouraged the need for the use of various management techniques in public policy making and policy science has received initial impulse from Simon.

9.17 KEY WORDS

1. Behavioural Approach

Characteristics

The behavioural approach in administrative studies has the following salient features. Its literature is descriptive rather than prescriptive, with the studies on motivation being an exception. Increased attention is paid to the individual based on more realistic research concerning motivation, decision making processes and the nature of authority.

2. Simon's Theory

Simon's theory provided a new angle to look at organisations and offered new-frame of reference, viz, the decision making. His contribution i.e. undoubtedly a major

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breakthrough in the evaluation of administrative theory. His theory provides a deep insight into administrative behaviour and interaction between decision making processes and administrative behaviour found in organisations. However the basic principles which are propounded by Simon are criticised on the following grounds.

9.18 ANSWERS TO ‘CHECK YOUR PROGRESS’

1. Definitions of Behavioural sciences.

Berelson and Steinen have defined the behavioural sciences as “By the behavioural sciences we mean the disciplines of anthropology, psychology and sociology minus and plus : Minus such specialised sectors as physiological psychology, archaeology, technical linguistics and most of physical anthropology ; plus social geography, some psychiatry and the behavioural parts of economics, political science and law. In short we are concerned here with the scientific research that deals directly with human behaviour.”. There are many and varied contributions from the behavioural scientists. Starting with human religionists, the scientists have enriched administrative theory and management practice.

2. Describe the Simons Decision Making Process.

Simon divides the decision making process or activity into three phases, viz, intelligence activity, decision activity and choice activity. The administrator should understand the environment of the organisation and find out the conditions where the action should be taken. This part of the activity is known as Intelligence Activity. Afterwards, administrator should try to identify develop and analyse the alternative courses of action. This requires more time and energy of the administrator. This part of the activity is known as Design Activity.

9.19 QUESTIONS FOR DISCUSSION

1. Explain the Simon’s contribution to Decision Making Process?
2. Describe theory of equilibrium of Organisation.
3. Discuss modes of Organisational influence.
4. Explain Classical theory.

9.20 SUGGESTED READINGS

1. Fred Luthans Organisation behaviour, Mc-Graw Hill, New Delhi, 1987.
2. D. Rvindra Prasad, V.S. Prasad and P. Satyanarayana - Administrative Thinkers, Sterling Publishers, New Delhi, 1989.
3. P. Sharan - Public Administration: Concepts and theories
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Lesson 10

SOCIO – PSYCHOLOGICAL APPROACH

Structure

- 10.0 Aims and Objectives
- 10.1 Introduction
- 10.2 Acceptance as the Basis of Legitimacy of Authority
- 10.3 Varied Bases of Responsibility
- 10.4 Formal and Informal Organizations
- 10.5 The Mechanism of Communication
- 10.6 Balancing the Positive and Negative Motivations
- 10.7 Favorable Factors in Decision-Making
- 10.8 The Functions of the Executive
- 10.9 Theory 'X'
- 10.10 Theory 'Y'
- 10.11 The Principle of Integration
- 10.12 Differences between the Assumptions of Theory 'X' and Theory 'Y'
- 10.13 Summary
- 10.14 Keywords
- 10.15 Answers to 'Check Your Progress'
- 10.16 Questions for Discussion
- 10.17 Suggested Readings

10.0 AIMS AND OBJECTIVES

After reading this lesson, you will be able to

- Know the authority and informal organizations
- Understand the Bernard's views on organization and communication
- Know the formal and informal organisations
- Know the Theory 'X' and Theory 'Y'
- Understand the Differences between Theory 'X' and Theory 'Y' .

10.1 INTRODUCTION

Chester Barnard was born in Maiden, Massachusetts, in 1886. He rose from an humble origin, beginning a life at hard work at the age of 12. He had to support himself while he was at Mount Hermon School, as also during the three years he spent at Harvard

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College. After leaving Harvard at the age of 23, he took a job as a statistical clerk with the American Telephone and Telegraph Company in Boston. He worked with the New Jersey Bell Telephone Company for nearly 39 years (1909-1948).

Barnard also served as the State Director of the New Jersey Relief Administration from 1931 to 1933 and then again in 1935. It was an experience that allowed him to sample organizational life outside of the Bell system. From the early thirties to shortly before his death in 1961, Chester Barnard was deeply involved in analyzing the nature of contemporary management.

Barnard begins his analysis from the premise that individuals must cooperate. An individual can achieve little or nothing at all by himself, since his physical, biological and psychological powers are such as to be a limitation on his achievements. Organization is the result of opposing forces and it operates in the context of such opposing forces. Barnard views an organization as cooperative system an open-ended natural dynamic system of cooperative effort which must secure its objectives as well as cooperation of individual contributors. In Barnard's opinion, an organization must be both effective and efficient.

Douglas Mc. Gregor is a management psychiatrist. He was a noted professor of management at M.I.T., and a Board member of the Foundation for Research on Human Behavior. His monumental classic 'The Human side of the Enterprise' marks the watershed in the history of management movement dominated by the writings of his predecessors. In his "Professional Manager" he linked behavioral concepts to organization behavior and showed how the human side of the enterprise can be developed through appropriate managerial intervention and understanding.

Smashing all sorts of superstitious and proverbs about scientific management Mc. Gregor seeks to answer the perennial question of 'whether successful managers are born or made'. In this context he writes "it seems clear to me that the making of managers, in so far as they are made, is only to a rather small degree the results of management's formula efforts in management's development. It is to a much greater degree the results of management's conception of the nature of its luck and of the conception we go off on the wrong track when we seek to study management development in terms of the formal machinery of programmes carrying this label".

To Mc. Gregor the key questions in the world of top management are what are your assumptions (implicit as well as explicit) about the most effective way to manage people? For the answer to these basic questions flows the series of meaningful answers.

He examined the relationship between the organisation and the human behaviour and has propounded two theories namely Theory 'X' and Theory 'Y'.

10.2 ACCEPTANCE AS THE BASIS OF LEGITIMACY OF AUTHORITY

Barnard defines authority as "the character of an order in a formal organization by virtue of which it is accepted, by a contributor to or member of the organization, as governing the action he contributes". Two vital points emerge from his definition

- (1) Barnard makes authority an inherent part of the organization system; and not something conferred from above.
- (2) It emphasizes the point of acceptance as being essential in an authority relationship. The decision to obey a command lies with the person to whom it is addressed.

Further, Barnard held that authority was exercised through Communication and communication will be accepted as authoritative if it fulfils four essential conditions, viz.,

- i) Intelligibility
- ii) Consistency with the purpose of the organization
- iii) Compatibility with the personal interests of those to whom the order is addressed; and
- iv) Feasibility.

Thus, the acceptance of authority depends on an understanding and a belief that the order is not inconsistent with the aims of the organization and with the general aims of the individuals and then physical and mental ability to comply with the command. In addition, the acceptance of authority is facilitated by the “zone of indifference” of individual contributors functioning in the organization. For each individual, there is a certain area within he accepts authority willingly. This area is determined by experienced executives who give only those orders which are easily obeyed. To give an order that cannot or will not be obeyed is a sure way for him to lose the “authority” he is supposed to possess.

On the other hand, people working in an organization will generally grant much greater authority outside the usual zone of indifference to those who have ability, knowledge and understanding. Besides, the authority of organizational superiors is validated by their subordinates only if it is clear that the superiors feel their responsibility towards the organization.

10.3 VARIED BASES OF RESPONSIBILITY

Since authority commensurate with responsibility, Barnard has rightly emphasized the morality concept of authority Responsibility has been defined by him as the power of a particular private code of morals to control the conduct of the individual in the presence of strong contrary desires or impulses. Responsibility is not determined by anyone single code, but by a complex set of many codes moral, legal, technical, professional, etc., so it is difficult for a man to be responsible with respect to all of them. Secondly, these codes are less effective because of external sanctions.

Barnard further says that since there exist several or many private codes governing the conduct of individuals, conflicts are likely to emerge as a result of this situation. These conflicts are acute and serious particularly between codes having substantially equal validity or power. The result of such conflicts may affect organization in three ways

- 1) There is a paralysis of action, accompanied by tension, frustration, blockade in decision and lack of confidence.
- 2) Since there is obedience to one code and violation to the other, this leads to a feeling of guilt, discomfort, dissatisfaction and loss of self-respect.

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- 3) The non-conformance of one code may lead to its destruction, unless the external forces are strong enough to keep it alive.

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Barnard concludes his analysis of executive responsibility by emphasizing the role of morality in an organization. Every individual possesses personal moral codes and when he is placed in an executive position, certain additional codes are placed on him which he has to comply with.

10.4 FORMAL AND INFORMAL ORGANIZATIONS

According to Barnard, an organization comes into being when there are persons able to communicate with each other, willing to cooperate with each other and, lastly, is consented to accomplish a common purpose. In brief, a formal organization is a system of consciously coordinated activities or forces of two or more persons. Thus, the existence of an organization; in Barnard's view, presupposes three elements:

1. Willingness to Cooperate

The individuals working in an organization should be willing to cooperate with each other. Such willingness is indispensable in a cooperative endeavour. An individual can best cooperate and his activities can best be coordinated if he first surrenders his personal act as a contribution to the impersonal systems of act. A second factor which is important is that willingness of the individual cannot be spontaneous or constant in degree. It requires incentives to cooperate in the form of inducements given to him by the organization.

2. Common Purpose or Objective

Willingness to cooperate is meaningless without a common purpose or objective. Hence Barnard laid emphasis on establishing a common purpose for the existence of organization. Since purpose provides direction for effort, it must be acceptable to the people involved. Only then cooperation among the members of the organization can be anticipated.

It is frequently assumed that a common purpose and individual motives are identical in an organizational setting, Barnard, on the other hand, observes that individual motives are internal and personal, whereas common purpose is external and impersonal. Organizations once established may change their unifying purpose in due course of time.

3. Communication

The third important prerequisite for the existence of an organization is communication. A common purpose must be commonly known, and this can be done only through the mechanism of communication. In the organization theory, communication occupies a central place, because the structure, extensiveness and scope of organizations are entirely determined by communication techniques.

Communication is easy and face to face in a small organization, but in a large organization, it becomes more complex and impersonal.

Apart from the formal organization, there exists an informal organization, which deals with relationship and communication that the formal structure is unable to handle effectively. Barnard specifically observes :

“The characteristic of these contacts or interactions is that they occur and continue

or are repeated without any specific conscious joint purpose. The contact may be accidental or incidental to organized activities, or arise from some personal desire or gregarious instinct; it may be friendly or hostile.”

Informal organizations have two important effects: (a) They establish certain attitudes, understanding, customs, habits, institutions; and (b) create the conditions under which formal organization may arise.

Thus, it is important to underscore the fact that the formal organization and the informal organization are interdependent aspects of the same phenomenon. One creates the other.

10.5 THE MECHANISM OF COMMUNICATION

A cooperative system is held together by the ability of contributors to communicate with each other. Hence, according to Barnard, the primary function of an executive is to establish a communication system through which authority could be easily exercised.

Barnard has referred to certain conditions or principles which have an impact on the degree of effectiveness of authority. He suggests that the following guidelines should be followed for making authority effective

1. The channel of communication must be definitely known by all, and the lines of authority must be definitely established.
2. These channels must be formally laid down. Everyone must report to someone, and everyone must be subordinate to someone.
3. The channel of communication must be as direct or short as possible. The shorter the line, the greater the speed and the less the error.
4. The complete line of communication should be used. It should go through all stages in the channel i.e., from source to destination.
5. Persons serving as managers in the communication channel must have adequate knowledge. They should have competence and general ability with reference to the work of the entire organization.
6. The channel of communication should not be disturbed when the organization is to function. This requires wide provisions for the filling up of temporary vacancies arising due to incapacity or absence of the incumbent.
7. The last notable factor in a communication system is that every communication should be authenticated, that is, it must come from points where the necessary authority is known to exist. The application of these principles is easy in a simple organization, but difficult in a complex organization.

10.6 BALANCING THE POSITIVE AND NEGATIVE MOTIVATIONS

Barnard’s major contribution to administrative behaviour is the theory of the growth and survival of organization based on the interactions of individual’s motivational mechanism. This has been further developed by Herbert A. Simon in what he called the “Barnard-Simon Equilibrium Model.” According to Barnard, each participant in an organization is

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both positively and negatively motivated to remain in the system. He called the positive motivations the “documents” provided by the organization in the form of wages and pleasant associates to the participants. Negative motivations, on the other hand, have been referred to as the contributions provided by the participants to the organization.

Barnard observed that generally a participant would only remain in the organization if his inducements outweighed his contribution on his personal utility scale. In his analysis of the contribution on satisfaction equilibrium model, Barnard observed that the principle of satisfactory exchange is to “give” as far as possible what is, valuable to you and more valuable to the receiver and to “receive” what is more valuable to you and less to the giver. Thus the persistence of cooperation depends on its effectiveness in accomplishing the cooperative purpose, and its efficiency in satisfying the individual’s motives.

10.7 FAVORABLE FACTORS IN DECISION-MAKING

It may be pertinent to mention that about seven years prior to Simon’s Administrative Behavior had appeared on the scene, Barnard had emphasized the significance of decision-making model as a means of understanding organizational dynamics. Barnard viewed organizations as system of decision-making as well as of communication. Decision-making in an organization is much more logical and rational than an individual making personal decisions.

When decisions are taken, two elements are present, viz., the end or the objectives and the means to accomplish these objectives. Decisions affect the means as well as the ends, therefore they should be as much rational and logical as possible.

Barnard observes that the decision-maker must distinguish between the relevant parts affecting the organization and between the irrelevant or hostile parts. For this, decision-making requires analysis of situations through which the strategic factors may be determined. There are certain elements in an organization which affect the decision-making process and which need to be controlled. These elements should either be modified or some new elements be supplied which are missing.

10.8 THE FUNCTIONS OF THE EXECUTIVE

Executive positions imply a complex morality and require a high capacity of responsibility. This responsibility is operationalized through a series of specified and unspecified functions of the executive which have been outlined by Chester Barnard as follows

1. Maintaining communication in organization by
 - a) Determining the scheme of organization
 - b) Fostering loyalty in subordinates; and
 - c) Maintaining the informal system;
2. Obtaining essential services from subordinates by
 - a) Correct selection of individuals
 - b) Provision of necessary inducements, maintaining their morale, providing

incentives, supervision and training; and

3. Formulating purposes and objectives at all levels

Executive responsibility is thus the capacity by which the managers are compelled to bind the wills of men for the accomplishment of the purpose of the organization.

10.9 THEORY 'X'

Theory 'X' implies an autocratic approach to managing. The conventional conception of management's task in harnessing human energy to organizational requirement can be stated broadly in terms of the following propositions. This set of propositions are called Theory 'X'.

- 1) Management is responsible for organizing the elements of productive enterprise - money, materials, equipment, people in interest of economic ends.
- 2) Without this active intervention by management, people would be passive to organizational needs they must therefore be persuaded, rewarded, punished and controlled.
- 3) With respect to people this is a process of directing their effort, motivating them, controlling their actions, modifying their behavior to fulfill the needs of the organization. Behind this conventional theory, there are several additional beliefs.
- 4) The average man is by nature lazy and indolent. He works as little as possible.
- 5) He lacks ambitions, dislikes responsibility and prefers to be led.
- 6) He is inherently self - centered, and indifferent to the organization's needs.
- 7) He is by nature resistant to change.

The human side of economic enterprise today is fashioned from these propositions and beliefs. Conventional organization structures, managerial policies, practice and programmes reflect these assumptions. Proponent of Theory 'X' took a pessimistic view of human nature. People are self - centered resistant to change, and gullible and to get any Work out of them the management speaks softly but carries a big stick.

10.10 THEORY 'Y'

Theory 'Y' implies a humanistic and Supportive approach to managing people. It is based on more adequate assumption, about human nature and human motivation.

Me. Gregor developed a theory of human behaviour called Theory 'Y' which was possible because of the accumulation of knowledge about human behaviour in many specialised fields. Some of the assumptions of Theory 'Y' are

- 1) "The expenditure of physical and mental effort in work is as natural as play or rest". The average human being by nature not does dislike work. On the other hand, if conditions are favourable, he seeks satisfaction through work. Depending upon the controllable conditions, work may be the source of satisfaction or

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punishment. He will do it if it gives best, best satisfaction voluntary - but will, if possible, avoid if it is a source of punishment.

- 2) External control and the threat of punishment are not the only means for bringing about efforts towards organisational objectives. Man will exercise self - direction and self - control in the service of objectives to which has committed. Man does not work only because of force. He can be self - directed and self - controlled and creative at work if properly motivated.
- 3) “Commitment to objectives is a function of the rewards associated with their achievement”. The most significant rewards are the satisfaction of ego and self actualization needs. They can direct the human beings towards the achievement of organisational objectives.
- 4) “The average human being learns, under proper conditions not only to accept but to seek responsibility”. Evasion of duties, desire for safety is not man’s natural qualities. They are acquired by experience.
- 5) The capacity to exercise a relatively high degree of imagination, ingenuity and creativity in the solution of organisational problems is widely distributed in the population.
- 6) “Under the conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilised”.

These assumptions indicate the possibility of human growth and development. If employees are lazy, indifferent, unwilling to take up responsibility and uncooperative, according to Theory ‘Y’ the case should be sought in the management’s method of organisation and control.

10.11 THE PRINCIPLE OF INTEGRATION

The central principle of Theory ‘Y’ is that of integration. The idea of integration and self - control is that the organisation will be more effective in achieving its objectives if they are integrated with those of its members. The principle of integration demands that the needs of both the organisation and the individual should be recognised to achieve the best results. Otherwise the organisation will suffer and individual will not put forth his best.

Criticisms

- 1) Theory ‘Y’ tries to reduce external control but not the power of the management to control.
- 2) This theory is nearer to the new theories of management concerning behaviour but is not wholly practicable.
- 3) They make it clear that man can be developed. They emphasise that control need not be uniform in all cases but should be flexible so as to suit the situation.

10.12 DIFFERENCES BETWEEN THE ASSUMPTIONS OF THEORY 'X' AND THEORY 'Y'

Socio – Psychological Approach

Theory 'X'	Theory 'Y'
(1) Work is inherently distasteful	(1) Work is as natural as play if , to most people. The conditions are favourable.
(2) Most people are not ambitious, have little desire for taking up responsibility and prefer to be directed	(2) Self - control is often indispensable to the achieving of organisational goals.
(3) Most people have little capacity for creativity in solving organisational problems	(3) The capacity for creativity in solving organisational problems is widely distributed In the population.
(4) Motivation occurs only at the physiological and safety levels	(4) Motivations occur at the. social esteem and self actualisation levels as well as physiological and security levels.
(5) Most people must be closely controlled and often coerced to achieve organisational objectives.	(5) People can be self - directed and creative at work, if properly motivated

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10.13 SUMMARY

It is significant to note that Barnard presented his ideas on administrative systems at a time when studies resulting from the Hawthorne experiments were being viewed as an antithesis to the Scientific Management of Frederick W. Taylor. In a way, The Functions of the Executive is a direct outcome of Barnard's failure to find an adequate explanation of his own executive experience in traditional organization theory or classical economic theory. The data and ideas used by Barnard have made the concept of economic man obsolete and advanced evidence that the scientific and rationalist models of organization required revision.

Since Barnard was oriented by his experience at the executive level and was more interested in the organization in relation to its environment, the first great contribution of his monumental work. The functions of the Executive, was the construction of a total theory of organization which provided an alternative to the Fayol Model. From the theory provided by him, it is not easy to distinguish between concepts which Barnard invented and those which he reshaped, developed, and extended in his ambition to construct a complete theory. Mc. Gregor's Theories 'X' and 'Y' do not represent any neat categories of human behaviour of human relationships. Rather, they are analytical tools of reference through which managerial behaviour can be analysed, studied, predicted, and still more corrected in terms of changing social values and organisational goals. Mc. Gregor's writings represent a mine of ideas from which the theories of management and practicing managers can dig a great deal to sharpen their tools and read just their strategies or management for tomorrow.

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10.14 KEYWORDS

1. **The Principle of Integration:** The central principle of Theory 'Y' is that of integration. The idea of integration and self - control is that the organisation will be more effective in achieving its objectives if they are integrated with those of its members. The principle of integration demands that the needs of both the organisation and the individual should be recognised to achieve the best results. Otherwise the organisation will suffer and individual will not put forth his best.
2. **Theory 'X':** Theory 'X' implies an autocratic approach to managing. The conventional conception of management's task in harnessing human energy to organisational requirement can be stated broadly in terms of the following propositions. This set of propositions are called Theory 'X'
3. **Theory 'Y':** Theory 'Y' implies a humanistic and Supportive approach to managing people. It is based on more adequate assumption, about human nature and human motivation.
4. **Legitimacy of Authority:** Barnard defines authority as "the character of an- order in a formal' organization by virtue of which it is accepted, by a contributor to or member of the organization, as governing the action he contributes". Two vital points emerge from his definition:
 - (1)Barnard makes authority an inherent part of the organnization system; and not something conferred from above.
 - (2)It emphasizes the point of acceptance as being essential in an authority relationship. The decision to obey a command lies with the person to whom it is addressed.
5. **Communication:** The important prerequisite for the existence of an organization is communication. A common purpose must be commonly known, and this can be done only through the mechanism of communication. In the organization theory, communication occupies a central place, because the structure, extensiveness and scope of organizations are entirely determined by communication techniques.

10.15 ANSWERS TO 'CHECK YOUR PROGRESS'

1. What is theory 'X' and theory 'Y'?

Theory 'X'

Theory 'X' implies an autocratic approach to managing. The conventional conception of management's task in harnessing human energy to organisational requirement can be stated broadly in terms of the following propositions.

Theory 'Y'

Theory 'Y' implies a humanistic and Supportive approach to managing people. It is based on more adequate assumption, about human nature and human motivation.

2. What is meant by communication?

Communication is easy and face to face in a small organization, but in a large organization, it becomes more complex and impersonal. Apart from the formal organization, there

exists an informal organization, which deals with relationship and communication that the formal structure is unable to handle effectively. Barnard specifically observes

Socio – Psychological Approach

3. What are the Functions of the Executive?

Executive positions imply a complex morality and require a high capacity of responsibility. This responsibility is operationalized through a series of specified and unspecified functions of the executive which have been outlined by Chester Barnard as follows:

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1. Maintaining Communication in Organization by

- a) Determining the scheme of organization
- b) Fostering loyalty in subordinates; and
- c) Maintaining the informal system;

2. Obtaining essential services from subordinates by

- a) Correct selection of individuals
- b) Provision of necessary inducements, maintaining their morale, providing incentives, supervision and training.

10.16 QUESTIONS FOR DISCUSSION

1. Mc Gregor's contribution to 'X' theory and 'Y' theory. Discuss in detail?
2. What are the difference between 'X' theory and 'Y' theory?
3. Bernard's views on authority and informal organizations. Discuss?
4. What are the executive functions of an organization?
5. What are the Basis of Legitimacy of Authority?

10.17 SUGGESTED READINGS

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Lesson 11

ECOLOGICAL APPROACH

Structure

- 11.0 Aims and Objectives
- 11.1 Introduction
- 11.2 Meaning
- 11.3 Definition
- 11.4 Comparative Public Administrative Movement - Sources
- 11.5 Comparative Administration Movement - Certain Organizational Aspects
- 11.6 Advantages of Comparative Public Administration
- 11.7 Conceptual Approaches in the Field of Comparative Public Administration
- 11.8 Comparative Approach - Criticism
- 11.9 The Contribution of F. W. Riggs to Administrative Thought
 - 11.9.1 Riggs Approach
 - 11.9.2 Ideal Models
 - 11.9.3 Fused - Prismatic Diffracted Models
- 11.10 Transformation of Society Transition of a Ray through Prism
- 11.11 Prismatic Model of Societies Characteristics
- 11.12 Prismatic Society's Administrative Subsystem
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- 11.15 Keywords
- 11.16 Answers to 'Check Your Progress'
- 11.17 Questions for Discussion
- 11.18 Suggested Readings

11.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Know the F.W. Riggs Diffracted Models
- Understand the Riggs Prismatic Model Society and its characteristics
- Explain the Prismatic society's administrative subsystem.

11.1 INTRODUCTION

Comparative Public Administration (CPA) is the result of an intellectual urge to find out a universal basis for administrative phenomenon. The concept of Comparative

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Administration has grown along with Ecological Approach. It is true that a systematic explanation cannot be thought of without the rigorous use of a comparative approach. Edward Shils observes that “an enquiry may be considered comparative if it provides by the use of an analytical scheme through which different societies may be systematically compared so that, by the use of single set of categories, their identities and uniqueness may be disclosed and explained”. Comparative Approach to Public Administration however is not a new approach. Woodrow Wilson in his article, “The Study of Administration” emphasized the need of comparative Approach to the study of Public Administration.

Comparative administration has concentrated its study central administrative machinery. Decentralization patterns, civil services structures, public finance, financial administration, control over the executive branch of government and the functions of administrative officers. This is known as traditional literature on comparative administration.

Traditional Comparative Administration

Criticisms: This traditional literature is criticized as culture bound, normative, parochial, legalistic, and prescriptive and for lacking in techniques and concepts to undertake the comparative studies in non-western areas.

11.2 MEANING

In simplest sense, Comparative Public Administration means the study of administrative systems on comparative basis. In other words, Comparative Public Administration means the comparative study of administrative systems. At the conceptual level Comparative Public Administration can be defined as the cross-national or cross-cultural study of administrative systems. According to another definition Comparative Public Administration is a comparative study of administrative systems in their cultural setting. All these definitions are not comprehensive enough to provide a correct and exact meaning to Comparative Public Administration. Hence the Comparative Administration Group (CAG) coined a comprehensive definition to Comparative Public Administration.

According to this definition Comparative Public Administration refers to an administrative theory which is based on factual information amenable to verification and extension and applicable to different cultures and nations. However this definition is not also not comprehensive as it does not completely reflect the essence of this term. On the other hand, Jackson proposed a definition of Comparative Public Administration which can be considered as a comprehensive one. According Jackson, Comparative Public Administration is a dimension of Public Administration which analyses the structures involved in management of public affairs belonging to various cultures on the basis of rigorous methods.

11.3 DEFINITION

The Comparative Administration Group has defined the Comparative Public Administration as the theory of Public Administration as applied to diverse cultures and national settings

and the body at factual data, by which it can be expanded and tested. Riggs has stated that the term comparative should be restricted strictly speaking to empirical, nomothetic, and ecological studies.

Here nomothetic means any approach primarily concerned with the formulation of laws and general propositions. Comparative Public Administration is concerned with the following

- i) To learn the distinctive features of a particular system or a cluster of systems.
- ii) To explain the factor responsible for cross-national and cross-cultural differences in bureaucratic behavior.
- iii) To examine the causes for the success or failures of particular administrative features in a particular ecological setting; and
- iv) To understand strategies of administrative reforms.

11.4 COMPARATIVE PUBLIC ADMINISTRATIVE MOVEMENT - SOURCES

This movement draws its inspiration from the following sources.

1. **Policy Oriented Catalyst:** The modern state is a welfare state. It has a developmental orientation. In the modern complex society modern state is facing problems in policy formation which requires data and rich experience. Hence, comparative approach has become necessary in order to see that policies are effective. This can be done by comparison.
2. **Intellectual Oriented Catalyst:** The curiosities to seek generalities are much more today, when human experience is unique, complex and wide ranging. The modern context itself poses a challenge to human curiosities. The range of experience leads to the doubtful propositions of universal laws and a fresh enquiry. The attempt to seek these basic laws gave the necessary fillip to the comparative public administration.
3. **Behavioural Movement:** Behavioral approach in administrative studies is well developed by Bernard and Simon. Its literature is descriptive, empirical and inter disciplinary. It is concerned with quantification, mathematisation and formal theory construction. The dynamics that govern human behavior have become the focus of the study of administration. Human behavior is in its own way unique. All these things demand comparative approach.

In Comparative Public Administration, such scholars as Morroe Berger, Robert Presthus and Michael Crozier have conducted empirical studies on bureaucratic behavior in differing cross cultural settings. However the number of these studies has been quite small, primarily because of the time and resources they involve.

4. **Comparative Politics Movement:** Comparative administration movement has drawn its inspiration from the comparative politics movement. Both share common stimuli and motivational factors.

11.5 COMPARATIVE ADMINISTRATION MOVEMENT - CERTAIN ORGANIZATIONAL ASPECTS

In 1952 a conference on comparative administration at Princeton was held. This

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conference appointed a sub-committee on Comparative Public Administration under the committee on Public Administration, to develop “Criteria of relevance” and “a design for field studies in foreign countries”. The sub - committee submitted its report in 1953 which was prepared by Wallace Sayre and Herbert Kaufman. Sayre Kaufman suggested a three point strategy for comparison, focusing on (i) The organization of the administrative system (ii) The control of the administrative system (iii) The securing of consent and compliance by the administrative hierarchy. This three point’s strategy could not be executed for lack of funds.

In 1963, Comparative Administrative group was set-up and Fred Riggs was its chairman till 1970. This group was supported by Ford foundation grant. This group serves as a communication link between the scholars and practitioners concerned with Comparative Administration. This group is international in the scope of its activities. ‘CAG’ is organized into 11 committees on Asia, Europe, Latin America, and Africa. National planning, comparative urban administration and politics theories of organisation etc. Some of these scholars associated with ‘CAG’ are Cleaveland and Ferrel Heady, Fred Riggs, Dwight Waldo etc. This speaks of the richness of the ‘CAG’ in its scholaristic structure.

There are three conceptual approaches to the study of Comparative Public Administration. They are: bureaucratic systems approach, general systems approach and developmental approach. These three approaches are mutually interdependent and no exclusive categories. The bureaucratic systems approach is increasingly used to study the developmental relation of bureaucracies in cross cultural settings. The general systems approach is focusing its attention on functioning of administrative system in their socio-economic context. The developmental approach focuses on the dynamic interaction between the administrative system and its environment. A synthesis of these approaches provides a broader framework for the understanding of Comparative Public Administration. Dwight Waldo considers Comparative Administrative movement self sustaining.

After World War-II the study of administrative system of newly emerged countries also known as developing countries become a common trend in the study of Public Administration. The scholars of Public Administration in America evinced substantial interest in the study of administrative systems of the developing countries. These scholars found that the suitable framework for the analysis of the administrative systems of developing countries would be comparative method. The search for the construction of a science of Public Administration by also deepened the interest of the Public Administration on the comparative study of administrative systems. Robert Dahl emphasized that as long as the study of Public Administration is not comparative, the claim for a science of Public Administration seems rather hollow.

The interest in Comparative Public Administration also grew out of several policy and, intellectual factors. All these developments have led to the evolution of the study of Comparative Public Administration as a framework for the study of administrative systems of developing nations. The Comparative Administrative Groups (CAG) had done some pioneering work in the evolution and development of Comparative Public Administration. Gradually, Comparative Public Administration had grown into a movement and became

popular among the scholars of Public Administration inside and outside America. The ultimate objective of Comparative Public Administration has been to “hasten the emergence of a universally valid body of knowledge concerning administrative behavior and to contribute to a genuine and generic discipline of Public Administration” (Cadwell).

11.6 ADVANTAGES OF COMPARATIVE PUBLIC ADMINISTRATION

Comparative Public Administrative has emerged in America in 1962 to enable the scholars of Public Administration to study the administrative systems of developing countries. In course of time, Comparative Public Administration had attained the status of a sub-field and ended the earlier parochialism of the discipline by extending its horizons. Comparative Public Administration started off with three goals: (i) to find a framework for analysis that permit comparisons on global basis among the nations; (ii) to promote special interest in the administrative problems of the newly independent countries; (iii) to create confidence in the transfer of technologies from the more advanced nations to less advanced nations.

The importance of the study of Comparative Public Administration is widely accepted during the 1960 decade. There are two factors that contributed for the importance of Comparative Public Administration. First, the generalizations, on the administrative systems of developing countries emerged out of comparative study of these administrative systems helped formulating a number of theoretical constructs and conceptual frameworks which provide the basis for the study of administrative phenomena in developing countries. Second, the study of Comparative Public Administration also contributed to the greater understanding of the individual administrative systems various nations and cultures.

The second important function of Comparative Public Administration relates to its empirical nature. The study of Comparative Public Administration helps the policy makers, administrators, and academics to understand the causes for the success as well as failures of administrative systems in different nations. It also helps the understanding of the influence of environmental factors on the working of administrative systems of various cultures and nations. Finally, the Comparative Public Administration helps to understand the administrative practices and procedures followed by various nations.

The another importance of Comparative Public Administration lies in its systematic and scientific study of administrative systems. In a way Comparative Public Administration promoted interdisciplinary approach in the study of Public Administration. The interdisciplinary approach invariably enhanced the claim of Public Administration as a science. Yet, another important contribution of Comparative Public Administration to the study of Public Administration is that the Comparative Public Administration widened the horizons of Public Administration. It is pointed out that the Comparative Public Administration has opened the doors of Public Administration to all kinds of social scientists and made the scope of the Public Administration more systematic by studying different administrative systems in their ecological setting. It has also stimulated interest in the scholars of Public Administration of various countries to study the administrative systems of various developing countries. As Caldwell observed the main aim of Comparative

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Public Administration is to speed up the emergence of an universally valid knowledge about the administrative systems, particularly, the administrative behavior in order to develop a genuine discipline of Public Administration.

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From the above analysis, it can be seen that Comparative Public Administration has immense value and importance. It made an everlasting contribution to the development of the discipline of Public Administration. Particularly, it widened the scope of Public Administration and enhanced its scientific nature. Further, Comparative Public Administration enabled its parent discipline Public Administration to come over its earlier parochialism and culture bound nature. In this way, it helped Public Administration to become a universally valid theory.

Thus, it can be said that with the emergence of Comparative Public Administration the discipline of Public Administration entered a new phase.

11.7 CONCEPTUAL APPROACHES IN THE FIELD OF COMPARATIVE PUBLIC ADMINISTRATION

Conceptual approaches: There are 3 conceptual approaches. They are

- i) The bureaucratic systems approach.
- ii) The general systems approach and
- iii) The developmental approach.

i) The Bureaucratic Systems Approach

Max Weber's ideal type bureaucracy is based on a legal - rational authority system. This has been the single most dominant conceptual framework in the study of Comparative Administration. It can provide a frame of reference for comparative analysis. The comparative approach with regard to the bureaucracies has been of two kinds (a) the examination of internal processes of bureaucratic organization such as decision making, planning, programming etc., and (b). the relationship between the organization and external environment. This focuses its attention on the socio-economic and political changes and their impact on public organization.

ii) The General Systems Approach

Systems approach includes three important components viz, (a) the parts of a system, b) interactions among such parts, and (c) interactions between the system and its environment. In the systems approach it is assumed that the inputs enter from the environment into the system and through puts process the inputs within the system and converts them into outputs which go out from the system into the environment. The input - output approaches has come to be widely used in the political science. Fred W. Riggs was the first to attempt to use the model in Comparative Public Administration. He developed agraria industrial model. The model consists of a comparative element in the sense that on the continuum from the fused to the diffracted each society can be placed on one point or the other. That is how a model facilitates Comparative Analysis.

iii) Developmental Approach

While the developmental approach emphasises the problems of developing countries, it is felt it cannot be confined only to developing countries. It is argued that even those

countries which are industrially advanced face the challenge of social changes. Therefore, it is concluded that development has universal implications and relevance. That is how developmental approach has come to be treated as an important component of Comparative Public Administration.

11.8 COMPARATIVE APPROACH - CRITICISM

Comparative approach has following drawbacks

- 1) This approach attempts to generalize either human experience or administrative experience, which is bound to miss a number of unique features of social organizations.
- 2) This approach ignores organizational experience in a historical context. It means its emphasis is a comparison of organizations of one society with the other.
- 3) The references used for the purposes of comparison such as Weberian ideal bureaucracy or input-output approach or Raggian prismaticism or the developmental process are too vague to be used for any concrete comparative assessment. Most of these terms are ambiguous and are highly value loaded. How can such vague models serve the purpose of comparison remains to be explained and answered. Hence the approach is 'ambiguous'.
- 4) This approach used qualitative verbal symbols and failed to develop quantitative tools.
- 5) This approach failed to take notice of the global conflict. The "conflict ridden world" is pictured as "cooperation oriented world" and too willing to learn from each others experience. It is this lopsided approach that reduces the vitality of the approach and its scientific validity.
- 6) The implicit assumption that Western development experience as a model stands challenged. The application of these models to the Third World countries is harmful.

Conclusion

A comparative approach is regarded as the beginning of using new methods and outlook at the organization theory. As result of the response to the growing complexity of the Third World, this approach has gained importance.

11.9 THE CONTRIBUTION OF F. W. RIGGS TO ADMINISTRATIVE THOUGHT

Fred W. Riggs was born in Kuling, China in 1919. He received his doctorate in Political Science from Columbia University in 1948. The traditional administrative theories and models which were originated mainly in USA were found to be more suitable to maintain the existing systems in the Third World countries. They were found not suited to change the systems which are the main task of developing nations. In this context, new concepts arose and led to Comparative Public Administration which emphasized on cross cultural and cross national studies. In this context of the study of Public Administration, Riggs identified three trends: (a) normative to empirical; (b) ideographic to nomothetic (c) non-ecological to ecological.

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11.9.1 Riggs Approach

Riggs borrowed concepts from sociology, physics and biology. He borrowed many words from other subjects. Riggs used three important analytical tools to explain his administrative theories, viz.

- 1) Ecological Approach,
- 2) Structural functional Approach,
- 3) Ideal models.

Using the Ecological Approach, he analysed the relationship between administrative, economic, social, technological, politic and communication functions in larger perspective. Riggs used 'Structural functional Approach' to analyse the administrative systems from ecological point. The structural functional method is a method of analysing the functions that are carried out on a society, the structures that are responsible to discharge the functions and the methods that are adopted in undertaking the functions. The models are the tools used by Riggs to analyse the administrative systems of developing countries.

11.9.2 Ideal Models

Riggs first used models in 1956, by classifying the societies into Agraria and Industria i.e., agricultural and industrial societies. Later in 1957, he developed an equilibrium model named 'transitia' which represent the transforming societies which have the features of both the Agraria and Industria.

The above models namely Agraria, Industria and Transitia are found inadequate in proving the mechanisms to analyse mixed societies. These models gave little emphasis on the analysing of the administrative system pattern. Its major stress is on the environment of the administrative system.

11.9.3 Fused - Prismatic Diffracted Models

Keeping the above limitations of Agraria - industria - Tiansitia models in mind, Riggs developed the Fused, Prismatic and Diffracted models. These ideal models aim at analysing the prismatic, developing and developed societies.

11.10 TRANSFORMATION OF SOCIETY TRANSITION OF A RAY THROUGH PRISM

The starting point of the ray is termed as fused; the process of the ray when it entered into the prism and internal vibration of the ray within the prism is called prismatic; and finally the ray comes out . of the prism, it gets diffracted to project a rainbow and the process is called "diffraction".

On the same analogy, various social systems in the early stages of the process of development would be fused; in the transitional stage prismatic; and to the end they would be in a complete diffracted style.

From the point of structural and functional view, in a fused society, a single structure performs various functions. In a diffracted society various separate structures performs specified functions. These two are polar types. In between these two, there exist societies which have both fused and diffracted characteristics. They are known as prismatic societies.

11.11 PRISMATIC MODEL OF SOCIETIES CHARACTERISTICS

According to F.W. Riggs, prismatic society is one which has achieved a certain level of differentiation and specialization of roles that is necessary for dealing with modern technology but has failed to integrate these roles. Prismatic Society is a mid - point between Fused and Diffracted Societies. Riggs termed prismatic society as an unbalanced polity in which bureaucrats dominate the political administrative system.

According to F.W. Riggs, prismatic society has three important characteristics viz.

- 1) Heterogeneity,
- 2) Formalism,
- 3) Overlapping.

1. Heterogeneity

It means the existence of the simultaneous presence of side by side, quite different kinds of systems, practices and view points. Hence social change in a prismatic society would be inconsistent, incomplete and irresponsive.

The picture of rural and urban areas in these societies is an indicator of heterogeneity. Heterogeneity exists in all walks of the life presenting a paradoxical picture. For instance in the field of education society pays a high premium on the western type education but equally acceptable to traditional Gurukulas. Heterogeneity creates problems to Administration. The ruling class tends to look after the interests of 'haves' rather than 'have-nots'. Riggs feels such a situation like this results revolutionary atmosphere in society.

2. Formalism

According to Riggs, Formalism refers to which a discrepancy exists between the prescriptive and descriptive, between formal and effective power, between the impression given by the constitution laws, regulations, Organisations charts and statistics and actual practices, and facts of government and society. In simple words, there is a large gap between stated objectives and 'real performance'. In India, for instance, prohibition laws are respected more in violation than in observance. The town planning regulations are more violated than observed. In the same way there is a gap between constitutional laws and the actual implementation.

3. Overlapping

According to Riggs it reflects "the extent to which formally differentiated structures of a diffused society coexist with undifferentiated Structures of a fused type". In a prismatic society the Parliament, the Government offices, markets, schools, etc., perform various administrative, political and economic functions. Consequently, overlapping leads to nepotism, poly-communalism, the existence of elects and poly-normativism, lack of consensus and separation of authority from control.

11.12 PRISMATIC SOCIETY'S ADMINISTRATIVE SUBSYSTEM

Sala Model

Administrative systems in Fused, Prismatic and Diffracted societies are known as 'chamber', 'sala-model' and 'Bureau or office' respectively.

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11.13 RIGGS PHILOSOPHY

Critical Appraisal

The concepts of Comparative and Development Administration cannot be imagined without reference to the views of Riggs. Following are the criticisms leveled against Riggs, philosophy.

1. **Terminology:** Riggs has borrowed several new words from sciences and gave them different meanings. In the words of Richard A. Chapman, “words used with different meanings may create confusion instead of clarifying the concepts”.
Sometimes they may even mislead the readers. According to Simon one has to read the writings of Riggs several times to understand his views. First time to understand the language, second time to understand his concepts and third time to know whether there is anything really to learn.
2. **Usefulness of Models:** Riggs models are not helpful to know the process of social change in development. Lee thus concludes that the Riggs’ models are not useful when the objective of administration is to change the system rather than the maintenance of the system.
3. **Problem of Measurement:** All societies are to be prismatic according to Riggs at various levels of low, middle and high. In the absence of scales to measure the degree or level the words low, middle or high have no relevance.
4. Dr. Daya Krishna attacks Riggs models for their failure in analysing the developmental processes.
5. It is difficult to identify the level of differentiation and integration that are the ingredients of development.
6. Lack of international perspective in his approach to development is another limitation to Riggs concepts.
7. Riggs prismatic society is negative in character. It all looks as though the conditions of developing nations are analysed through the western values and concepts.
8. Riggs models described the developing societies. They failed to explain the place of administration in those societies in changing them.
9. Ramesh K. Arora feels that overlapping exists even in diffracted societies for which the reasons may be different
10. As against the belief of Riggs formalism may play a very vital role in carrying out the works in time, when there is positive leadership.

11.14 SUMMARY

In spite of the fact that his ideal models may not be found in practice, they help us to understand the realities. Richard A. Chapman describes ‘Riggs’ approach and models as more sophisticated tools for describing and diagnosing the administrative situations. It is significant to note that Valson has presented a new concept of “positive formalism” in order to counterbalance the Riggian concept of “negative formalism”.

11.15 KEY WORDS

1. Comparative Public Administration

In simplest sense, Comparative Public Administration means the study of administrative systems on comparative basis. In other words, Comparative Public Administration means the comparative study of administrative systems. At the conceptual level Comparative Public Administration can be defined as the cross-national or cross-cultural study of administrative systems. According to another definition Comparative Public Administration is a comparative study of administrative systems in their cultural setting. All these definitions are not comprehensive enough to provide a correct and exact meaning to Comparative Public Administration.

2. Prismatic Model of Societies: Characteristics

According to F.W. Riggs, prismatic society is one which has achieved a certain level of differentiation and specialization of roles that is necessary for dealing with modern technology but has failed to integrate these roles. Prismatic Society is a mid - point between Fused and Diffracted Societies. Riggs termed prismatic society as an unbalanced polity in which bureaucrats dominate the political administrative system.

3. Fused - Prismatic Diffracted Models

Keeping the above limitations of Agraria - industria - Tiansitia models in mind, Riggs developed the Fused, Prismatic and Diffracted models. These ideal models aim at analysing the prismatic, developing and developed societies.

11.16 ANSWERS TO 'CHECK YOUR PROGRESS'

1. Discuss the Characteristics of Prismatic model society?

According to F.W. Riggs, prismatic society has three important characteristics viz.

- 1) Heterogeneity,
- 2) Formalism,
- 3) Overlapping.

1. Heterogeneity

It means the existence of the simultaneous presence of side by side, quite different kinds of systems, practices and view points. Hence social change in a prismatic society would be inconsistent, incomplete and irresponsive.

2. Formalism

According to Riggs, Formalism refers to which a discrepancy exists between the prescriptive and descriptive, between formal and .effective power, between the impression given by the constitution laws, regulations, Organisations charts and statistics and actual practices, and facts of government and society.

3. Overlapping

According to Riggs it reflects "the extent to which formally differentiated structures of a diffused society coexist with undifferentiated Structures of a fused type".

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2. What are the contribution of F. W. Riggs to Administrative Thought?

Fred W. Riggs was born in Kuling, China in 1919. He received his doctorate in Political Science from Columbia University in 1948. The traditional administrative theories and models which were originated mainly in USA were found to be more suitable to maintain the existing systems in the Third World countries. They were found not suited to change the systems which are the main task of developing nations. In this context, new concepts arose and led to Comparative Public Administration which emphasised on cross - cultural and cross - national studies. In this context of the study of Public Administration, Riggs identified three trends: (a) normative to empirical ; (b) ideographic to nomothetic (c) non- ecological to ecological.

11.17 QUESTIONS FOR DISCUSSION

1. F.W Riggs contribution to comparative public administration. Discuss in detail?
2. Explain the Characteristics of Prismatic model society?

11.18 SUGGESTED READINGS

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Lesson 12

ADMINISTRATIVE PLANNING

Structure

- 12.0 Aims and Objectives
- 12.1 Introduction
- 12.2 Meaning and Definitions of Planning
- 12.3 Planning
- 12.4 Importance of Planning
- 12.5 Principles of planning
- 12.6 Characteristics of Planning
- 12.7 Steps in planning
- 12.8 Kinds of Planning
- 12.9 Planning Progress
- 12.10 Planning Commission
- 12.11 Department (Earlier Bureau) Of Public Enterprises
- 12.12 Administrative Implication of Planning in India
 - 12.12.1 Administrative Organization and Management
- 12.13 Summary
- 12.14 Keywords
- 12.15 Answers to 'Check Your Progress'
- 12.16 Review Questions
- 12.17 Suggested Readings

12.0 AIMS AND OBJECTIVES

By studying this unit you will be able to understand

- Explain the importance of the planning.
- Understanding the characteristics of planning.
- Discuss principles of planning.
- Describe steps of planning.

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12.1 INTRODUCTION

Planning is the process of devising a basis for a course of future action. It is the use of rational design as contrasted with chance of the reaching of a decision a line of action is taken instead of improving after the action has started. Planning is a succession of steps through which the planner must go.

Planning is the most important function of an organization. The success of the organization depends on effective planning. Planning has been practiced by human beings since times immemorial. We can not conceive of human civilization with out some element of planning.

The growth of human knowledge and extending controls over the environment realized the increasing importance of planning in a society it is said by one writer that an expanding human knowledge gives us greater possibilities for extending purposeful human effect to influence both our physical and social environment, planning as process becomes more and more the utilization of knowledge in an intelligent effort to promote the great basic purpose of society thus in the age of rapid scientific and technological changes sound planning in business becomes imperative.

Planning is deciding in Advance what is to be done, when, where, how and by whom it is to be done. Thus a plan is determined course of action. Koontz and O'Donnell emphasize that with out planning business becomes random in nature and decisions become meaning less choices planning would provide purpose, guidance and determination for action to anticipate desired results.

12.2 MEANING AND DEFINITIONS OF PLANNING

a) Meaning

Planning is the French word Prevoyance means looking ahead. It is an organized attempt to anticipate and to make rational arrangements for dealing with future problems by projecting trends.

b) Definitions

Planning seeks to avoid discontinuities that result in blind action, "muddling through", or making decisions on a day to-day crash basis.

Planning is the process of determining the objectives of the administrative effort and of devising means calculated to achieve them. In other words, planning is the preparation for action. It is an endeavor to apply foresight to human activity and is based on knowledge and research.

1. Richard T class says that, A plan is a statement by a person what he intends to do a certain thing by a certain means Planning is the process by which he develops that statement.
2. According to Alford and Beatty, "Planning is the thinking process, the organized foresight, the vision based on fact and experience that is required for intelligent action." Planning is an intellectual process, conscious determination of courses of action the basing decisions on purpose, Facts and considered estimates Koontz O'Donnell.

3. According to Fayol, “The plan of action is, at one and the same time the result envisages the line of action to be followed, the stages to go through and methods to use. It is a kind of future picture wherein proximate events are outlined with some distinctness, whilst remote events appear progressively less distinct”.

Planning includes forecasting, formulation of objectives policies programmes, procedure and budgets.

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12.3 PLANNING

Dimock defines planning as “the use of rational design as contrasted with chance, the reaching of a decision before a line of action is taken instead of improving after the action has started.” Seckler-Hudson succinctly defines it as “the process of devising a basis for a course of future action.” In the words of Millert, “Planning is the process of determining the objectives of administrative effort and of devising the means calculated to achieve them.” In short, planning is the conscious process of selecting and developing the best course of action to accomplish a defined objective. It is a comprehensive term and involves a succession of steps:

1) Determination of the Objective

This may involve collection of available data and an enquiry into all aspects of the problem. Various alternatives are examined and then a final decision is taken. It is a policy decision and is, therefore, political in nature.

2) Consideration of possible Courses of Action to Achieve the Objective

Once the objective has been determined, the next problem is the finding out of the best means to achieve it. This implies the posing of possible alternative methods and examining each one of these. It may be necessary to test each of these alternatives through actual operations.

3) Selection of the best course of Action

This implies evaluation of the results of investigations and tests of the various alternatives and finally choosing the best of them.

Planning is a rational, dynamic, and integrative process. In the first place, planning is not and cannot be haphazard and improvised. It is never the result of chance or unconscious effort, nor can it be acquired in a ‘fit of abserit-mindedness’. Planning is a rational, conscious and deliberate effort. “Planning is rational because it demands a systematic analysis of several possible means and ends, followed by a selection of those means thought best suited to the designated end.” Secondly, planning is not a static process it is dynamic and needs continuous adaptation in the light of experience. Constant evaluation, review, follow-up and redecision, if necessary, are *sine qua non* of good planning. Flexibility in a plan is, consequently, not undesirable. There should be no absolute rigidity about a plan. Thirdly, planning is a comprehensive and integrative process. It is not confined to any one branch of knowledge like politics, economics, sociology and engineering; it comprehends many disciplines. Planning is, above all, an exercise in coordination, integration and synthesization of varied programmes and resources. Finally, a question is often asked if planning is a Line or Staff function. While some amount of planning is inevitable at all levels of administration, and while plan-

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consciousness at operating levels is essential for the due implementation of plans, planning, as a process of formulation and evaluation, is primarily a Staff function.

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12.4 IMPORTANCE OF PLANNING

The importance of planning may appear to be an academic question. However it would be a gross simplification to suggest that most managers know the importance of rational and scientific planning. How many believe and realize the importance of planning is evident from the fact that even today, when we have a plethora of management literature on planning control, etc. We have countless instances of enterprises business. This is not always because of faulty Planning but due to lack of proper planning. Such enterprises fail to cope with the pressures because of the manager's belief in management by crisis. Instead of anticipating future problems and thinking in advance of the Ways end means to tackle them they believe in making decisions in a hand to-mouth fashion in a frantic did to-tide over the crisis.

Besides the fact that planning helps bring orderliness and increases organizational efficiency, there are various reasons to suggest why planning is so important to an organization. Some of these reasons are given below.

6.2.1 Minimise Uncertainty

The future is seldom certain. This makes planning imperative for all managers. With a business environment so dynamic and full of possible changes, on manager can afford to relax once the enterprises a objectives are set. Obviously he must constantly watch the developments and plan its activities well in advance.

Even when the future is certain changes are discernible the manager involves planning by way of evaluating and selecting the most promising courses of action.

6.2.2 Planning Brings Greater Economy in Operations

By focusing on the objectives and selecting a course of, action that would help attainment of objectives at the least cost, planning brings greater economy in operation. Be it the production department or the service department or for that matter, any department of the organization by ensuring correct action, planning helps the effective utilisation of capital, material and manpower resources.

6.2.3 Planning Makes Effective Control Possible

Planning and control are like the Siamese twins. One cannot survive without the other. A manager cannot monitor and control what is not planned. Thus, planning helps the manager to evaluate performance of the subordinates by providing him the yardstick by which he can measure it and take timely and correct action.

6.2.4 Planning Helps in Management By Objectives

Way back in 1954, Peter F. Drucker said "Today, one can hardly deny the benefits that organisation accrues by setting clear-cut objectives. And it is through the planning function that the administrator focuses his attention on the formulation of objectives".

12.5 PRINCIPLES OF PLANNING

The processed information must be harmonized to accord with the policies laid down, so that action through the organisation structure will permit the optimum utilization of resources. The information will always be in exactly the form required. In many cases, it will be a factual record of what has happened in the past. For validity in the future it will have to be amended to reflect future condition and so becomes an appropriate factual base for plans of future action. The information used for calculation must include every factor relevant to the problem.

No scheme should attempt to embrace the unplanable. There are certain aspects of factory activity that defy accurate prediction, except in terms of the broadest generalizations, and it is a mistake to attempt to bring such activities within the orbit of planning.

Plans should not be so rigid as to lead to strict conformity. Variation is to be expected in most of the resources applied in any plan. There should also be sufficient flexibility in a plan to allow for deviations found being necessary by the manager acting upon it. Such flexibility of planning calls for ability to force clearly the results that will follow any deviation once decided upon. Despite enough flexibility to allow for deviations, the plan should not lose its definitive character, flexibility is not synonymous with generalization.

Balance is an important attribute of any plan. There should be proper balance in its specification of the use of resources so that each is given appropriate weighting and existing resources are used adequately. It is very important for an even balance to be held between all the conflicting possibilities and the basis for this balance is factual information.

12.6 CHARACTERISTICS OF PLANNING

Plans of different types of business though different in details exhibit the following common characteristics.

1. Planning is all-Pervasive

Planning is Universal. It is not the function of one department only. It is also not restricted to top management. It is performed by all departments, and throughout the organisation, at all levels. It is also common in big business and small business. It is common in private organisation and government organisation. Planning is therefore a very wide spread function. It is the soul of management.

2. Planning is the First Function of Organization

Planning is the essence of management. Being an intellectual process, it calls for decision-making. Management is equated with decision making, and Planning is a precursor to decision-making. So planning puts management in action.

3. Planning is a Conscious Process

Planning determines the course of action consciously; basing its decision upon purpose

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facts and considered estimates. Planning is not instinctive, it is a conscious intellectual process.

4. Planning is a Continuous and Permanent Process

We make plans when we start functioning. We make plans when we recognize goal. The plans made are modified in the light of constant feedback about their process. So management does not rest after making plans once, but continues to plan, to correct the old plan and to modify the plan on a continuous and permanent basis. Management information systems (MIS) help the planning process.

5. Planning is dynamic

Planned activity does not always follow a planned pattern due to many factors in the environment which affect the plan and which are not in our control. We modify our plans constantly to adapt to the change in the environment.

6. Planning is realistic

Planning out-lines the results expected and the nature of the resulted expected.

7. Forecasting is a Pre-Requisite for Planning

Without forecasting there cannot be any planning. The planning process starts with the assumption that the future will be different from the present, and it attempts to determine how the enterprise can take the advantage of the difference. It is a kind of future picture where in proximate events are outlined with some distinctness whilst remote events appear progressively less distinct, (Fayol). It will be appreciated now that planning depends upon accurate business forecasting.

12.7 STEPS IN PLANNING

Planning is a process involving certain steps these are explained here:

1. Establishing objectives

The first step planning is a statement of the objectives to be achieved by the organisation. Every member of the Organisation should be familiar with its purpose and objectives. Objectives indicate what basically is to be done, where the primary emphasis is to be placed, and what is to be accomplished by the network, of policies, procedures, rules, budgets, programmes and strategies.

2. Premising

A second step in planning is to establish, obtain agreement to utilize and disseminate critical planning premises. These are forecast data of a factual nature, applicable basic policies and existing plans. Premises, they are planning assumptions, the future setting in which planning takes place in other words the environment of plans.

3. Determining Alternative Courses

The third step in planning is to search for and examine alternative courses of action, especially those are not immediately apparent. There is seldom a plan for which reasonable alternatives do not exist.

4. Evaluating Alternative Courses

Having sought out alternative courses and examined their strong and weak points, the

fourth step is to evaluate them by weighing the various factors in the light of premises and goals.

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5. Selecting a Course

The fifth step is selecting the course of action from among alternatives. An analysis and evaluation of alternative courses will disclose that two or more courses are available and the manager may follow the best among alternatives. However, he may keep other courses of action selected as a part of contingency planning.

6. Formulating Derivative Plans

After the best programme is decided upon, the next task, is to work out its details, formulate the steps in full sequence, to break it down for each section or department, for each product and component of a product and for each month, quarter, week etc. Ultimately, the manager will get the final plan of action in concrete terms.

12.7.1 Limitations

Planning has certain limitations. These are

- a) Planning in most cases depend upon possible assumption and predictions about future. In many cases predictions may prove wrong and adversely effect the entire Organisation. In some other cases, prediction may not be possible at all.
- b) Planning as a costly exercise. It involves huge amounts of money, time and human labour, small organizations may feel the burden of these things. In certain cases the expenditure on planning may even exceed the total expenditure on the programmes meant for achieving the organizational objectives.
- c) Planning may lead to administrative delays and red tapism. During emergencies, it may not be possible for organizations to complete all formalities of planning. In some cases, the delay occurred in 'planning' may result in further delays in implementation.
- d) The external environment in which an organisation functions influences most of the working of an organisation. If planning fails to take these external factors (which are not supposed to be of direct concern), into account planning may fail to achieve the desired objectives.
- e) The success of planning also depends upon the availability of resources of the organization and its control over the required information. Lack of resources and information would impose several limitations on planning.
- f) Simon says planning is concerned with the behaviour of the people in the organisation. If the behaviour of the people is not in tune with the goals of the organisation, planning may become a ritualistic exercise.

12.8 KINDS OF PLANNING

Planning can be of many types overall, limited and administrative. The first of these, commonly called socio-economic planning, is the most comprehensive, and it is in this sense that the term is used here. Socio-economic planning is more than laying down a few economic targets here and a few physical targets there. It is an overall effort to achieve an all-round development of the country. Four-year and seven-year plans are

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manifestations of this type of effort. Such far-reaching, long-range and overall planning often becomes the subject of controversy. Eyebrows are raised and suspicions aroused about such planning. Questions, like these, are asked: Is planning compatible with democracy? Does not planning, by its very definition, imply regimentation? Is not planning totalitarian, etc.? In reply, it may be said that planning is certainly the negation of laissez faire both in political and economic spheres. But laissezfaire and democracy need not be regarded as interchangeable concepts. The 19th century liberal capitalist democracy is now obsolescent. All this is not to deny that planning in communist countries has often led to suppression of individual liberties and has been accompanied by drastic measures including terror. The fault may, however, be not of planning so much as of communism. Anyway, India is trying the experiment of attempting to establish a socialist society through planning by a democratic process.

Fulfilment of economic and physical targets, on the other hand, represents an isolated, separated, limited and uncoordinated programme of developing only certain sectors of the life of the community. Thus, in India, before 1947, the textile industry had reached a fairly high stage of development, and Tatas had set up a big steel plant at Jamshedpur. Similarly, the Government had taken in hand the programme of establishing schools, dispensaries, hospitals, etc. Construction of roads and provision of irrigation facilities are other examples of piecemeal attempts at development. In other words, the Government did take in hand and implemented many programmes of development in the fields of agriculture, education, public health, industry, public works, etc. Certain economic, physical and financial targets were, undoubtedly, fixed and attempts were made to achieve them. But there was no planning as such in the sense in which the term is now used and understood.

Planning may, again, be governmental and non-governmental. Almost all big industrial businesses and commercial concerns, whether in India or abroad, draw up and execute their own plans of development. However, we are concerned here only with governmental planning or administrative planning. There are some who divide governmental planning into 'administrative' (policy and programme planning) and 'management' (operational planning). Such terminological controversies need not worry us here. As shown above, we regard planning as an important task of management. Administrative planning comprehends all the activities of government and "can be divided roughly into policy, programme and operational planning. This division is based on the level, the main objectives, and the subject-matter with which each type deals." No attempt, however, should be made to draw too fine a distinction between them as they are but phases of the single process of planning. Policy planning occurs at top levels the Legislature, the Cabinet, the President or the Prime Minister, and one of them or varying conjunctions of them. However much the public officials may help in and contribute towards policy-making, they do not make policies. Policies, being political in nature, should be formulated only by those who have political responsibility. A policy, as such, is ineffective unless it converts itself in the form of concrete programmes. The making of such specific programmes and projects, is the responsibility of the top and middle executives. In India, this role is played mainly by the secretariat helped and advised by the Line department heads. The last, but by all means an important phase, is of implementing or executing the plan. This is the responsibility of the Line or operational agencies

which lay down the plan of action necessary to implement the projects or programmes. The test of the success of a plan is its right implementation, and it is not un often that agencies involved in this task modify, and at times even subvert the policies enunciated at the top.

Plans may also be of varied durations, short-range or long-range. The Annual Budget itself is one-year plan. Then there are four-year, five-year, six-year and seven-year plans. These plans of specific durations are made in the context of long-range or perspective plan. Such a plan projects itself 15 to 25 years hence, and attempts to determine the goals to be reached at the end of that period. The present projects and programmes are adjusted to realize these goals, and preparations are set afoot to create trained manpower and raise resources to meet the needs as they arise in future. Perspective planning, thus, helps in the formulation of present plans and in maintaining and continuing from one plan period to the other. The importance of perspective planning has been realized in India and the Planning Commission was provided in February 1957, with a perspective Planning Division engaged in the task of assessing the requirements of the country in respect of various sectors of activity so that projection could be made into the future over a period of 20 to 25 years. Planning may, thus, be said to be a never-ending occupational problem, for a manager.

12.9 PLANNING PROGRESS

Planning is a succession of steps through which the planner must go. These steps are: understand the objective to be achieved; evaluate the situation or setting consider possible courses of action and select the best course of action. Seckler-Hudson suggests six steps in systematic planning, namely (1) a careful definition and limitation of the problem to the extent possible; (2) the exploration of all available information pertaining to the problem; (3) the posing of possible alternative solutions or methods of handling the problem; (4) the testing of one or more tentative solutions through actual operations; (5) the evaluation of results in the light of experience, continuous research and new development; and (6) reconsideration of the problem and the results, and redecision if justified. According to Millett, planning embraces three broad steps (1) the formulation of goals; (2) an assessment of the resources available to realize these goals; and (3) the preparation of a work programme designed to achieve the determined objectives. In short, the planning process includes three steps the formulation, execution and evaluation of plans. We shall, now, briefly describe the existing machinery in India for the above three aspects of planning.

12.10 PLANNING COMMISSION

Origin

The origin of planning in India can be traced to 1933, when M. Visvesvaraya formulated a ten-year plan with the target of doubling the income of the country. Five years later, in 1938, at the instance of the Congress party, a National Planning Committee was set up with Jawaharlal Nehru as its Chairman. In 1941, the Government of India appointed a Committee for Planning, which was replaced in 1943, by the Reconstruction Committee of the Executive Council with the Governor General himself in chair.

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Next year, separate Planning and Development Department was established. The same year some leading industrialists prepared a Plan for the economic development of the country known as the Bombay Plan. Under the inspiration and guidance of the Planning Department, a number of development schemes were prepared by the Central and Provincial Governments to be undertaken at the end of the war. Problems of planning were reviewed towards the end of 1946, by the Advisory Planning Board, established by the Interim Government. The Board suggested the setting up of a Planning Commission, single compact authoritative organization, directly responsible to the Cabinet and devoting its attention continuously to the whole field of development. The recommendation was accepted and the Planning Commission was established by a resolution of the Government of India, dated 15 March, 1950.

Functions

The Planning Commission, with the Prime Minister as the Chairman, has emerged as a powerful and effective Staff agency in India. The functions of the Commission are as follows

1. To make an assessment of the material, capital and human resources of the country, including technical personnel, and to investigate the possibilities of augmenting such of those resources as are found to be deficient in relation to the nation's requirements;
2. To formulate a Plan for the most effective and balanced utilization of the country's resources;
3. To determine priorities as between projects and programmes accepted in the Plan;
4. To indicate the factors that retard economic development, and to determine conditions which should be established for the success of the Plan?
5. To determine the nature of the machinery to secure the successful implementation of the Plan;
6. To appraise from time to time the progress of the Plan and to recommend the necessary adjustments of policy and measures; and
7. To make recommendations either for facilitating the discharge of its duties or for a consideration of the prevailing economic conditions, current policies, measures and development programmes; or for an examination of problems referred to it for advice by Central or State Governments.

At present, Planning Commission has the following functions

1. Assessment of the material, capital and human resources of the country including technical personnel and formulation of propels for augmenting such of these resources as are found to be deficient.
2. Formulation of plan.
3. Definition of stages in which the plan should be carried out on a determination of priorities.
4. Determination of the nature of the machinery necessary for the implementation of the plan.

5. Appraisal from time to time of the progress achieved in the execution of the plan.
6. Public Cooperation in National Development.
7. Hill Areas Development Programme.
8. Perspective Planning.
9. Directorate of Manpower.

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One must note that National Informatics Centre has now been transferred to the Ministry of Information Technology.

Composition

The Commission consists of Chairman, deputy chairman and other members. The Prime Minister is its Chairman. The Deputy Chairman is the full-time functional head of the Commission. Of members, some are ministers in the Central Government and others are full-time members. All cases involving policy are considered by the Commission as a whole. The formulation of the plans, adjustments in the plans, matters involving departure from the plan policies, important cases involving disagreement with a Central Ministry or a State Government, and difference of opinion between members of the Commission are some of such cases.

There is a close liaison between the Cabinet and the Commission. The Chairman is the Prime Minister himself. Other members of the Commission are invited, as and when necessary, to attend the meetings of the Cabinet and its Committees. On the other hand, important economic issues arising in the Ministries are generally discussed in the Commission before they are considered in the Cabinet. Thus, there is a regular stream of ideas and suggestions flowing from the Commission to the Union Government and vice versa.

Organization

The Planning Commission works through three major divisions Programme Advisers, General Secretariat and Technical Divisions.

Programme Advisers

There are four senior officers designated as advisers having the status of ex-officio Additional Secretaries to the Government of India. They assist the members of the Commissions in matters concerning field study and observations of various schemes and projects and the progress of their implementation. The advisers also pay specific attention to the problem of finance, public cooperation and administration connected with the implementation of the plans.

General Secretariat

It has four branches, namely, Administrative Branch, Plan Coordination Branch, General Coordination Branch and Information and Publicity Branch.

Technical Divisions

The Commission has 20 Technical Divisions and Sections which fall broadly under two groups, namely General Divisions, and Branch or Subject Divisions. The General Divisions are concerned with the problem of overall economic and social planning, each examining some specific aspects of these problems. The Subject Divisions, on the other

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hand, deal with specific sectors of the economy like Irrigation and Power, Food and Agriculture, Education, Housing etc. The Technical Divisions are responsible for scrutinizing and analysing various schemes and projects to be incorporated in the Plan; conducting technical studies and research regarding Plan Projects and programmes; preparing study material and reports on the Plan ; following up of Plan Projects, etc. The heads of these Divisions are generally subject-specialists designated as Chiefs or Directors who are assisted by Deputy and Assistant chiefs and some research staff.

Advisory Bodies

Some of the important advisory bodies functioning in the Planning Commission are: Committee on Irrigation and Power Projects, Coordination Committee, and Research Programmes Committee.

12.11 DEPARTMENT (EARLIER BUREAU) OF PUBLIC ENTERPRISES

First set up in 1964, under the nomenclature of Bureau of Public Enterprises, it acquired its present name, the Department of Public Enterprises, in May 1990. Located in the Ministry of Industry, the Department of Public Enterprises assists in policy formulation pertaining to public undertakings in the context of the overall economic development of the country and frames policy guidelines for them in various areas. The Department is headed by a Secretary who is assisted by an establishment having a strength of 153 personnel.

12.12 ADMINISTRATIVE IMPLICATION OF PLANNING IN INDIA

The Indian experiment in Planning for a socialist society through democratic process is unique in the contemporary world. Russia and China are both attempting to achieve socialism through planning but they do not use the democratic process. The Labour Party in Britain aims at bringing about a socialist society through democratic procedures but has no centralized planning machinery. The U.S.A. is a democracy but believes neither in socialism nor in planning. It is only India which has attempted to combine all the three planning, socialism and democracy. We want to bring about democratic, cooperative, socialistic pattern of society with mixed economy under a parliamentary system without modifying traditions a great deal. This is a challenging, albeit difficult task.

The advent of planning, since 1950, has affected the nature, scope and scale of administration of the Union and State Administrations in India. This impact has mainly arisen as a consequence of three major forces at work: (1) the assumption by the Government of developmental functions including those in the field of welfare; (2) the increase in the scale and variety of administrative operations; (3) the need for the greater association of the people with, and their participation in, the administrative process to facilitate planning from below and effective implementation of the Plans.

Both the First and Second Plans as also the Third Plan have recognized the significance and role of public administration in the successful implementation of the plans.

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Said the First Plan: "In all directions, the pace of development will depend largely upon the quality of public administration, the efficiency with which it works and the cooperation which it evokes." In the words of the Second Plan: "If the administrative machinery both at the Centre and in the States does its work with efficiency, integrity and with a sense of urgency and concern for the community, the success of the Second Plan would be assured." Emphasizing the importance of administration in the successful implementation of the Plan, the third Plan says: "The need for securing efficiency and speed in execution and widespread confidence in the integrity of the administration at all points affecting the general public has always been stressed as vital problems in economic development. With the increase in the tempo of development activities and in the functions of Government, these aspects of administrative reforms have assumed even greater urgency." Verily, all planning resolves itself into a set of administrative tasks. Since July 1991 India is committed to a policy of liberalisation of economy involving de-regulation, de-control and de-licensing. India is now wedded to what is called indicative planning. Under the new dispensation, the state's role in India marks a shift. From direct rowing Indian administration is now called upon to play a steering role. It will have to develop regulatory skills and mechanisms to secure its objectives.

12.12.1 Administrative Organization and Management

The First Five Year Plan placed emphasis on administrative leadership; integrity; machinery to enquire into cases of misconduct on the part of persons who hold any office, political or otherwise; efficiency; staffing arrangements for management of State industrial enterprises and for dealing with matters of economic policy and administration, development in land reforms and food administration; improvement of quality of recruits to the administrative service and of the procedures for their selection; establishment of joint 'development' cadres and similar other cooperative arrangements between the centre and the states improvement of in-service training arrangements, the importance of careful grounding in revenue and development administration for the probationers of the administrative services, the organization of refresher courses for senior administrative officers, etc., establishment of O & M units at the centre and in states, improvement of supervision and inspection, better human relations, review of methods of financial control, greater attention to financial implications at the stage of planning of projects, and allocation of priorities, improvement of efficiency rating methods so as to facilitate promotion of outstanding officers and systematic evaluation of results as a normal administrative practice.

The Second Five Year Plan enumerated the principal administrative tasks as follows : ensuring integrity in administration, building up administrative and technical cadres, and providing incentives and opportunities for creative services, continuously assessing requirements of personnel in relation to the tasks to be undertaken, organizing large-scale training programmes in all fields and mobilizing the available training resources, devising speedy, efficient and economic method of work, providing for continuous supervision and arranging for objective evaluation of methods and results at regular intervals. It also emphasized the need for affording opportunities to officials at all levels for exercising the maximum responsibility schemes for executive development an attitude of speed and urgency, administrative talents to be drawn from all fields and emphasis on correct human relations.

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The Third Five Year Plan listed the principal objectives to be realized in public administration as: (1) formulation of policies in clear cut terms by government and ensuring continuity in giving effect to them. (2) Clear assignment of responsibility for implementation with full appreciation of the objectives to be achieved at every level including Minister, Secretary and Head of Department, and no interference with the decision of the individual public servant within the field assigned to him by law and regulation; (3) ensuring everyday efficiency with speed and prompt disposal, including (i) proper training of personnel, especially middle grade, (ii) simplification of procedures through systematic work studies, and (iii) effective supervision of work at each level; (4) continuing administrative leadership for securing steady improvement in administrative efficiency and standard; (5) ensuring in respect of important construction projects that the best results accrue for the expenditure incurred, and there is integrity and economy at all points; and (6) checking corruption in public administration.

The Fourth Five Year Plan (1969-74) supported administrative machinery for monitoring performance in Plan implementation. Plan publicity and mass education needed greater attention. Manpower planning was another field where the relevant machinery needed strengthening. The Fifth Five Year Plan (1974-79) was a period characterised by political fluidity in India, and therefore remained a non-event. The Sixth Five Year Plan (1980-85) gave utmost importance to rural development and rural employment. The Seventh Five Year Plan (1985-90) asserted: "Basic structured reforms should be effected in rural administration." The Eighth Five Year Plan (1992-97) laid emphasis on implementation of plans and programmes and suggested effective monitoring and evaluation of programmes.

Planning Under New Economic Policy Adopted in 1990

From a highly, centralised planning system, India has moved towards indicative planning under the indicative planning, Planning Commission concerns itself with the building of a long term strategic vision of the future and decides on priorities of the nation. It works out sectoral targets and provides promotional stimulus to the economy to grow in the desired direction.

Since the adoption of the New Economic Policy Planning Commission plays an integrative role in the development of a holistic approach to policy formulation in the critical areas of human and economic development. The emphasis of the Commission is on maximising the output by using our limited resources.

12.13 SUMMARY

Planning is an essential part of organisation. It is an all pervading process its process starts from formulating the objectives to evaluating and maintaining the implementation of programmes the time, money and labour spent towards planning activity is necessary for the successful functioning of any organisation George Asteiner's observation may be more relevant here to conclude the debate on planning He says "Planning will not solve all the problems of a manager. Nor will planning guarantee business success for some companies a continuous flow of imaginative ideas is the only thing that can bring success. For some companies completely unexpected and unpredictable events will bring failure despite sophisticated corporate planning. Some company's will succeed

with out planning largely through a benevolent environment but what has been said here is that other thing being it will provide a useful corporate planning will bring good results it will provide a useful frame work for better innovations, creativity vision and decision making. All things considered, managers will be considerably better off with comprehensive planning than with out it”.

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12.14 KEYWORDS

- **Planning:** Planning is the French word Prevoyance means looking ahead. It is an organized attempt to anticipate and to make rational arrangements for dealing with future problems by projecting trends.
- **Planning is a Conscious Process :** Planning determines the course of action consciously; basing its decision upon purpose facts and considered estimates. Planning is not instinctive, it is a conscious intellectual process.
- **Planning is realistic:** Planning out-lines the results expected and the nature of the resulted expected.
- **Premising:** A second step in planning is to establish, obtain agreement to utilize and disseminate critical planning premises. These are forecast data of a factual nature, applicable basic policies and existing plans. Premises, they are planning assumptions, the future setting in which planning takes place in other words the environment of plans.

12.15 ANSWERS TO ‘CHECK YOUR PROGRESS’

1. Explain planning and its definition.

Ans.

Planning is the French word Prevoyance means looking ahead. It is an organized attempt to anticipate and to make rational arrangements for dealing with future problems by projecting trends.

Planning is the process of determining the objectives of the administrative effort and of devising means calculated to achieve them. In other words, planning is the preparation for action. It is an endeavor to apply foresight to human activity and is based on knowledge and research.

Richard T class says that, A plan is a statement by a person what he intends to do a certain thing by a certain means Planning is the process by which he develops that statement.

2. Why Planning is required ?

Ans.

Planning is required respectability and has become even fashionable. Planning is of particular significance to an underdeveloped country where a lot has to be achieved with limited resources and within a restricted time. Thus, in our country and, for the matter of that, in all countries with developing economies, planning is perhaps the best way to pull up the economy to a self-sustaining and self-generating stage. Verily, “all organizations must plan if they are to achieve their ends.”

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3. What is Planning?

Ans

Dimock defines planning as “the use of rational design as contrasted with chance, the reaching of a decision before a line of action is taken instead of improving after the action has started.” Seckler-Hudson succinctly defines it as “the process of devising a basis for a course of future action.” In the words of Millert, “Planning is the process of determining the objectives of administrative effort and of devising the means calculated to achieve them.”

4. Describe importance of planning?

Ans.

The importance of planning may appear to be an academic question. However it would be a gross simplification to suggest that most managers know the importance of rational and scientific planning. We have countless instances of enterprises business. This is not always because of faulty Planning but due to lack of proper planning. Such enterprises fail to cope with the pressures because of the manager’s belief in management by crisis. Instead of anticipating future problems and thinking in advance of the Ways end means to tackle them they believe in making decisions in a hand-to-mouth fashion in a frantic did-to-tide over the crisis.

12.16 REVIEW QUESTIONS

I Essay Questions

1. What is the importance of planning?
- 2.. What are the important principles of planning? Discuss in detail.
3. What are the important steps of planning?
4. What are the principles of planning?
5. Explain the characteristics of planning.
6. Explain the steps in planning.
7. Explain kinds of planning.

II Short Questions

1. What is meant by MBO?
2. Meaning and definition of planning
3. Explain the importance of planing.
4. limitations of Planning

12.17SUGGESTED READINGS

1. Public Administration: Theory and Practice, P. Sharavan.
2. Administrative Thinkers, D. Ravindra Prasad.
3. Public Administration, Mohit Bhattacharya.
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5. Mohit Bhattacharya, Public Administration, The world press, Calcutta, 1981.
6. Avasthi & Maheshwari, Public Administration, Laxmi Narain Aggarwal, Agra, 198L

Lesson 13

LEADERSHIP AND SUPERVISION

Structure

- 13.0 Aims and Objectives
- 13.1 Introduction
- 13.2 Meaning and Definitions of Leadership
- 13.3 Theories of Leadership
- 13.4 Need for Leadership
 - 13.4.1 Basis of Leadership
 - 13.4.2 Qualities of Leadership
- 13.5 Types of Leadership
 - 13.5.1 Autocratic or Authoritarian Leader
 - 13.5.2 Participative or Democratic Leader
 - 13.5.3 Free Rein or Laissez Faire Leader
 - 13.5.4 Paternalistic Leadership
- 13.6 Characteristic features of Leadership
- 13.7 Functions of Leadership
- 13.8 Meaning and Definitions of Supervision
- 13.9 Purpose of Supervision
- 13.10 Scope of Supervision
- 13.11 Types of Supervision
- 13.12 Phases of Supervision
- 13.13 Techniques of Supervision
- 13.14 Principles of Supervision
- 13.15 Good Supervisor and qualities
 - 13.5.1 Qualities of A Good Supervisor
- 13.16 Let us Sum up
- 13.17 Keywords
- 13.18 Answers to 'Check Your Progress'
- 13.19 Questions for Discussion
- 13.20 Suggested Readings

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13.0 AIMS AND OBJECTIVES

At the conclusion of this unit you should be able to understand

- Explain theories of leadership
- Discuss types of leadership
- Understand the scope of supervision.
- describe phases of supervision.

13.1 INTRODUCTION

Leadership is an important function of an organisation. The success or failure of an organisation depends upon its Leadership. A Leader must be able to lead the group working under him for inspiring group effort and team work for the accomplishment of the objectives of the organisation.

Each and every organization, Public or Private, provides for supervision as one of its important tasks. Moreover, Supervision is inherent in the hierarchical nature of organizations, each level of which supervisor the one below it and is in turn, Supervised by the one above it.

Supervision plays a dominant role in the directing functions of the executive in popular parlance. Like every other aspect of organization, supervision is also becoming very complicated. The responsibilities of a supervisor have increased and a good supervisor is expected to have the qualities of head and heart. There is an old saying that "which is not inspected is not done". Hence inspection, over seeing and supervision arise in response to needs inherent in the functioning of an organization.

13.2 MEANING AND DEFINITIONS OF LEADERSHIP

Meaning

The dictionary meaning of leadership is 'to lead', 'to excel', 'to be in advance', 'to be prominent'. The other meaning is also from the dictionary is 'to guide others', 'to be head of an organisation', 'to hold command'.

Definitions

There are as many different definitions of Leadership. Some of the definitions of Leadership are given below.

- i. "Leadership is the activity of influencing people to strive willingly for group objectives"
George Terry.
- ii. "The activity of persuading people to co-operate in the achievement of a common objective"
Koontz O' Donnel
- iii. "Leadership is large organisation may be defined as inflaming and of people to work together in common effort to achieve the purpose of the enterprise".
Secklel Hudson.
- iv. "Leadership is the limitation and maintenance of structure in expectation and interaction"
Stogdill

v. "Leadership is the influential increment over and above mechanical compliance with the routine directives of the organisation" : **Katz and Khan.**

Leadership and Supervision

From the above mentioned definitions it should be clear that Leadership is a psychological process of influencing followers and providing guidance to them. Leadership is essential to influence people to achieve mutually compatible objectives.

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13.3 THEORIES OF LEADERSHIP

Triat Theory

This theory seeks to determine universal personal characteristics of effective leaders. Numerous physical, mental and personality traits were researched at least some identifiable traits turned up, Charles Bird examined twenty lists of traits attributed to leaders in various surveys and found that none of the traits appeared on all lists.

In the late 1940s Ralph Stogdill reported on the basis of at least fifteen studies that leaders possess intelligence, scholarship, dependability in exercising responsibilities, activity and social participation and socioeconomic status. He also found traits such as sociability, persistence, initiative, knowing how to get things done, self-confidence, alertness, insight, cooperativeness, popularity, adaptability and verbal facility in ten leadership studies. Persons who are leaders are presumed to display better judgment and engage them in social activities. The study of the lives of all successful leaders reveals that they possessed many of these traits. Some of the important traits of an effective leader.

1. Intelligence. This trait seems to hold up better than any other. Leaders generally have somewhat higher intelligence than the average of their followers. They possess the ability to think scientifically, analyse accurately and interpret clearly and precisely the problems before them in terms of different aspects and perspectives.

2. Inner Motivation Drives. Leaders have relatively intense achievement type motivational drives. They have the inner urge to keep accomplishing something. To initiate suitable activities in proper time is the habit of a leader. He works hard more for the satisfaction of inner drives than for extrinsic material rewards.

3. Human Relations Attitude. Successful leaders recognize the worth and dignity of their followers and are able to empathize with them. They try to develop social understanding and appropriate skills among them. They are considerate of their followers as their success as leaders largely depends on the cooperation of the people. They approach the various problems in terms of human aspect involved more than the technical aspect involved.

4. Vision and Foresight. A leader can't maintain his influence unless he exhibits his trait of looking forward well in advance and imagination for handling his followers. So he is imaginatively visualizing trends and devising his policies and programmes with foresight based on logical programmes.

5. Social Maturity. Leaders generally have broad interests and activities. They are emotionally so mature and have balanced temperaments avoiding menacing extremes that they may not become thoughtless victims of the circumstances. They also have high frustration tolerance.

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6. Acceptance of Responsibility. A reliable leader is one who is prepared to shoulder the responsibility for the consequences of any steps he contemplates or takes. He keeps awareness of the duties and obligations associated with the position he holds.

7. Adaptability. A leader is ready to absorb and adopt new ideas and views of others as may be demanded by the situation. He is not critical of others. He is prepared to accommodate others viewpoints and alter his decisions, if need be. Flexibility is another name for open ended ness which makes the leader more identified with the group.

Trait theory is severally criticized on the following grounds.

1. The list of personality, personality traits are long and exhaustive.
2. There is no Universal list of Traits for successful Leaders.
3. It is difficult to define traits. There is no valid definition of Trait
4. How much of a Trait a person should have remains a puzzling question. It is not clear how high score a person must achieve on a given trait to make it effective.
5. Leadership skills vary not according to qualities they poses, but by situation in which they work for example nature of work, nature of subordinates, and nature of organisation. Due to severe criticism on against Trait theory behavioral theories have changed.

Situational Theory

This theory advocates that leadership is strongly affected by a situation from which a leader emerges and in which he works. It is based on the assumptions that there exists an interaction between a group and its leader and that people tend to follow the person (known as leader) who is capable of fulfilling their aspirations. Thus leader is a means of achieving the goals of the group and the individuals. He recognises the needs of the situation and then acts accordingly.

The exponents of this theory maintain that leadership cannot be considered independent of the group of which a person is the leader. The drawback of this approach is that it does not consider the role of traits of the individuals. It takes only a very limited and incomplete view of leadership. Leadership is not only related to the situation, it is the result of so many other factors too.

Leadership is shown by a person's acts more than by his traits. Traits influence acts, but so do followers' goals and the situation in which the acts occur. It follows that leadership is role behavior which co-ordinates the efforts of the people and stimulates them towards the achievement of their goals in particular situations. This is called systems approach because it considers all the variables, namely, leader, followers, goals and environment which influence each other to determine suitable role behavior. It considers leader as one of the several interdependent factors which create a particular type of leadership. Thus leader emerges as a consequence of the needs of the group of people and the nature of the environments within which the group operates.

Followers Theory

The Follower Theory of Leadership: In view of the inadequacies of the above mentioned theories F.H. Sanford paid attention to followers who make leadership effective. According to this Theory of Leadership, followers depend upon those leaders who satisfy both their

social and personal needs. They extend their willing support and co-operation to those leaders who try to satisfy their needs while motivating them to achieve the goals of the organization.

The foregoing discussion makes it clear that it is unrealistic to seek a single ideal type of leader. Leadership varies from situation to situation followers etc. All managers or leaders must design their approaches to suit the situation and the people involved,

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13.4 NEED FOR LEADERSHIP

According to Daniel Katz and Robert Kahn has given need for the leadership for an organisation. There are four basic reasons for leadership which are discussed as mentioned below.

1. The incompleteness of formal organizational design - leadership is needed to compensate for the weakness inherent in the formal designs.
2. In view of the changing environmental conditions the leader is required to initiate the corresponding changes in the organisation.
3. The internal dynamics of the organisation, as organisation grows new complexities of structure are create, giving rise to new condition needs requiring the leader to formulate new policies.
4. Finally, the nature of segmental human membership in the organisation necessitates a leader to introduce such changes which positively influence the human behaviour of the person on the job.

13.4.1 Basis of Leadership

John French and Berr Tram have discussed a five fold framework of power in terms of influence, which is as follows.

1. Cohesive Power
2. Reward Power
3. Legitimate Power
4. Expert Power
5. Referent Power

The first three bases such as cohesive, reward and legitimate power can be termed as organizational factors and other two, expert and referent are termed as individual factors.

13.4.2 Qualities of Leadership

Bernard has mentioned four qualities of leadership. They are

1. Vitality and endurance
2. Decisiveness
3. Persuasiveness
4. Responsibility and Intellectual capacity.

According to Appleby, a good administrator has willingness to assume responsibilities, demonstrates, continuing personal growth, he is disposed toward action, is a good listener, who asks pointed questions and works well with all sorts of people.

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13.5 TYPES OF LEADERSHIP

Leadership types refer to a leader's behavior: Behavioral pattern which the leader reflects in his role as a leader is often described as the style of leadership. Different leadership patterns exist among leaders in different times and in different situations. leadership style is the result of leader's philosophy, personality, experience and value system. It also depends upon the types of followers and the organisational atmosphere prevailing in the organisation. Different types of leadership styles are discussed below:

13.5.1 Autocratic or Authoritarian Leader

The autocratic leader gives orders which he insists shall be obeyed. He determines policies for the group without consulting them, and does not give detailed information about future plans but simply tells the group what immediate steps they must take. He gives personal praise or criticism to each member in his own initiative and remains aloof from the group for the great part of the time. Thus under this style, all decision making power is centralised in the leader. Leader adopting this style stresses his prerogative to decide and order and subordinates' obligation to do what they are told to carry out. He does not give subordinates the freedom to influence his behavior. Autocratic leadership may be negative because followers are uniformed insecure and afraid of leader's authority. They work only when the leader is present and avoid in his absence.

13.5.2 Participative or Democratic Leader

A democratic leader is one who gives orders only after consulting the group, sees to it that policies' are worked out in group discussion and with the acceptance of the group, never asks people to do things without sketching out the long term plans on which they are working makes it clear that praise or blame is a matter for the group and participates in the group as a member. Participative leadership style favours decision to make decisions and to let decisions emerge from the group. Participative manager decentralize managerial authority.

His decisions are not unilateral as with the autocrat because they arise from consultation with followers and participation by them. Unlike an autocratic manager who controls through the authority he possesses, a participative manager exercises control mostly by using forces within the group.

13.5.3 Free Rein or Laissez Faire Leader

The free rein manager avoids power. He depends largely upon the group to establish its own goals and work out its own problems. Group members work themselves and provide their own motivation. The manager exists as a contact man with outsiders to bring for his group the information and resources it needs to accomplish its job. Free rein management ignores the manager's contribution approximately in the same way as the autocratic management ignores the group. This type of Leadership involved in the affairs of subordinates, no appreciation, no support, no criticism are made by Leader for accomplishment of Tasks.

13.5.4 Paternalistic Leadership

There is one more style of leadership popularly known as Paternalistic Leadership. Under this, the leader assumes that his function is paternal or fatherly. His attitude is that

of treating the relationship between the leader and his group as that of family with the leader as the head of family. He works to help, guide, protect and keep his followers happily working together as members of a family. He provides them with good working conditions, fringe benefits and employee services. This style has been successful particularly in Japan because of its cultural background. It is said that employees under such leadership will work harder out of gratitude. However, in the modern complex industrial relations system, this attitude may not result in maximum motivation. Instead of gratitude it might generate resentment among the subordinates.

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13.6 CHARACTERISTIC FEATURES OF LEADERSHIP

Leadership presupposes the existence of a class of followers. A leader without follower is an absurdity.

a. Leader has to win the Respect and Confidence

A leader has to win the respect and confidence of people before he can lead them. The authority that a leader exercises over a group is not one of command, but that power of influence felt in terms of advice, permutation and suggestion, a personality factor that evokes willing response and acceptance of such authority by the group.

b. Understanding the Problems and Feelings of the followers

A leader has to study the nature of his followers as individuals and as in their problems and strive to solve them as well as he can. The doors of the leader should always be wide open to the followers who may need his friendly counsels and advice.

c. Creation of Confidence in the followers

Once the leader inspires confidence in the followers they do not hesitate to seek his guidance whenever they have doubts in the work situations. The good leader is receptive to the views and suggestions of his followers and he gives them a sense of participation in decision making. Thus, by functioning in full report with his group he makes his leadership felt.

d. Team Spirit Co-existence

The other characteristic of true leader is the assumption of personal responsibility by the leader even at risk for the actions of the group members. He leads the group overcoming all obstacles to reach the goal. He stimulates the member interest in the work and helps them develop their own talents. Good leadership fosters group spirit and team work.

e. Objectivity in Relation with followers

Objectivity in dealing with men and matters enhances strength of a leadership. The leader must not only be fair and impartial but also seem to be fair and impartial in selection and placement of his employees in the evolution of work performance, in offering rewards and meeting out punishments and in the matter of promotions and postings. There should be no trace of favoritism in his decisions which must be based on merits and merits alone. It is the lapses of leadership in this respect that often lead to friction, Jealousies and tension among a group of employees. Such undesirable trend affects the group's effectiveness as a whole. There will also be loss of confidence in the bonafides of the leadership.

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The leader must be conscious of the way he conducts himself in his relations with them. He must function in such a way as to command the respect of his followers.

f. Acceptance of Full Responsibility

The third characteristic of a leader is that he should accept full responsibility in all situations. He must assume full responsibility for the action and inaction of his followers. He should motivate the whole group to work for the achievement of the goals of the organisation.

13.7 FUNCTIONS OF LEADERSHIP

The major functions of leadership discussed below.

a. Motivating and Guiding Employees

Motivation and guidance with a view to getting the best out of a given work-group is the most important functions of leadership. High incidence of absenteeism, employee turnover, layout unrest strikes and business failure can be attributed to lack of motivation in the workforce. Proper motivation of employees is essential for the success of an organization.

Motivation springs from good human relations. It is the function of leadership to promote this atmosphere and incentive the employees to think creatively and act imaginatively, setting higher standards of performance and output. The binding force of a group is its leadership.

b. Creating Congenial Environment

The leadership must always be on the search for finding better means to satisfy the economic, social and psychological needs of the people who make up the organization. The leadership must encourage initiative, inspire creativity, infuse the spirit of enthusiasm into the group and create an environment in which not only individual talents but also the more important collective genius can flourish in an organization.

c. Leader is Appropriate Counselor

Leader assumes the responsibility of advisor and a counselor in organizational tasks when subordinates find it difficult to solve them. In personal problems also he gives advice and helps to resolve the difficulties.

d. Managing Change

Leader acts as a change Agent. He initiates all organizational changes, implement them by effectively overcoming the resistance to change.

e. Leader has to Train his Subordinates

Leader gives training to his subordinates. Leader uses his experience to teach various techniques of managing.

13.8 MEANING AND DEFINITIONS OF SUPERVISION

Meaning

The word 'supervision' is a compound of two words 'super' and 'vision' meaning superior power of perceiving. Supervision means the observation of results.

Definition

Supervision may be defined as “the direction, accompanied by authority, of the work of others”. Supervision is a compound word and its two parts are ‘super’ and ‘vision’ which means over seeing. In a hierarchical organization no one can claim to work without proper supervision. Generally, each officer is given certain powers and responsibilities and is supposed to be responsible to the officer above him for proper execution of the decisions and use of delegated powers. More over, for proper functioning of an organisation it is very essential that there should be proper coordination and link among different parts and organs of an organization.

Supervision is more than inspection and investigation. The latter are merely parts of the process of supervision. Supervision in brief, has many ingredients. It is “Selecting the right person for each job, arousing in each person an interest in his work and teaching him how to do it, measuring and rating performance to be sure that teaching has been fully effective administering correction where this is found necessary and transferring to more suitable work or dismissing those for whom this proves in effective, commending whenever praise is merited and rewarding for good work and finally, fitting each person harmoniously into the working group all done fairly, patiently and tactfully so that each person is caused to do his work skillfully, accurately, intelligently, enthusiastically and completely. Millet distinguishes between “Substantive supervision” and “technical supervision”. The first is concerned with the actual work done by an agency while the second deals with the methods by which the work is done.

1. According to Margeret Williamson, “Supervision has been defined as the direction, accompanied by authority, of the work of others”.
2. According to H.Nissan, “Supervision is a process by which workers are helped by a designated staff member to learn according to their needs”.

13.9 PURPOSE OF SUPERVISION

In an organisation, an executive is concerned with the carrying out of a number of important functions and duties.

In supervision, the chief executive keeps an eye on the time schedule and books to the qualitative and quantitative aspects of the performance of Job. Thus executive supervision pertains to watching, checking, assessing and amending. It is in the course of supervision work that defects in organizational planning and set up as well as the merit or demerits of individuals in the staff are identified. The purpose of supervision is not simply fault finding and punishing defaulters as certain people misunderstand it supervision aims at improvement of staff efforts individually and collectively. Good and efficient supervision presupposes well defined objectives and accepted standards for assessing achievements.

1. WHO ARE SUPERVISORS

All individuals in authority, who control the work of others, are supervisors irrespective of their high or low status in the organizational hierarchy. Supervisors generally perform both the “responsibility” and the “work” jobs, though their main function is the former type of job. Supervisor are of two kinds, line and functional. The line supervisor

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refers to the control exercised by the persons in line of command. For example, in the Police department of a state in India, the Inspector General supervises the District Superintendents of Police who in turn control the Inspectors and so on till we come to the Head constable who is the first line supervisor. Functional supervision, on the other hand, is exercised by subject matter specialists like the auditors, the accountants, the O & M specialists, Statisticians etc. while line supervision is of direct and commanding type, the functional supervision is staff function, and influences rather than commands.

13.10 SCOPE OF SUPERVISION

Up to the end of the nineteenth century, a supervisor enjoyed a lot of powers over the workman placed under his charge. In Modern Management the supervisor powers are much more restricted in scope. To some extent, the change is due to the impact of the trade union movement. Now with the rising of standards in work performance in Business and industry have stepped in specialists who are entrusted with responsibilities hitherto discharged by the supervisor, personnel matters become the concern of the personnel manager in the newly created personnel department.

13.11 TYPES OF SUPERVISION

In an organization there are three types of supervision.

- 1) Autocratic
- 2) Anarchic
- 3) Democratic

1. Autocratic

Here the supervisors expect the subordinates to do what they have been asked to do. There is no choice with the subordinates. They have to follow the dictates of the supervisor wrong.

2. Anarchic

Here the supervisors are in practice non-existent, i.e., they tell the subordinates to do what they like. The workers have complete freedom. Such a situation is very dangerous and produces very poor results. Every subordinate is becoming an island to himself with little supervision from above. Such a situation has developed as the supervisors have not been selected on the basis of merit.

3. Democratic

Here, the supervisor makes use of democratic or consultative method, i.e., he involves the subordinates. This makes the subordinates responsible and, thus, develops initiative in them. Such supervision is desirable, in general and in particular.

13.12 PHASES OF SUPERVISION

There are three phases of a supervisor's job viz.,

- 1) Substantive or technical
- 2) Institutional and

3) Personal.

Leadership and Supervision

1. Substantive Aspect

The substantive part of the supervisor's work consists in knowing the techniques, the 'know how' of the work. He has to plan to work, set standards of quality and quantity of work to be expected and make specific assignments of duties. But while he must know the work, it is not necessary that he should be an expert in the field.

2. Institutional Aspect

This aspect of a supervisor's role involves knowledge of policies, procedures, and practices of his agency. In matters of personnel and procedure he has a great responsibility. He is responsible for assignment of duties, for attendance, punctuality and personal conduct of the personnel in his agency and for the conservation of equipment and supplies.

3. Personal Aspect

This is the most important aspect of the supervisor's job. No doubt, the supervisor's has authority to get work from his employees. But work more particularly in public welfare agencies, can not be taken by the use of authority alone. To get good work from the employees, enthusiasm and interest in the work has to be created. Real authority flows from within.

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13.13 TECHNIQUES OF SUPERVISION

In the words of John D. Millett there are six techniques or methods of supervision. They are

1. Prior approval of individual project.
2. The promulgation of service standard.
3. Budgetary limitation upon the magnitude of operations.
4. Approval of key subordinate personnel.
5. A reporting system on work progress and
6. Inspection of results.

1. Prior Approval

This is a common way of exercising control by the superior over the subordinate units. The top authorities lay down organizational objectives in broad terms leaving the details of the individual projects to be finalized later. This arrangement not only ensures detailed control but also provides the much needed flexibility to change the general plans through making changes in the projects.

2. Service Standard

This technique of supervision is for the top management to set targets or standards. The purpose of supervision is not simply fault finding and punishing defaulters as certain people misunderstand it. Supervision aims at improvement of staff efforts individually and collectively. Good and efficient supervision presupposes well defined objectives and accepted standards for assessing achievements.

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13.14 PRINCIPLES OF SUPERVISION

There are some essential principles of supervision which need be kept in mind by the supervisors to improve the performance at various levels of organization.

1. Right Intensity of Job

The first and foremost requirement of supervision is to ensure that the workers and supervisors understand their job. In this context, the supervisor has to be an expert as he is supposed to guide the workers. Lesser the weight of supervision for a group of workers, higher the output. This has been proved in certain experiments. Supervision to be really purposeful should not be too close nor very remote. It should be as general as possible. Too close a supervision deprives the workers initiative and drive, they would not feel like giving their best to the job. Rather they tend to shirk their responsibilities and refer every small issue for decision to the supervisor. It is suggested that supervisors must be highly equipped in the field to check, guide, and motivate the subordinates.

2. Administrative Aspects

Here supervision ensures proper upkeep of office, equipment records etc., supervisor is also to ensure that proper records of financial transactions are being kept and also that the equipment is being maintained. Supervision should lay emphasis on improving the administrative system on a permanent basis.

3. Personal Interest

The supervisor should ensure the interest of subordinates in their work. There is a need of encouragement and morale boosting. The supervisor should have training in human relations, Public relations and human dynamics. Supervision and control should ensure higher efficiency through classification and encouragement by the supervisors. It is to be remembered that the use of human relations skills by the supervisors goes a long way in making supervision effective and painless. John D. Millett rightly defined "Supervision is more than a process, it is a spirit which animates the relationship between levels of organization and which induces maximum administrative accomplishment, or when unsuccessful generates administrative paralysis. Effective management is concerned to realize the first and to avoid the second".

4. Consultations

An intelligent supervisor, instead of forcing his decisions on his assistants will make them acceptable through the participative and consultative processes. He should afford them opportunities for free and frank discussions in group meetings convened from time to time.

5. Relationship with the Beneficiaries and the Public

Administration has not merely to be good but it should be felt by the people as such supervisors need to know from the beneficiaries and the people reactions to ensure their participation. Supervisors should listen to the complaints/grievances of the people peacefully and instruct the subordinates to deal with the complaints. Such supervision would help in generating smooth relationship between citizens and administration.

6. Reporting and Follow Up Action

Supervisors need to prepare report of supervision which can guide both the subordinates and the supervisor in future. Such reports can develop sufficient material for diagnosis and improvement of the organization. The remarks in the reports must be followed up to keep the subordinates alert. The test of the efficiency of supervision is the action on reports, i.e., the follow up.

7. Loyalty

A good supervisor will always take care of the legitimate interest of the workers and will never let them down if things happen to go wrong. He would rather take the blame himself. This approach creates a high sense of loyalty on both sides. The good supervisor will never offend the personal dignity of workers, however low placed he is in the organization.

8. Broader Interests

In modern management practices supervisors are expected to take a keen interest in management functions, like planning, organization, directing and controlling too. They must be proficiency in doing certain specialized job, must be adopts in training subordinates to excel in their work performances and in course of time to undertake to more responsible functions.

9. Work Climate

There supervisor can give his best only if there is a congenial work climate which ultimately is the creation of the higher management.

13.15 GOOD SUPERVISOR AND QUALITIES

There are writers who say that supervisors are born, not made obviously such persons emphasize the in born qualities of supervisors. these qualities relate to the personal traits attractive personality, good health, high intelligence, Broad human understanding loyalty, persuasiveness and friendliness to ones agency. These are important characteristics of good supervisor it does not mean that the art of supervision is unteachable. These are many characteristics, besides the personality traits, that go to make an officer a good supervisor, and by proper training even a person of ordinary intelligence and capabilities become a good supervisor conversely, without training even a born leader may not prove to be a good supervisor. According to G.D. Halsey has observed "It has been demonstrated time and time again that almost any person of normal intelligence and sincere desire to be of service to people, can acquire considerable skill in the art of supervising people, if he will study its principles and methods and apply them thoughtfully, conscientiously and persistently.

13.5.1 Qualities of A Good Supervisor

In an organizational system supervisors are the key persons in the administrative machinery of a Government as the success of the implementation of public policies depends to a great extent upon their ability, skills, interest and experience and understanding. Prof. Pfiffner suggests the following eight qualities.

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1. Command of job content i.e., expert knowledge of the work to be done.
2. Personal qualifications, such as the ability to cooperate, to attract others, to motivate enthuse and unite others to work.
3. Teaching ability by which he means the ability to keep one self perpetually at the process of self - education, to lead in conference and to teach group's of workers.
4. General out look that is, he must love his job only then he can enthuse other in the work and create in them.
5. Courage and fortitude, i.e., the ability to take decisions and assume responsibility.
6. Curiosity, i.e., receptivity to new ideas.
7. Ethical and moral considerations - High moral standard in the supervisor sets a good example for the employees and
8. Administrative technology, i.e., the ability to manage.

According to Halsey, there must be an adequate and reasonably well balanced development of six qualities in a supervisor. They are

- 1) Thoroughness
- 2) Fairness
- 3) Initiative
- 4) Tact
- 5) Enthusiasm and
- 6) Emotional control

Besides, the qualification and qualities mentioned above, he should be mature enough to take timely action based upon the given situation rather than allowing the situation deteriorates.

13.16 LET US SUM UP

Leadership is a complete and multi dimensional phenomenon and the understanding of the leadership process has dramatically changed over the past few decades. Leadership remains one of the suffocating areas as for as the understanding in concerned and conflicting evidence and uncertainly surrounds many of the theses.

Leadership is the process of influencing people. So that the contribute willingly and enthusiastically to the attainment of the goals. If is to provide motivating, guidance and develops team work for the followers. It is an indispensable element of any organization.

Supervision is more than inspection and investigation. The latter are merely parts of the process of supervision. Supervision in brief, has many ingredients. It is selecting the right person for each job, arousing in each person an interest in his work and teaching him how to do it, measuring and rating performance to be sure that teaching has been fully effective administering correction where this is found necessary and transferring to more suitable work or dismissing those for whom this proves in effective, commending whenever praise is merited and rewarding for good work and finally, fitting each person harmoniously into the working group all done fairly, patiently and tactfully so that

each person is caused to do his work skillfully, accurately, intelligently, enthusiastically and completely. Millet distinguishes between “Substantive supervision” and “technical supervision”. In an organisation, an executive is concerned with the carrying out of a number of important functions and duties.

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13.17 KEY WORDS

1. Democratic Leader

A democratic leader is one who gives orders only after consulting the group, sees to it that policies are worked out in group discussion and with the acceptance of the group, never asks people to do things without sketching out the long term plans on which they are working makes it clear that praise or blame is a matter for the group and participates in the group as a member.

2. Motivating and Guiding Employees

Motivation and guidance with a view to getting the best out of a given work-group is the most important functions of leadership. High incidence of absenteeism, employee turnover, layout unrest strikes and business failure can be attributed to lack of motivation in the workforce. Proper motivation of employees is essential for the success of an organization.

3. Followers Theory

The Follower Theory of Leadership: In view of the inadequacies of the above mentioned theories F.H. Sanford paid attention to followers who make leadership effective. According to this Theory of Leadership, followers depend upon those leaders who satisfy both their social and personal needs. They extend their willing support and co-operation to those leaders who try to satisfy their needs while motivating them to achieve the goals of the organization.

4. Supervision

Supervision is more than inspection and investigation. The latter are merely parts of the process of supervision. Supervision in brief, has many ingredients. Selecting the right person for each job, arousing in each person an interest in his work and teaching him how to do it, measuring and rating performance to be sure that teaching has been fully effective administering correction where this is found necessary and transferring to more suitable work or dismissing those for whom this proves ineffective, commending whenever praise is merited and rewarding for good work; and finally, fitting each person harmoniously into the working group all done fairly, patiently and tactfully so that each person is caused to do his work skillfully, accurately, intelligently, enthusiastically and completely.

5. Inspections

Inspections are carried out in many ways. The head of an agency himself is responsible for the inspection of offices and establishments under him. In other words, each superior is expected to inspect the work of his subordinates. This may be called a built in system of inspection. Secondly, the administrative agency of the next higher echelon has also a duty to inspect the working of officer under it. The third system of inspection is to set up an external, separate and independent agency with the government, charged solely with inspection work.

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6. Qualities of a good supervisor

The qualities of a good supervisor are mentioned below by the recommendation of Halsay.

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- i. Thoroughness
- ii. Fairness
- iii. Initiative
- iv. Tact
- v. Enthusiasm
- vi. Emotional Control.

13.18 ANSWERS TO 'CHECK YOUR PROGRESS'

1. What are the characteristics of leadership?

Leadership is very important to an organisation. To achieve the goals and objectives of an organisation leadership plays a vital role. Koontz O'donnel discussed the characteristics of leadership. They are as; Leader has to win the respect and confidence, Understanding the problems and feelings of the followers, Creation of confidence in followers, Team spirit co-existence, Objectivity in relation with followers and Acceptance of Full Responsibility.

2. What is the Trait theory?

Trait theory seeks to determine universal personal characteristics of effective leaders. Numerous physical, mental and personality traits were researched at least some identifiable traits turned up, Charles Bird examined twenty lists of traits attributed to leaders in various surveys and found that none of the traits appeared on all lists.

3. Define the supervision.

1. According to Margeret Williamson, "Supervision has been defined as the direction, accompanied by authority, of the work of others".
2. According to H.Nissan, "Supervision is a process by which workers are helped by a designated staff member to learn according to their needs".

4. What is the purpose of supervision?

The purpose of supervision is not simply fault finding and punishing defaulters as certain people misunderstand it supervision aims at improvement of staff efforts individually and collectively.

5. Explain the various types of supervision.

There are **three types** of supervisions. They are: 1) Autocratic 2) Anarchic 3) Democratic

1. Autocratic

Here the supervisors expect the subordinates to do what they have been asked to do. There is no choice with the subordinates. They have to follow the dictates of the supervisor wrong.

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2. Anarchic

Here the supervisors are in practice non-existent, i.e., they tell the subordinates to do what they like. The workers have complete freedom. Such a situation is very dangerous and produces very poor results. Every subordinate is becoming an island to himself with little supervision from above. Such a situation has developed as the supervisors have not been selected on the basis of merit.

3. Democratic

Here, the supervisor makes use of democratic or consultative method, i.e., he involves the subordinates. This makes the subordinates responsible and, thus, develops initiative in them. Such supervision is desirable, in general and in particular.

6. What are the principles of supervision? Discuss in detail.

Supervision is very essential for success of any organisation. So, the management thinkers like Koontz O'Donnel, and L.D.White proposed the following principles.

1) Right Intensity of Job

The first and foremost requirement of supervision is to ensure that the workers and supervisors understand their job. In this context, the supervisor has to be an expert as he is supposed to guide the workers.

2) Administrative Aspects

Here supervision ensures proper upkeep of office, equipment records etc., supervisor is also to ensure that proper records of financial transactions are being kept and also that the equipment is being maintained.

3) Personal Interest

The supervisor should ensure the interest of subordinates in their work. There is a need of encouragement and morale boosting. The supervisor should have training in human relations, Public relations and human dynamics.

4) Consultations

An intelligent supervisor, instead of forcing his decisions on his assistants will make them acceptable through the participative and consultative processes.

5) Relationship with the Beneficiaries and The Public

Administration has not merely to be good but it should be felt by the people as such supervisors need to know from the beneficiaries and the people reactions to ensure their participation.

6) Reporting and Follow Up Action

Supervisors need to prepare report of supervision which can guide both the subordinates and the supervisor in future. Such reports can develop sufficient material for diagnosis and improvement of the organization.

7) Loyalty

A good supervisor will always take care of the legitimate interest of the workers and will never let them down if things happen to go wrong. He would rather take the blame himself.

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8) Broader Interests

In modern management practices supervisors are expected to take a keen interest in management functions, like planning, organization, directing and controlling too.

9) Work Climate

There supervisor can give his best only if there is a congenial work climate which ultimately is the creation of the higher management.

13.19 QUESTIONS FOR DISCUSSION

Essay type Questions

1. What are the Major theories of Leadership?
2. Critically examine the Trait approach to Leadership.
3. Discuss the various types of supervision.
4. Critically examine the Phases in supervision?
5. Describe the techniques in supervision?

Short type Questions

1. Describe the situational theory.
2. Write any four characteristics of leadership?
3. What is the meaning and definitions of supervision?
4. What is the purpose of supervision?
5. What are the good qualities of a good supervisor?

13.20 SUGGESTED READINGS

1. Koontz O' Donnel - Essentials of Management Tata McGraw Hill Publishing Co., NewDelhi. 1984.
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3. Rensis Likert - The Human Organisations.
4. P.Sharan, Public Administration: theory and concepts.
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Lesson 14

COMMUNICATION AND PUBLIC RELATIONS

Structure

- 14.0 Aims and Objectives
- 14.1 Introduction
- 14.2 Meaning and Definitions
- 14.3 Importance of Communication
- 14.4 Process of Communication
- 14.5 Types of Communications
- 14.6 Directions of Communication Flow
- 14.7 Means of Communication
- 14.8 Channels / Net Works of Communication
- 14.9 Barriers to Communications
- 14.10 Public Relations Meaning
- 14.11 Importance of Public Relations
- 14.12 Process of Public Relations
- 14.13 Tools and Techniques of Public Relations
- 14.14 Limitations to Public Relations
- 14.15 Summary
- 14.16 Key Words
- 14.17 Answers to 'Check Your Progress'
- 14.18 Review Questions
- 14.19 Suggested Readings

14.0 AIMS AND OBJECTIVES

After reading this lesson, you will be able to

- Meaning and Definition of the communication
- Process, Types and Directions of Communication
- Barriers of communication and methods to overcome them.
- Understande Meaning, Nature and Definitions of Public Relations.
- Explain Importance of public relations
- Describe Process of public relations

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14.1 INTRODUCTION

Communication is one of the most widely discussed topics in Human Resource Management and Public Administration. Communication is a basic tool, for motivation and an increase in the morale of the employees largely depend upon the effectiveness of communication.

Public Relations is knowing what the Public expects and explaining how administration is meeting these desires. Public relations in government it is the composite of all the primary and secondary contacts between bureaucracy and citizens and all the interaction of influences and attitudes established in these contracts. The purpose of the public relations is not only to supply information but also to encourage an understanding and cooperation between the citizens and the public servants.

14.2 MEANING AND DEFINITIONS

The word communication has been derived from the Latin word “**Communis**” which means “**Common**” communication, therefore refers to the sharing of opinions, ideas, facts, opinions, information and understanding. It is the transfer of some information from one person to another person.

- 1) According to Allen “Communication is the sum of all things that one person does when he wants to create a miss-understanding in the mind of other. It is a bridge of meaning. It involves a systematic and continuous process of telling, listening and understanding”.
- 2) Dr. Mc Farland views communication as “a process of meaningful interaction among human beings. More specifically, it is the process by which meanings are perceived and understandings are reached among human beings.
- 3) A simple and concise definition of communication may be that it is a process of transmitting information, thoughts, opinions, messages, Silence facts, ideas, or emotions and understanding from one person, place or thing to another person, place or thing.

14.3 IMPORTANCE OF COMMUNICATION

1. It is a Tool of Supervision

“The communication information, ideas and decisions is a basic necessity for management. It is a tool of supervision which is in constant use and must always be in good condition. It is perhaps true that what makes leaders inspiring and outstanding, in addition to that vital spark of enthusiasm and an unshakable faith, is the ability to convey ideas and information clearly, and vividly and communicate to others.

2. It is The Mechanism through which Human Relations are Developed

“Effective communication is an essential ingredient in management employee relations. It may cement an organisation or disrupt it. In Western countries, it has worked as the lubricant of industry. It is the mechanism through which human relations have developed”.

3. Communication is as the Blood Stream is to a Person

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Communication is as necessary to an organisation as the bloodstream is to a person. Just as persons develop arteriosclerosis, a hardening of arteries that impairs their efficiency, to may an organisation develop infoscierosis, a hardening of the information arteries that produces a similar impaired efficiency.

4. Good Communication leads to good Co-ordination

The general sense of oneness of the unit and personal identification with the organisation as a whole is the overall objective of communication procedures.

In essence, communication seeks to unify, combine all the participants in a joint undertaking. Such unification is sought through an understanding of co-operative objectives couples with an independent appreciation of individual employee goals and ideal.

5. Good Communication leads to sound Management.

Peter Drucker has rightly said: "Good communication is the foundation for sound management". It is through a well-laid system of communication that the management succeeds in establishing links between different management functions viz., those of planning, organisation, co-ordination, direction and control. Peterson and plowman regard communication as an essential function of management. Because it is through Communication that subordinates come to know of the relevant instructions and orders of the boss, and their own duties and responsibilities. It is through communication that they submit their grievances, work reports, suggestions, etc. In fact, an effective and speedy communication ensures that there are no delays, bottlenecks, confusion, misunderstandings and distortions of facts, and establishes unity among all the concerned persons and departments. Thus good communication system leads to sound management.

6. Understanding Communication Leads To Understanding

A management depends on communication to achieve organisational objectives. Since managers work through others, all their acts, policies, rules, orders and procedures must pass through some sort of communication channel.

7. Maximum production at the Minimum Cost

Communication is also a means of bringing about maximum production at the lowest cost by maintaining good human relations in the organisation, by encouraging suggestions and implementing them whenever feasible. In fact, "it is impossible to have human relations without communication and vice versa".

14.4 PROCESS OF COMMUNICATION

There are eight stages involved in the process of communication.

1. Sender

This is the first and most important, step in the process of communication. Effective Communication depends upon the talent of the person who sends it.

2. Subject

Under this step, some ideas or information showing the matter to be sent is created, i.e.,

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there must be something to say before it can be said. According to IDJawlls9 the motto should be “Don’t start talking until you begin thinking” or “Be sure the brain is engaged before putting the mouth in gear.”

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3. Encoding

It is the third step when matter the ideas to be conveyed are put in to some forms of logical and coded message. This encoding may be in thought; it may be oral or written, it may be by letter or telegram, in verbal talks, or in physical or some other format of expression. An appropriate method of communication has to be selected by the sender for a message which will reach the receiver, who will give attention to it.

4. The Transmission of the Message

This is forth step in the process of communication. This step involves choosing channels through which the message travels. A message is the actual physical product from the encoding source. “When we speak, the speech is a message; when we write, the writing is the message. When we paint, the picture is the message. The message may be sent directly or through a proper channel. It involves use of some media it may be a face-to-face message, it may be a conversation, or it may be typed or written; or it may be in the form of gestures. The channel bridges the gap between the source and the receiver. Due to the advancement of technology many means have been developed to transmit the communication such as fax, phones, Internet, cell Phones, and Video Conferencing etc.

5. Medium

Selection of language is an important activity in having affective communication system. The chosen language must be known to the sender as well as to the receiver. There should be appropriate wave length between the sender and the receiver.

6. Receiver

It is the next step, when it is received, heard or read by a person for whom it was meant.

7. The Decoding Process

It is the next step, when receiver understands the message he has received, it may be interpreted and deciphered directly or indirectly through a thought process. The idea is that the receiver gets from the message the meaning that was intended by the sender.

8. Feedback

In this stage the receiver acts in response to the communication he has received. It may be ignored or task may be performed. The message may be filed for future references.

14.5 TYPES OF COMMUNICATIONS

1. Formal Communication

Formal Communications those that are “Official”, that are a part of the recognised communication system which is involved in the operation of the organisation. These communications may be oral or written. A formal communication can be from a superior to a subordinate, from a subordinate to a superior, intra-administrative, or external. Examples for this formal communications are government orders, proceedings and gazettes.

2. Informal Communication

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The Informal communications are those are “Outside” the formal recognised communication system. Informal organizations are not bound by any chart on the wall; by they are bound by conventions, customs, culture, etc. They include supplier, clients, unions, government agencies and community groups. Informal communications originate spontaneously outside the formal channels and are the natural responses to the need for social interaction.

3. Oral Communication

This communication is direct between employer and workers. This kind of communication is needed where the workers are illiterates and having language problems. It is also known as face to face communication. Oral discussions, Telephonic talk also come under this type of communication.

4. Written Communication

This always put in to writing and generally used when the receiver is at a distance or when a permanency of record is required or when there is no means to pass on the information orally. It is generally in the form if instructions orders, rules and regulations, policies, procedures, posters, memos, reports, information bulletins; in the form of items in magazines, newspapers, circlers, house journals.

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14.6 DIRECTIONS OF COMMUNICATION FLOW

Communication flows in various directions. Following are the directions of communications.

1. Downward Communication

In down word communication, the transmission of ideas of information takes place from superior to the subordinates. This includes instructions, directions, orders, guidelines issued to the Subordinates by the managers. Ex: Policies, Procedures, Rules, and Hand Books.

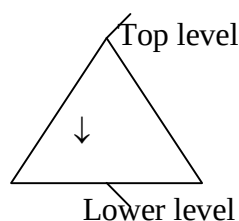


Fig. 1. Downward Communication Model

2. Upward Communication

Upward communication is from the workers to the inundated superior and from the latter to the higher management levels. The top management will be isolated if there is poor upward communication. It is also necessary to discover areas of clashes of interest, reconcile conflicts and co-ordinate efforts for a better utilization of men and material resources. Upward communication may be concerned with projection of ideas. Comments, reactions, reports on production (excess or shortage in quantity), statistics on labour

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turnover and absenteeism, attitudes and behaviour, expression of dissatisfied feelings and grievances, suggestions for important in quality, reduction in cost, etc. They also include participation in decision-making, and may prove 'de evaluative input on individual and unit performance.

Ex: Grievances, Suggestions, Attitude surveys, Performance reports.

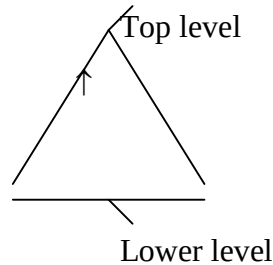


Fig.2. Upward Communication Model

3. Horizontal Communication

This can be called as ultra administrative as ultra-scaler. This is communication from one person at one level in an organisation to others at same level. It is particularly frequent between the line and staff units. It provides a means by which managers at the same level of an organisation co-ordinate their activities without referring all the matters to their superior. Henry. Fayal calls it as a 'Gang Plank'. His idea is that many matters can be handled at the some level of an organisation. In this way, one act speedily and at the same time, relieves superiors of unnecessary problems. For example copies of memoranda that flow to all the positions needing the information increase the co-ordination of effort.

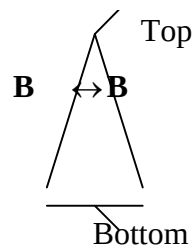


Fig. 3. Horizontal Communication Model

14.7 MEANS OF COMMUNICATION

Organisation uses the following methods to provide information to its own employees as well as to outsider those who wish to know about the organisation.

1. Hand Books

These consist of the information related to the aims and objectives of the organisation, productions, employees' particulars, disciplinary actions rules and regulations etc.

2. House Magazines

Some organisations maintain one or more employee magazines or journals. These are meant to keep employees well informed of the developments in the business and to acquaint them with the personalities and activities of the organisation.

3. Newspapers

A well brought out and skillfully edited employees paper provides an excellent opportunity for communication with employees. It may have a few pages exclusively devoted to the employees in which their voice, in the form of letters, is given special attention.

4. Financial Reports

These reports show, the essential facts concerning to the conduct of business of the organisations.

5. Bulletin Boards

Some organisations keep bulletin boards to provide day to day information to its employees and public.

6. Museums & Exhibitions

These may be used for displaying good workmanship, quality control ideas and good designs, photographs may be exhibited in them.

7. Posters

Some organisations use posters to publicize their products, aims and objectives.

8. Meetings with Public

Some Organisations conduct seminars, symposiums and conferences in order to give the details of the Organisation and to know the opinions of the public towards the functioning of the organisations. Ex: A college conducts parents committee meeting.

9. Electronic Mail

When messages are delivered or transferred employing computers it is called Electronic mail. The people who are connected through this system have mail boxes to store messages. The messages are sent in single trial at any time without disturbing the receiver. At this convenience the receiver can review the stored messages.

10. Fax

Fax similar machine: It is used to send or receive pictures or documents. At the sending the fax machine scans the document and at the receiving end fax machine decodes the scanned images and information

11. Internet

It is an online communication system through which the sender gives information any part of the world through computers.

14.8 CHANNELS / NETWORKS OF COMMUNICATION

A communication channel is a pathway, route or medium by which information and understanding are passed from a sender to a receiver, for example, a chain of command or a grapevine is a channel. Communication between departments or between two companies constitutes channels.

1. Circuit Communication

The communication situation involving just two persons is a circuit communication model. It includes not only the flow of information to the receiver but also the flow of feed back

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to the sender, for the model forms a closed circuit, which is known as the circuit communication model.

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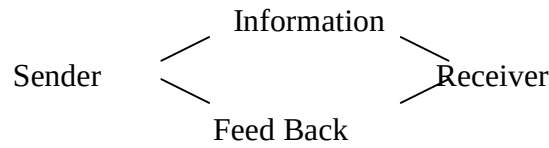


Fig. 4.Circuit Communication Model

2. Star networks

All the persons can communicate with one person but cannot communicate among themselves. Here A is the central or key figure (may be the leader/Chairman or president) coordinating the work of those under him. This net work is known as a star communication model because it is drawn in the shape of a star.

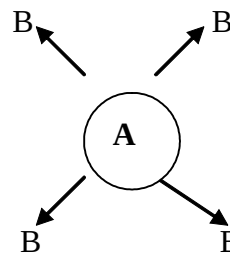


Fig. 5. Star Network model

3. Chain Model

In this chain model, the information flows either from top to bottom or bottom to top.

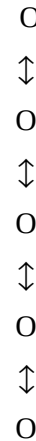


Fig. 6. Chain Model

14.9 BARRIERS TO COMMUNICATIONS

Communication, when it is impeded and does not reach the receiver, is often somewhat ineffective, and the impediments are known as barriers.

1. Personal Barriers

Which arise from the judgments, emotions and social values, and give rise to a psychological distance. It has been rightly said that “our emotions act as filters in nearly all our communication. We see and hear what we are emotionally ‘tuned’ to see and hear,

Thus, communication cannot be separated from our personality”.

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2. Semantic Barriers

Arise from the limitations of the symbol itself, for symbols usually have a variety of meanings. A true measuring, therefore, can be gathered only from reference to the context.

3. Physical

Which are due to environmental factors, such as weather disturbance, physical distance, distracting noises, etc.

4. Psychological Barriers

Are connected with the status symbol of an executive-his private dining room, higher position, status, prestige, etc., make subordinates feel a sense of inferiority or embarrassed in his presence; and this creates a difficulty in communication between people at different hierarchical levels.

5. Filtering

This is the result of biased choice of what is communicated, a “protective device” that is, the subordinates say only what the manager wants to hear. Selective telling and selective hearing are filtering barriers.

6. Faulty Expression or bad Translation

As a result of which communication is vague, and is badly expressed in inadequate words, it shows a poor organisation of ideas which leads to lack of clarity and precision.

7. Poor Supervision

The supervisor may act as a self-appointed censor and block information from going up or down. The unwillingness to communicate and his failure to understand the need for communication makes for the dead spots in communication.

8. Insincerity and lack of Confidence are inter - Related

“Insincerity” means that communication is superficial, while “lack of confidence & implies that what is being communicated or who is communicating is distrusted.

9. Mechanical Barriers

Connected with the technical impediments in the way of communication within a company. These comprise barriers arising out of organisational structure, where responsibility and authority are not properly assigned. “If channels are not clear, if there are dead ends, blocked passages or bottlenecks, communication is chaotic and non-existent.”

10. Fear of Reprisal

Where an employee holds back information that a frank criticism, a verbal grievance, a non-conforming opinion may get him unpleasant duties, may get him transferred or even may cost him a raise or a promotion, or may result in the loss of his job.

14.10PUBLIC RELATIONS MEANING

Meaning

Public Relations means the development of cordial, equitable and, therefore, mutually

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profitable relations between a business, a industry or organisation and the public. It is a technique through which an organisation consciously attempts to fulfill its social responsibilities and secure public recognition and approval to accomplish success in its objective.

In the field of public administration, it is a process by which the governmental organisation analysis the need and desires of the people in order to conduct itself more responsively towards them. Public relations is a planned program of policies and action designed by Public Administration to build public confidence and increase public understanding of the policies and the measures of the government.

Definitions

The term '**public relations**' stands for governmental relations with the public. There are many definitions to public relations a few of them are:

1. "Public relations are a process whereby an organisation analyses the needs and desires of all interested parties in order to conduct itself more responsibly towards them".
- **Rex Harlow**
2. "Public relations are the business of gaining and maintaining public understanding and support".
- **Bertrand Canfield**
3. "Public relations is knowing what the public expect and explaining how administration is meeting these desires".
- **J.D.Milleu**
4. "Public relations are a planned programme of policies and actions designed by an administrator to build public confidence in and increase public understanding of this programme or agency".
- **Dimock & Dimock.**

From the above definitions, it is clear that there is no generally agreed definition on public relations. But there is a fair degree of consensus of opinion about their basic contents they include; Knowing public desires and aspirations, advising the people about what they should desire, ensuring satisfactory contact between the public and government officials, keeping the public informed about what an organisation is doing.

14.11 IMPORTANCE OF PUBLIC RELATIONS

The purpose of public relations is not only to supply information but also to encourage an understanding and cooperation between the citizens and the public servants. In the modern times organisations have to deal with a large number of public ranging from their own employees to specific interest groups. Public relations are primarily concerned with the problems of legitimizing the organisation in the environment there by ensuring that the latter and its objectives would be accepted by the different sets of public or clientele groups. With the growing differentiation of managerial skills required at the decision making level policy formulators have increasingly relied public relations officers to assess clientele responses and demands. Prof. Demock says 'a public relations programme may be designed for both defensive and offensive purposes. The defensive aspect of it protects the organisation from attack and misunderstanding and offensive enhances its prestige and influence'. In a developing country like India government. cannot successfully implement its socioeconomic development programmes without people support and

participation. A public relations programme helps in focusing and highlighting the welfare programmes and leads to change in the progressive direction.

Communication and Public Relations

14.12 PROCESS OF PUBLIC RELATIONS

There are four steps involved in the process of public relations. They are

1. Finding Actual Information

It means identifying the people and organisations that are in need of public relations and conducting various studies and researches to know the actual information and handing over it to the needy organisations.

2. Planning of Public Relations Programmes

Depending upon the information collected various plans of short term and long-term should be prepared and analysed after implementation. So that the problems can be identified and practical oriented plans can be made.

3. Communication

Communication occupies important place in the implementation of the planned programmes. Without communication no plan can achieve expected progress. In communication process source receiver and mode of communication should identified clearly then only the goals of the organisation can be achieved.

4. Assessment

Without assessment problems of the organisation cannot be rectified. With the help of assessment problems will not be repeated and new problems can be faced effectively.

14.13 TOOLS AND TECHNIQUES OF PUBLIC RELATIONS

There are several tools and techniques of public relations. Some of them are

1. Complaint Handling

No organisation whether it is private or public can ensure complete satisfaction of the people and to know the causes. of that dissatisfaction they maintain complaint handling cells Nowadays public offices including bus stops , railway stations and private organisations are instituting complaint boxes to receive the complaints from the public. And there are separate information departments at state level and public grievances committees to deal with grievances against government. departments. A good complaint handling system can provide

- An opportunity for registering the complaints and getting them redressed.
- Build people support for the organisation activities
- Provide organisation with valuable information about operation and functioning of its employees.
- Helps in exercising external control.
- Assists the agency in evaluating and planning of its activities.

2. All India Radio and T.V

Radio and T. V are two important means of communication which are playing a good

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role in maintaining public relations in developing India. Due to the electronic revolution all over the world televisions have received a boost in India. With the introduction of cable television all most all the villages of independent India are having television. These two important electronic media give publicity too the activities policies and programmes of the government. It also helps the government to know the opinion of the people by conducting discussions, to broadcast over Radio and telecast on the television. They have a strong impact upon the formation of public opinion Because of these advantages some states like Andhra Pradesh are conducting '**phone -in-programme**' with the people both at the state and district level in which the people expresses their opinions and register the complaints with the officials concerned . With the help of this electronic mass media people are getting direct access to the important functionaries of the state.

3. Press

Press, which is an important medium of publicity, consists of daily news papers, periodical magazines and helps the government in maintaining good public relations. Government releases news items such as press communiqués, press notes and notifications to the press and uses the press as a channel for knowing people's reactions to its various policies and programmes news papers offer a constructive criticism of the activities of the government. through their editorials. To maintain all these things the government. of India has a special agency called press information bureau. It serves not only the Indian press but also the foreign press stationed in India by providing them with news material and photographs concerning the activities of the government. of India. Press information bureau's services are made available in Hindi and English. It organises press conferences for ministers and high officials to explain the press about the purpose of important government. decisions or policy statements.

4. Publications Division

Publications division in the ministry of Information and broadcasting is responsible for the production, distribution and sale of popular pamphlets, books journals which provide authentic information about countries cultural heritage, the activities of the government., the progress of development programme and places of tourist interest Publications are brought in English, Hindi and other regional languages and the similar role is performed in the state by the dept. of Information and broadcasting.

5. Directorate of Advertising and Visual Publicity

Dept. of Information and publicity at the state and Directorate of advertising and visual publicity at the centre take the responsibility of advertising and visual publicity in India. These are responsible for planning production and release of display advertisements to news papers and periodicals the designing and production of printed publicity materials and the issue of classified advertisements on behalf of the various ministries and departments. It organises exhibitions and releases posters hoardings calendars and cinema slides for visual and outdoor publicity. It also takes the responsibility of selling advertisement spaces in government journals and periodicals.

6. Films Division

Films division is responsible for production and distribution of government. of India news reels and documentary films for the general information and education of the public. The

subjects for documentaries are selected at the beginning of financial year and lists of approved producers are given the responsibility of producing them under the guidance and supervision of films division. Besides these foreign news items received under exchange arrangements are included in the news reels. These documentaries and news reels are distributed all over India through the distribution offices of the division and under exchange or other arrangements in foreign countries.

7. Research and Reference Division

The functions of this division are to undertake basic research on matters of publicity to provide guidance and background notes on current and other topics to build up a compendium of knowledge on important subjects and to prepare publicity material for the use of various media units of the ministry. In addition it undertakes various topics for research referred to it by ministries and departments.

8. Directorate of Field Publicity

The country has been divided into 14 regions with nearly 100 mobile units. For the purpose of field publicity, the activities of the field units are concentrated primarily in large fairs, festivals and the occasions where the large number of people collects. In rural areas regular publicity activities are organised with the help of district and block authorities regarding small savings, family planning, aids, black magic etc. and various other topics. In addition to the above tools and techniques, some of the new techniques are introduced due to the concept of e-governance. They are:

9. Video Conferences

With the help of this new technique, the Chief Minister and other important dignitaries at state level can interact directly with the people and officials at grass root level and know their preferences, problems and opinions. It is in operation in some of the enthusiastic states like Andhra Pradesh.

10. Phone-in-Programme

It is another media of direct contact with the Chief Minister or any other important dignitaries concerned. Based on this, the government of A.P. is organising 'Dial your C.M.' programme in which the people of the state can interact with the Chief Minister over the telephone and express their opinion on a particular topic. And they can complain to the Chief Minister or the officials at local level or state level about their incapacity, corruption, or maladministration. It helps the Government to maintain effective control over administration.

11. Internet

Electronic revolution has introduced this new concept with the help of the government. It can create its own website and by updating it with its plans and programmes, it can ensure the people to know about its policies and functions.

12. Fax and E-Mail

With the help of these two methods, people can send their opinions and complaints about their sufferings to the officials at state level without any bureaucratic hurdles like red tapism.

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14.14 LIMITATIONS TO PUBLIC RELATIONS

1. Propaganda

There is a difference between publicity and propaganda but nowadays the organisations and institutions are giving importance to propaganda and hiding the facts about their functioning.

2. Not PRO's but Publicity Officers

Public relations officers are merely becoming publicity officers and they are working as agents of government. and instead of reflecting the opinions of the people they are filtering the facts and sending favorable positive information to the government. by suppressing negative unfavorable information.

3. More Emphasis on Publicity of Public Relations

Most of the institutions, government. offices are giving importance to give publicity about public relations rather than maintaining cordial relations with the people.

4. Expensive

Governments are spending crores of rupees on publicity in the name of maintaining public relations. They are spending this amount on publicity tactics instead of spending developmental activities.

14.15 SUMMARY

Communication is an important activity in an Organisation. It is like a software to Organization. The management depends mainly on communication to achieve its aims and objectives.

Communication is the 'life-blood' and 'foundation-stone' of the successful working of an organisation, for it puts a check on many rumors, misunderstanding and gossip when plans, ideas, information, etc are circulated among employees. At the same time, it makes their reaction known so that any difficulty in the proper implementation of policies and observance of rules may be removed. We conclude this lesson with the words of Bernard "In an exhaustive theory of organisation, communication would occupy a central place, because the structure, extensiveness, and scope of organisation are almost entirely determined by communication techniques. Public relations are occupying an important place in the present day new Economic system in which the monopoly of a few organisations is outdated. Because of this the government and private institutions are trying to develop the new methods and techniques of public relations to win the confidence of the people. In a democracy the governments which maintain cordial relations with the people will rule the people.

14.6 KEY WORDS

1. Communication

Communication is a process of meaningful interaction among human beings. More specifically, it is the process by which meanings are perceived and understandings are reached among human beings.

2. Transmission of the Message

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This is forth step in the process of communication. This step involves choosing channels through which the message travels. A message is the actual physical product from the encoding source. “When we speak, the speech is a message; when we write, the writing is the message. When we paint, the picture is the message. The message may be sent directly or through a proper channel.

3. Public relations

Public relations are a planned programme of policies and actions designed by an administrator to build public confidence in and increase public understanding of this programme or agency

4. Communication

Communication occupies important place in the implementation of the planned programmes. Without communication no plan can achieve expected progress. In communication process source receiver and mode of communication should identified clearly then only the goals of the organisation can be achieved.

5. Publications Division

Publications division in the ministry of Information and broadcasting is responsible for the production, distribution and sale of popular pamphlets, books journals which provide authentic information about countries cultural heritage, the activities of the government., the progress of development programme and places of tourist interest Publications are brought in English, Hindi and other regional languages and the similar role is performed in the state by the dept. of Information and broadcasting.

6. Importance of Public Relations

Public relations are primarily concerned with the problems of legitimizing the organisation in the environment there by ensuring that the latter and its objectives would be accepted by the different sets of public or clientele groups. With the growing differentiation of managerial skills required at the decision making level policy formulators have increasingly relied public relations officers to assess clientele responses and demands.

7. Press

Press, which is an important medium of publicity, consists of daily news papers, periodical magazines and helps the government in maintaining good public relations. Government releases news items such as press communiqués, press notes and notifications to the press and uses the press as a channel for knowing people’s reactions to its various policies and programmes news papers offer a constructive criticism of the activities of the government through their editorials.

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14.17 ANSWERS TO ‘CHECK YOUR PROGRESS’

1. What is the meaning and definitions of communications?

Meaning

The word communication has been derived from the Latin word “**Communis**” which means “**Common**” communication, therefore refers to the sharing of opinions, ideas,

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facts, opinions, information and understanding.

Definitions

Dr. Mc Farland views communication as “a process of meaningful interaction among human beings. More specifically, it is the process by which meanings are perceived and understandings are reached among human beings.

A simple and concise definition of communication may be that it is a process of transmitting information, thoughts, opinions, messages, Silence facts, ideas, or emotions and understanding from one person, place or thing to another person, place or thing.

2. What is the importance of communication? Explain in detail.

- i. **It is a Tool of Supervision:** “The communication information, ideas and decisions is a basic necessity for management. It is a tool of supervision which is in constant use and must always be in good condition.
- ii. **It is The Mechanism through which Human Relations are Developed:** “Effective communication is an essential ingredient in management employee relations. It may cement an organisation or disrupt it.
- iii. **Communication is as the Blood Stream is to a Person:** Communication is as necessary to an organisation as the bloodstream is to a person. Just as persons develop arteriosclerosis, a hardening of arteries that impairs their efficiency, to may an organisation develop infoscierosis, a hardening of the information arteries that produces a similar impaired efficiency.
- iv. **Good Communication leads to good Co-Ordination:** The general sense of oneness of the unit and personal identification with the organisation as a whole is the overall objective of communication procedures.
- v. **Good Communication leads to sound Management:** It is through communication that they submit their grievances, work reports, suggestions, etc. In fact, an effective and speedy communication ensures that there are no delays, bottlenecks, confusion, misunderstandings and distortions of facts, and establishes unity among all the concerned persons and departments. Thus good communication system leads to sound management.
- vi. **Understanding Communication Leads To Understanding:** A management depends on communication to achieve organisational objectives. Since managers work through others, all their acts, policies, rules, orders and procedures must pass through some sort of communication channel.
- vii. **Maximum production at the minimum cost:** Communication is also a means of bringing about maximum production at the lowest cost by maintaining good human relations in the organisation, by encouraging suggestions and implementing them whenever feasible.

3. What are the communication barriers?

- i. **Personal barriers:** Which arise from the judgments, emotions and social values, and give rise to a psychological distance. It has been rightly said that “our emotions act as filters in nearly all our communication

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- ii. **Semantic barriers:** Arise from the limitations of the symbol itself, for symbols usually have a variety of meanings. A true meaning, therefore, can be gathered only from reference to the context.
- iii. **Physical:** Which are due to environmental factors, such as weather disturbance, physical distance, distracting noises, etc.
- iv. **Psychological barriers:** Are connected with the status symbol of an executive- his private dining room, higher position, status, prestige, etc., make subordinates feel a sense of inferiority or embarrassed in his presence; and this creates a difficulty in communication between people at different hierarchical levels.
- v. **Filtering:** This is the result of biased choice of what is communicated, a “protective device” that is, the subordinates say only what the manager wants to hear. Selective telling and selective hearing are filtering barriers.
- vi. **Faulty expression or bad translation:** As a result of which communication is vague, and is badly expressed in inadequate words, it shows a poor organisation of ideas which leads to lack of clarity and precision.
- vii. **Poor supervision:** The supervisor may act as a self-appointed censor and block information from going up or down. The unwillingness to communicate and his failure to understand the need for communication makes for the dead spots in communication. **Insincerity and lack of confidence are inter - related:** “Insincerity” means that communication is superficial, while “lack of confidence & implies that what is being communicated or who is communicating is distrusted.
- viii. **Mechanical barriers:** Connected with the technical impediments in the way of communication within a company. These comprise barriers arising out of organisational structure, where responsibility and authority are not properly assigned.
- ix. **Fear of reprisal:** Where an employee holds back information that a frank criticism, a verbal grievance, a non-conforming opinion may get him unpleasant duties, may get him transferred or even may cost him a raise or a promotion, or may result in the loss of his job.

3. What is the meaning of Public Relations?

Public Relations means the development of cordial, equitable and, therefore, mutually profitable relations between a business, a industry or organisation and the public. It is a technique through which an organisation consciously attempts to fulfill its social responsibilities and secure public recognition and approval to accomplish success in its objective. It is a process by which the governmental organisation analysis the need and desires of the people in order to conduct itself more responsively towards them. Public relations is a planned program of policies and action designed by Public Administration to build public confidence and increase public understanding of the policies and the measures of the government.

4. What is the importance of Public Relations in Government sector?

Public relations are primarily concerned with the problems of legitimizing the organisation in the environment there by ensuring that the latter and its objectives would be accepted by the different sets of public or clientele groups. With the growing differentiation of

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managerial skills required at the decision making level policy formulators have increasingly relied public relations officers to assess clientele responses and demands. Prof. Demock says 'a public relations programme may be designed for both defensive and offensive purposes. The defensive aspect of it protects the organisation from attack and misunderstanding and offensive enhances its prestige and influence'. In an developing country like India government cannot successfully implement its socioeconomic development programmes without people support and participation.

5. What are the Tools and Techniques of Public Relations?

i. Complaint Handling

ii. No organisation whether it is private or' public can ensure complete satisfaction of the people and to know the causes. of that dissatisfaction they maintain complaint handling cells Nowadays public offices including bus stops , railway stations and private organisations are instituting complaint boxes to receive the complaints from the public.

iii. **All India Radio and T.V** : Radio and T. V are two important means of communication which are playing a good role in maintaining public relations in developing India. Due to the electronic revolution all over the world televisions have received a boost in India. With the introduction of cable television all most all the villages of independent India are having television.

iv. **Press** : It is an important medium of publicity, consists of daily news papers, periodical magazines and helps the government in maintaining good public relations. Government releases news items such as press communiqu6s, press notes and notifications to the press and uses the press as a channel for knowing people's reactions to its various policies and programmes news papers offer a constructive criticism of the activities of the government. through their editorials.

v. **Publications Division:** Publications division in the ministry of Information and broadcasting is responsible for the production, distribution and sale of popular pamphlets, books journals which provide authentic information about countries cultural heritage, the activities of the government., the progress of development programme and places of tourist interest Publications are brought in English, Hindi and other regional languages and the similar role is performed in the state by the dept. of Information and broadcasting.

vi. **Directorate of Advertising and Visual Publicity:** Dept. of Information and publicity at the state and Directorate of advertising and visual publicity at the centre take the responsibility of advertising and visual publicity in India. These are responsible for planning production and release of display advertisements to news papers and periodicals the designing and production of printed publicity materials and the issue of classified advertisements on behalf of the various ministries and departments.

vii. **Films Division:** Films division is responsible for production and distribution of government. of India news reels and documentary films for the general information and education of the public.

14.18 REVIEW QUESTIONS

Communication and Public Relations

Essay type Questions

1. Describe the importance of communication in an organisation.
2. Explain the communication barriers.
3. Explain in detail about the process of public relations?
4. Critically examine Tools and Techniques of public relations?
5. Describe the limitation to public relations?
6. What is mean by public relations and explain about the nature of public relations?

Short type Questions

1. What is the importance of communication?
2. What is the meaning of communication?
3. What is meant by Public Relations?
4. What are the tools of Public Relations?
5. What is Press?
6. What is the importance of Public Relations in the present era?

14.19 SUGGESTED READINGS

1. Mamoria C.B. Personnel Management.
2. Scholz, W, Communication in Business Organisations.
3. Kuppaswamy, Communication and Social Development.
4. A.R.Bal, Modern Politics and Government.
5. J.C.Charles Worth, Governmental Administration.
6. E.N.Gladeen, Approach to Public Administration.
7. H.A.Simon, Administrative Behaviour.
8. Mohit Bhattacharya, Public Administration.

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Lesson 15

NEW PUBLIC ADMINISTRATION

Structure

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15.0 AIMS AND OBJECTIVES

After reading this lesson, you will be able to

- Understand theory and practice of Public Administration
- Explain Minnowbrook Conferences

15.1 INTRODUCTION

Periods of turbulence, instability and confusion are often seen in history to produce new thought waves which seek to challenge the traditional contents of academic disciplines and thus impart to them new direction, sense and purpose. These new sets of ideas are sometimes so significant and they are commemorated by imparting the adjective 'New'. We have thus come to have 'New Left', 'New Federalism' etc. Since 1968 the vocabulary of Public Administration has been enriched by the emergence of what has come to be known as 'New Public Administration'.

15.2 MEANING

New Public Administration was largely based on the Minnowbrook Conference held in 1968, and New Public Administration cannot be fully understood except in terms of that academic get-together. But the seeds had been sown much earlier, and the following may

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be considered as the landmarks in the growth and emergence of New Public Administration

1. The Honey Report on Higher Education for Public Service, 1967.
2. The Conference on the Theory and Practice of Public Administration, 1967.
3. The Minnowbrook Conference, 1968.
4. Public of Toward a New Public Administration: The Minnowbrook Perspective, edited by Frank Marini, 1971.
5. Publication of Public Administration in a Time of Turbulence edited by Dwight Waldo, 1971.

15.3 THE HONEY REPORT ON HIGHER EDUCATION FOR PUBLIC SERVICE (1967)

In 1966, an affiliate of the American Society for Public Administration asked John C. Honey of the Syracuse University to undertake an evaluative study of Public Administration as a field of study in the U.S. universities. The Honey Report, submitted in 1967 is significant in the sense that it disclosed the true state of health of the discipline of Public Administration. It sought to broaden the subject's scope by making it conterminous with the total governmental process (executive, legislative and judicial). It identified four problems confronting it and suggested immediate action on them

1. Insufficient resources at disposal of the discipline (students, faculty and research funds).
2. Intellectual argument over the status of the discipline: Is it a discipline, a science or profession
3. Institutional weakness (inadequacy of public administration departments).
4. Gap between scholars of public administration and the practising administrators.

The Honey Report made the following eleven recommendations

1. The establishment of a National Commission Public Service Education to exert broad leadership in meeting the needs of governments for educated manpower.
2. A substantial fellowship programme (perhaps initially 2,500 a year) for post-graduate students who are preparing for public service at the master's and doctoral levels and also including preparation for professional degrees.
3. Internship programmes to operate at federal, state and local levels for post-graduate students and advanced undergraduates preparing for public service careers.
4. A special fellowship programme for those planning to become teachers in schools and programmes of public administration and public affairs.
5. A programme to provide opportunities for practical governmental experience to university faculty engaged in public affairs teaching and research.
6. A programme of assistance to universities for public affairs, curricular experimentation and development.

7. Support for university personnel engaged in research on governmental and public affairs issues.
8. Support from federal state, and local governments, as well as from private industry, for the provision of facilities to schools and programmes of public administration and public affairs.
9. The establishment of an advisory service for new public affairs programmes and the development of personnel rosters to provide current information on experienced graduates of schools of public administration and public affairs.
10. It recommended that a study of the universities and education for public service be undertaken, the purposes to show how various types of institutions now approach their public service, educational and other tasks and to identify stimulative and innovative development as well as deficiencies and problems.
11. The second major and closely associated research proposal was for a study of the professions, professional education and the public service.

The Honey Report aroused interest as well as controversy in the United States. What is said was important but what it did not say carried even greater meaning. It, for instance, said nothing about Public Administration's role in a strife-torn tumultuous society of the period. Did the discipline have nothing to say about the current social problems. The Report induced many scholars to think deeply about its place and role in the society and thus it, in a way, acted as a catalyst in encouraging discussion on its adequacy in solving societal problems.

15.4 CONFERENCE ON THE THEORY AND PRACTICE OF PUBLIC ADMINISTRATION (1967)

Believing that "there have been some rapid developments in the field and that a new synthesis or selective appraisal would be currently useful", the American Academy of Political and Social Science organised a conference in Philadelphia in December 1967, to discuss the topic: 'The Theory and Practice of Public Administration; Scope, Objectives and Methods'. James C. Charlesworth, chairman of the conference, thus described the feelings of the participants :

The participants in this meeting evinced a mood to make a bold and synoptic approach to the discipline of Public Administration and sought to measure the importance of Public Administration in a broad philosophic context and to consider whether it is an adornment of the mind as well as a practical instrument of government.

Varied were the views expressed by the participants. Public Administration was viewed as an academic discipline, as a field exercise, and as a profession. Some defined Public Administration as administration in the 'public interest' while others made it coterminous with 'governmental administration'. There was thus no agreed definition of public administration but there emerged a broad consensus on the following points

1. It is just as difficult to delineate the scope of Public Administration as it to define it.
2. Public Administration agencies make policy and the policy administration dichotomy is erroneous.

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3. American Public Administration as a discipline should deal restrictively with public administration in America.
4. Bureaucracy should be studied functionally as well as structurally.
5. Public Administration and Business Administration training should not be combined since they are similar only in unimportant aspects.
6. Public Administration as a profession should remain separate from the profession and discipline of political science.
7. Normative administrative theory as well as descriptive analytic theory in Public Administration is in a state of disarray.
8. A hierarchical/pyramidal view of organizational authority is no longer appropriate; administrators must view workers as "coordinates" rather than "subordinates". The executive is not so much on top as he is in the centre, being affected by "subordinates who surround him."
9. Policy and political considerations are replacing management ability as the major focus of concern in Public Administration. Computerised information is not good simply because it is computerised. Nor does PPBS provide reliable political answers. Quantification and cost analysis cover only a small part of the total factors in a decision.
10. Administrators of the future should be trained in professional schools; public administration curricula should emphasize not only administrative organization and procedures but also the "psychological, financial, sociological and anthropological envelopment of the subject".
11. Public Administration has not been able to deal with societal problems. Public Administration theory "has not caught up with emerging problems, like the huge military industrial complex, riots, labour unions and strikes, public school conflicts, slums, the impingement of science and developing countries".
12. Public Administration is a discipline but it cannot employ all the methodologies of the contemporary social science. While parts of Public Administration are capable of using scientific methods, others which are the most important parts of the discipline are not amenable to scientific treatment. In the words of Charlesworth: "We can be scientific, if we severely limit the scope of our discipline, but if we did, would we not excise its most valuable parts? And we are scientific in some corners, our subject is heavy with values and prescriptions, we can never be scientific". It is significant that some at least of these views found full-throated expression in the Minnowbrook Conference and thus viewed, the Philadelphia Conference could be credited with being a Precursor of the Minnowbrook event.

15.5 THE MINNOWBROOK CONFERENCE (1968)

The genesis of the Minnowbrook Conference lay in two factors. First, the 1960s was a turbulent period besieged by numerous societal problems, but Public Administration showed no signs of being aware of them, much less being serious to solve them. This was well highlighted by Waldo's article on 'Public Administration in a Time of Revolutions', published

in Public Administration Review in 1968. Secondly, there was a need to hear young scholars and practitioners of the discipline as Public Administration was facing a kind of generation gap. The Philadelphia Conference, it may be noted, was attended by participants who were above the age of 35 years and, the majority of whom being even in their fifties and sixties. Where were the scholars and practitioners who were in their thirties. The younger age-group was invited to the Minnowbrook Conference. The Minnowbrook Conference was the youth conference on Public Administration and it was this academic get-together which gave rise to what has come to be known as 'New Public Administration'. According to many, New Public Administration was the product of New Left Caucus in action.

The Minnowbrook deliberations were summarised by Mathew Crenson in the following words

"Well, it might be useful to try to sum this up, and under two general headings. First, are there any common themes under all this smoke of discussion as reported to us and second are they new?

"First, I think there are common themes: Almost every group arrived at the conclusion that there ought to be greater emphasis upon normative concerns in Public Administration. That leads to the question about the role of the administrator, whether he should be value neutral or somehow committed to policies or to value neutrality. That leads to the next question: If administrators are committed to certain values, what do they do. And the answer to that on the part of some people seems to be that Public Administrators should act as agents of change, which leads to the next question: What sorts of organizations must there be in order for change to be facilitated? Which leads to: What things should organizations respond to in changing, namely, the environment? Others seem to put greater emphasis upon environmental factors, consequences for the environment of things in the organisation of administration. The question is, of course, whether there is agreement on all these things, and if there is, whether that's 'new'".

The keynote of New Public Administration is an intense sensitivity to and concern for the societal problems of the day. Its parameters are relevance, post-positivism, morals, ethics and values, innovation, concern for clients, social equality, etc. New Public Administration is to quote Dwight Waldo, 'some sort of movement in the direction of normative theory, philosophy, social concern and activism'. The proponents of New Public Administration express their dissatisfaction with the state of the discipline of Public Administration and want it to be alive to problems presented by the 'turbulent times'. The advocacy for a post-positive approach emphasized the need to abandon value-free and value-neutral research and instead to cultivate an approach emphasizing social equity. Social equity means that public administrators should become champions of the under-privileged sections of the society. This implies that they must become active agents of change and non-believers in status quo. New forms of organization need to be carved out to suit the fast-changing environment. Emphasis is placed on cultivation of client-loyalty and programme-loyalty. The four basic themes of New

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Public Administration are relevance, values, social equity and change. Mention must be made of the Second Minnowbrook Conference held in 1988 twenty-years after the first conference. Ethics is most emphasised in New Public Administration.

The Minnowbrook Conference may rightly be credited with the honour of having produced the first coherent grammar of New Public Administration. It was this Conference which expressed, very loudly, and clearly the dissatisfaction with the state of the discipline. It was the first one which sought to give a new image to Public Administration a subject actively concerned with the problems of the society and full of reformist intentions.

15.6 THE MINNOWBROOK PERSPECTIVE, AND PUBLIC ADMINISTRATION IN A TIME OF TURBULENCE

The Minnowbrook ideas found wider circulation through the above mentioned two works edited by Marini and Waldo respectively. Marini's *Toward a New Public Administration*: The Minnowbrook Perspective is the first published work on New Public Administration and is thus a pioneer in the area. Dwight Waldo's *Public Administration in a Time of Turbulence* carries forward the Minnowbrook idea. At the 1969 annual conference of the American Political Science Association, a series of panel discussions were organized by him, his attempt being to catch the younger age group. Waldo's work includes the papers presented at the conference.

There has been no serious publication on New Public Administration since 1971. Surely, articles have been appearing, but they fall into two broad categories. Some of these articles support the movement while others criticize, even denounce it.

The classical values of public administration have been efficiency, economy, productivity and centralisation. New Public Administration fosters a new set of values. It advocates humanism, decentralisation, delegation, pluralism, personal growth, individual dignity etc. It rejects the view that administration is value-neutral. It advocates citizen participation and neighbourhood control over street-level bureaucracies. It supports bureaucratic responsiveness.

One may in the end conclude that the classical values of public administration like efficiency, economy etc., are not entirely irrelevant. What is being suggested is that public administration merely committed to efficiency and economy can still perpetuate injustice, inequality and poverty. Here lies the significance of New Public Administration. Trade-offs between the classical values and the new urges must be arrived at. H. George Frederickson has rightly observed that the importance of productivity, efficiency and economy can not be denied. But he asserts: "The most productive government can still perpetuate poverty, inequality of opportunity and injustice. Both the classic bureaucratic model and the neo-bureaucratic model (of Herbert Simon, with focus on decision-making) offer little to offset these tendencies. Therefore, modern public administration must search for theories and norms consistent with what Vincent Ostrin calls 'democratic administration'. What therefore

J. Rawls calls as 'beyond ballot box democracy' entails a heavy re-structuring of public administration, especially in terms of its orienting values.

15.7 EVALUATION

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New Public Administration has certainly broken fresh ground and imparted new substance to the discipline. In the process, it has prepared an agenda for action, a part of which at least is of populist nature. One also suspects that its advocates are trying to arrogate to themselves what really falls within the legitimate domain of political institutions, processes and leadership. New Public Administration has some radical contents but these can be successfully implemented only by legislative and political will. Even otherwise, there is lack of skills and technologies to implement what New Public Administration visualises. Notwithstanding its limitations and weaknesses, New Public Administration has seriously jolted the traditional concepts and views of the discipline and has enriched the subject by imparting a larger perspective and by linking it closely to the society. This is no small gain. At the same time, it is too unrealistic to portray New Public Administration in very heroic terms.

New Public Administration is a uniquely American phenomenon founded in circumstances not present in India. Besides, the discipline of Public Administration in India is still relatively weak not having adequate funds, faculty and followers. It, moreover, is still largely derivative in its nature, not sufficiently rooted in the indigenous soil. The challenge before the discipline is that it should come to terms with the country's historical, institutional and social setting. Public Administration should derive life and strength from the country's environment and besides, develop suitable response system to the latter.

15.8 SUMMARY

New Public Administration was largely based on the Minnowbrook Conference held in 1968, and New Public Administration cannot be fully understood except in terms of that academic get-together.

15.9 KEYWORDS

Minbrook Conference: The genesis of the Minnowbrook Conference lay in two factors. First, the 1960s was a turbulent period besieged by numerous societal problems, but Public Administration showed no signs of being aware of them, much less being serious to solve them. This was well highlighted by Waldo's article on 'Public Administration in a Time of Revolutions', published in Public Administration Review in 1968. Secondly, there was a need to hear young scholars and practitioners of the discipline as Public Administration was facing a kind of generation gap. The Philadelphia Conference, it may be noted, was attended by participants who were above the age of 35 years and, the majority of whom being even in their fifties and sixties. Where were the scholars and practitioners who were in their thirties. The younger age-group was invited to the Minnowbrook Conference. The Minnowbrook Conference was the youth conference on Public Administration and it was this academic get-together which gave rise to what has come to be known as 'New Public Administration'. According to many, New Public Administration was the product of New Left Caucus in action.

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15.10 REVIEW QUESTIONS

1. Explain conference on theory and practice of public Adminsitration.
2. Describe Minnow brook Conference (1968).

15.11 SUGGESTED READINGS

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Lesson 16

PUBLIC ADMINISTRATION AND PUBLIC POLICY

Structure

- 16.0 Aims and Objectives
- 16.1 Introduction
- 16.2 Meaning
- 16.3 Concepts of Public and Policy
- 16.4 Differences between Public and Private Sectors
- 16.5 Nature Scope of Public Policy
 - 16.5.1 Nature of Public Policy
- 16.6 Policy Sciences
- 16.7 Importance of Public Policy
- 16.8 Summary
- 16.9 Keywords
- 16.10 Answers to 'Check Your Progress'
- 16.11 Review Questions
- 16.12 Suggested Readings

16.0 AIMS AND OBJECTIVES

After reading this lesson, you will be able to

- Meaning of Public Policy
- Importance of Public Policy

16.1 INTRODUCTION

Public policy as government action is generally the principled guide to action taken by the administrative or executive branches of the state with regard to a class of issues in a manner consistent with law and institutional customs. In general, the foundation is the pertinent national and subnational constitutional law and implementing legislation such as the US Federal code. Further substrates include both judicial interpretations and regulations which are generally authorized by legislation. Other scholars define it as a system of "courses of action, regulatory measures, laws, and funding priorities concerning a given topic promulgated by a governmental entity or its representatives." Public policy is commonly embodied "in constitutions, legislative acts, and judicial decisions." In the United States, this concept refers not only to the end result of policies, but

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more broadly to the decision-making and analysis of governmental decisions. As an academic discipline, public policy is studied by professors and students at public policy schools of major universities throughout the country. The U.S. professional association of public policy practitioners, researchers, scholars, and students is the Association for Public Policy Analysis and Management.

16.2 MEANING

There are various studies about public policy and many scholars have attempted to define public policy from different angles. Before explaining the meaning of public policy, let us first go through some of its definitions.

Robert EyeStone terms public policy as the relationship of government unit to its environment. Thomas R. Dye says that “public policy is whatever government chooses to do or not to do” Richard Rose says that public policy is not a decision, it is a course or pattern of activity. In Carl J. Friedrich’s opinion public policy is a proposed course of action of a person, group or government within a given environment providing opportunities and obstacles which the policy was proposed to utilize and overcome in an effort to reach a goal realize an objective or purpose. From these definitions, it is clear that public policies are governmental decisions, and are actually the result of activities which the government undertakes in pursuance of certain goals and objectives. It can also be said that public policy formulation and implementation involves a well planned pattern or course of activity. It requires a thoroughly close knit relation and interaction between the important governmental agencies viz., the political executive, legislature, bureaucracy and judiciary.

The following points will make the nature of public policy more clear in your minds:

- 1) Public Policies are goal oriented. Public policies are formulated and implemented in order to attain the objectives which the government has in view for the ultimate benefit of the masses in general. These policies clearly spell out the programmes of government.
- 2) Public policy is the outcome of the government’s collective actions. It means that it is a pattern or course of activity or the governmental officials and actors in a collective sense than being termed as their discrete and segregated decisions.
- 3) Public policy is what the government actually decides or chooses to do. It is the relationship of the government units to the specific field of political environment in a given administrative system. It can take a variety of forms like law, ordinances, court decisions, executive orders, decisions etc.
- 4) Public policy is positive in the sense that it depicts the concern of the government and involves its action to a particular problem on which the policy is made. It has the sanction of law and authority behind it. Negatively, it involves a decisions by the governmental officials regarding not taking any action on a particular issue.

16.3 CONCEPTS OF PUBLIC AND POLICY

‘Public policy’ as a term is frequently used in our daily life and in the academic literature, where we often make references to the national health policy, the new education

policy, wage policy, agricultural policy, American or French foreign policy, and so on. It is an area which had to do with those spheres which are so labeled as 'public'. The concept of public policy presupposes that there is a domain of life which is not private or purely individual, but held in common. The point for discussion of public policy is to understand what we mean by the idea of 'public policy'.

The Idea of Public

It is important and essential to understand the idea of 'public' for a discussion of public policy. We often use such terms as 'public interest', 'public sector', 'public opinion', 'public health', and so on. The starting point is that 'Public Policy' has to do with those spheres which are so labelled as 'public', as opposed to spheres involving 'private'. Public dimension is generally referred to 'public ownership' or control for 'public purpose'. The word public comprises all the dimensions of human activity regarded as requiring governmental intervention or social regulation. However, there has always been a conflict between what is 'public' and what is 'private'.

16.4 DIFFERENCES BETWEEN PUBLIC AND PRIVATE SECTORS

In the context of organizations and industries, there are both the public sector and the private sector. Baber argues that the public sector has ten key differences from the private sector. He says, it

1. Faces more complex and ambiguous tasks;
2. Has more problems in implementing its decisions;
3. Employs more people with a wider range of motivations;
4. Is more concerned with securing opportunities or capacities;
5. Is more concerned with compensating for market failure;
6. Engages in activities with greater symbolic significance;
7. Is held to stricter standards of commitment and legality;
8. Has a greater opportunity to respond to issues of fairness;
9. Must operate or appear to operate in the public interest; and
10. Must maintain minimal level of public support above that required in private industry.

Public administration emerged as an instrument of the state for securing public interest rather than private interests. Whereas for the political economists only markets could balance private and public interests, the new liberalism was based on a belief that public administration was a more rational means of promoting the public interest. For Max Weber, the growth of bureaucracy was due to the process of rationalization in the industrial society. The civil servant was the rational functionary whose main task was to carry out the will of those elected by the people. Public bureaucracy was therefore different from that which existed in the private sector because it was motivated to serve the public interest. This rational argument on public interest started eroding after the Second World War. To Herbert Simon bureaucracies exhibited a large measure of

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‘irrationality’, or at least bounded rational. To Mueller, bureaucrats did not function in the public interest rather they displayed the capacity to have distinct goals of their own. Aberbach made a comparative study of bureaucracy with politics and established that “The last quarter of this century is with the virtual disappearance of the Weberian distinction between the roles of the politician and the bureaucrat, producing what may be labeled a pure hybrid.” Of late, the public and private sectors reveal themselves as overlapping and interacting, rather than as well-defined categories. The distinction between the two is becoming blurred due to the number of reform made within the public sector.

16.5 NATURE SCOPE OF PUBLIC POLICY

16.5.1 Nature of Public Policy

Public policies may set forth guidance for action in a policy statement. Policies may take various forms such as legislation, executive orders, or other official acts. They typically contain a set of intentions or goals, a mix of instruments or means for accomplishing the intentions, a designation of governmental or nongovernmental entities charged with the responsibility of carrying out the intentions, and an allocation of resources for the requisite tasks.

For understanding a public policy, it is important to analyze its nature. A policy may be general or specific, broad or narrow, simple or complex, public or private, written or unwritten, explicit or implicit, discretionary or detailed, and qualitative or quantitative. It may come in the form of a:

- Declaration of a guiding principle
- Definite course of action
- Set of political purposes.
- Here, the emphasis is on the ‘public policy’ (government policy) which a government chooses as a ‘guidance for action.’ From the viewpoint of public policies, activities of government can be put broadly into two categories, such as activities based on:
 - Definite or specific policies; and
 - Those based on general, vague and inconsistent policies.

However, in practice, a government rarely has a set of guiding principles for all its activities. Important public policies are often made more explicit, particularly where the issue of a law, a regulation, or a plan and the like is involved. The Supreme Court of a country like India may, through its decisions, give new interpretations to some of the articles of the Constitution which may amount to a new policy.

Furthermore, policies are often too vague or too general and are not always consistent with each other. In a turbulent environment, government departments often have to take immediate action without reference to any specific policy. Also, sometimes for political expediency, or for other reasons, a government may announce a definite policy without any intention of carrying it out. Therefore, it is possible to have an action without a policy, or to have a policy without an action. Public policies, because of their

governmental nature, are mostly adopted formally by the government authorities, that is, those with the power to give them a legal authority. There are, however, public policies embodied only in a set of practices and precedents. The unwritten Constitution of the United Kingdom is a well-known example of this form of a public policy.

A public policy may cover a major portion of its activities, such as a development policy. Socio-economic development, economic growth, social justice, equality, or self-reliance or similar broad principles of guidance for action may be adopted as a developmental policy or a national goal. Therefore, a single policy may be found in a number of written documents. A public policy may also be narrow, covering a specific activity, such as family planning restrained to a section of the people, or it may spread to a wider range applied to all people in a country. For example, a government may adopt a policy that no factory should employ a child below the age of 18.

Public policy is a field which is generally defined by policy areas (such as health, education, environment, housing, economic, social and transport), and it is largely in this setting that interdisciplinary and intergovernmental interactions take place. Besides, each level of government the Central, the State and the local may have its specific or general policies. Then, there are the 'megapolicies' They are the general guidelines to be followed by all specific policies. According to Dror, 'megapolicies' act as a kind of a master policy, distinct from concrete discrete policies, and involve the establishment of overall goals to serve as guidelines for large sets of concrete policies. The broad policies which are an expression of national goals mentioned earlier (such as economic growth, social justice and the like) are examples of megapolicies.

While examining the nature of public policies, an important question is whether a policy should contain a definite goal or an objective. By goal or objective we mean the end towards which any action is directed. Since a policy is a guidance for action, it is essential for the public policy to have a goal, an objective or a purpose.

All megapolicies, in particular, are purposeful and goal-oriented. But it is conceivable that a government can have a policy without any clear objective or purpose. It can also adopt a policy without specifying what the purpose or goal is, even if it does have one. Even though the goal or objective of a policy is explicitly stated, the policy by itself may be so vague or so general that it may become susceptible to various interpretations. This is so in megapolicies like economic growth or social justice which can be interpreted in many ways.

One of the most serious problems concerning goals and objectives is that, while examining the policies of a government together as a whole, the multidimensional nature of goals and objectives, as well as the existence of many inconsistencies and even contradictions, becomes obvious. This is especially true in a democratic form of government with many pressure groups and political parties. A government may deliberately adopt vague, inconsistent, or even contradictory policies in order to satisfy all pressure groups and political parties.

Again, a public policy may be either positive or negative in form. In its positive form, it may involve some form of overt government action to deal with a particular problem. On the other hand, in its negative form, it may involve a decision by public servants not to take action on some matter on which a governmental order is sought for.

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Public policies sometimes have a legally coercive quality that citizens accept as legitimate, for example, taxes must be paid unless one wants to run the risk of fines or imprisonment. This legally coercive nature of public policies makes public organizations distinct from private organizations.

16.6 POLICY SCIENCES

Policy sciences may be thought of as those disciplines which are concerned with explaining the policy-making and policy executing processes, and with locating data and providing interactions which are relevant to the policy analysis.

Comparative Public Policy

Public policy, as a subject, can also be studied by adopting a comparative approach. As Heidenheimer et al. maintain: "Comparative public policy is the study of how, why, and to what effect different governments pursue a particular course of action or inaction." Comparative approach mainly uses the following methods

1. Single case studies of one policy area (for example, education policy) in one country (for example, India).
2. Statistical analysis of several case studies and countries (for example, comparative history of public policies).
3. A comparison of policy area between a selected number of comparable countries (for example, health policy, agricultural policy in some of the Asian countries).

Scope of Policy Analysis

Public policy is an important area of study and practice. Since the emergence of public policy as a field of enquiry, it has expanded in theoretical scope and application. A significant part of the study of public policy consists of the development of scenarios and extrapolations of contemporary trends. In many developing countries, there is great pressure on the governments to accelerate national development, make use of up-to-date and relevant technological innovations, adopt and facilitate necessary institutional changes, increase national production, make full use of human and other resources, and improve the level of living. These trends and developments have therefore enhanced both the size and scope of public policy. Michael Teitz describes the outreach of public policy in terms of the citizen's life cycle

Modern urban man is born in a publicly financed hospital, receives his education in a publicly supported school and university, spends a good part of his time travelling on publicly built transportation facilities, communicates through the post office or the quasi-public telephone systems, drinks his public drinking water, disposes of his garbage through the public removal system, reads his library books, picnics in his public parks.

Protected by public police, fire, and health systems, eventually, he dies, again in a hospital and may even be buried in a public cemetery. Ideological conservatives notwithstanding his everyday life is inextricably bound up with government decisions on these and numerous other public services.

Public policy focuses on the public and its problems. It is the study of, what Heidenheimer said as "how, why and to what effect governments pursue particular

courses of action and inaction,” or, as Dye puts it, with “what governments do, why they do it, and what difference it makes.”

The study of the nature, causes and effects of public policies draws on a variety of approaches and disciplines. Policy analysis is an approach to public policy that aims to integrate and contextualize models and research from those disciplines which have a problem and policy orientation.

The policy orientation, according to Lasswell, is a multi-method, and is multi-disciplinary and problem-focused, concerned to map the contextuality of the policy process, policy options and policy outcomes. Its goal is to integrate the knowledge so that it contributes to the democratization of society.

The study of Policy Analysis includes

1. Analysis of the Policy Process

This encompasses a definition of the problem, agenda setting, formulation, implementation and evaluation of the policies.

2. Analysis for the Policy Process

This encompasses the use of analytical techniques, research and advocacy in problem definition, policy formulation, implementation and evaluation.

The line of argument here is that all of us are greatly affected by a myriad of public policies in our daily life. The range of public policies is vast: from the vital to the trivial. Today, public policies may deal with such substantive areas as defence, environment protection, transport, medical care and health, education, housing, taxation, inflation, science and technology, and so on. The expanding sphere of the study of public policy is thus reflected in the plan documents of the Planning Commission of India.

It is largely in these policy areas or sectors that interdisciplinary and inter-institutional interactions take place. They also provide the context for comparative studies. Within each of these areas there exist specialized research and institutions and communities (pressure groups, political parties and civil society) which address problems and advocate policies.

16.7 IMPORTANCE OF PUBLIC POLICY

It is clear from the above sections of the unit that policy is a purposive course of action in dealing with a problem or a matter of concern within a specific time frame. Before going into the question of importance which is attached to policy formulation, implementation and monitoring, it would be better to recapitulate the components of public policy.

- 1) Policy is purposive and deliberately formulated. Policy must have a purpose or a goal. It does not emerge at random or by chance. Once a goal is decided the policy is devised in such a way that it determines the course of action needed to achieve that goal.
- 2) A policy is well thought out and is not a series of discrete decisions.
- 3) A policy is what is actually done and not what is intended or desired, a statement of goals does not constitute a policy.

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- 4) Policy also delineates a time frame in which its goals have to be achieved.
- 5) Policy follows a defined course of action viz. Formulation, implementation, monitoring and evaluation.

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Actually the scope of public policy is determined by the kind of role that the State adopts for itself in a society. In the classical capitalist society, State was assigned a limited role and it was expected that the State would merely act as a regulator of social and economic activity and not its promoter. With the advent of planned view of development, State began to be perceived as an active agent in promoting and shaping societies in its various activities. This was considered as a great change in the role of a State. Public policies expanded their scope from merely one of regulation to that of development. Expansion in scope led to several other consequences like many more government agencies and institutions came into being in order to formulate and implement policies. In India, the Planning Commission and its attendant agencies came into being in order to formulate policies and develop perspectives that could define the direction which the country would follow. So, the first major goal of public policies in our country has been in the area of socio-economic development. Wide ranging policies were formulated in the area of industrial and agricultural development. Many policies were converted into Statutes like Industrial Development and Regulating Act or Land Tenancy Act. Others were kept as directives in the various plan documents. For all policy directions, the Five Year Plans became the major source. These policies were of two types, one of regulation and the other of promotion. Laws laid down what could be done or not

done by the entrepreneurs. This could be in the larger area like what goods can be produced by the public or whether certain goods can be traded only by government agencies. Laws also specified how State agencies themselves were to provide goods and services like electricity, transport etc. The State undertook similar responsibility in the social sphere. Dowry Act, Divorce Act, etc., are examples of this.

But socio-economic transformation was not the only problem when India became independent. There were also problems of national integrity, the external environment was a source of threat and the country had to develop suitable policies to defend itself. Apart from this, there have been internal challenges. Regionalism has given rise to fissiparous tendencies that have to be countered in the long-term.

perspective. These would include not only defense policies but also similar efforts at decentralization that create greater national cohesiveness. Thus, since independence, public policies in India have been formulated with a view to achieve socio-economic development and maintain national integrity. These goals have been complex demanding coherent policies. This has been a difficult task because goals have had to be divided into sectors and sub-sectors. Many a time by its very nature policies have been contradictory. What may be rational for economic development may not be so for national Integration. Thus, the need of a strong Centre to cope with external threats etc., is important but it may go against the principle of decentralization which provides for

greater national cohesion of a heterogeneous society. This is the reason why ascertaining of the actual impact of public policy becomes a necessity.

These days policy analysis is acquiring a lot of importance in the realm of the study of public administration. This trend is observable all over the world. The success of policy formulation, execution and monitoring ultimately depends on the success of policy analysis. In India, this trend emerged with the launching of our Five Year Plans. As the years passed by, one Five Year Plan was followed by another and disillusionment started setting in. Goals of socio-economic development could not be achieved. Those who were supposed to benefit from the development effort began to lose. Attention shifted to the management and administration in order to find out why the policies were failing to achieve their objectives. This investigation did not include the questions of policies being right or wrong. It took the crises of the 1960s to raise the issue of correctness of policy.

Disenchantment with the development processes followed the two wars in 1962 and 1965. The International Monetary Fund (IMF) enforced a devaluation of the rupee in 1966 and a terrible drought ravaged the land during 1966-68. It became evident that the development policies were in trouble. In the early 1970's another war, drought and the oil crisis gave a jolt to the plan that had been followed upto then.

The culmination was the imposition of national emergency in 1975 to cope with the rising dissatisfaction. It was the emergence of the turbulent period that led to the questioning of the policies that had been followed. It was no more a question of implementation alone.

The argument that began to gain the popular view was that policy itself was faulty and all the blame could not be put on administration. The first to pick up this line of reasoning was the discipline of economics. The economic failures dominated the scene and therefore it was natural that economists were the first ones to raise questions about the appropriateness of policy. Students of public administration began to emphasize that implementation failures could also emanate from inadequacy of public policy and therefore policy analysis should also be included in the area of study of public administration. This argument got support from certain developments in the discipline of public administration. In view of the everyday experience, it was becoming difficult to sustain the classical concept of separation of politics and administration. This distinction categorized policy formulation and implementation as two distinct activities. Policy formulation was regarded as a political activity and policy implementation an administrative one. But this distinction got increasingly blurred and it was not an easy task to determine where policy formulation ended and where policy implementation began. It came to be accepted that both were interactive processes and had to be seen in an integrated way. With this change in view students of public administration began to devote greater attention to the problems of policy formulation and influence of policy design on implementation. It is in this way that policy analysis has become an important focus of study. Policy makers have also shown great interest in it because it ultimately helps in improving the effectiveness of policy. Many universities and research institutes are involved in policy analysis. The government provides for a lot of funds in this area.

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16.8 SUMMARY

To understand the meaning of policy in a better manner, it is very important to make a distinction between policy and goals. Goals are what policies aim at or hope to achieve. A goal is a desired state of affairs that a society or an organization attempts to realize. Goals can be understood in a variety of perspectives. These can be thought of as abstract values that a society would like to acquire. There are also goals that are specific and concrete. Removal of poverty is a goal that the government wants to pursue. Public policies are concerned with such specific goals.

16.9 KEYWORDS

Public Policy

‘Public policy’ as a term is frequently used in our daily life and in the academic literature, where we often make references to the national health policy, the new education policy, wage policy, agricultural policy, American or French foreign policy, and so on. It is an area which had to do with those spheres which are so labeled as ‘public’. The concept of public policy presupposes that there is a domain of life which is not private or purely individual, but held in common. The point for discussion of public policy is to understand what we mean by the idea of ‘public policy’.

Importance of Public Policy

policy is a purposive course of action in dealing with a problem or a matter of concern within a specific time frame. Before going into the question of importance which is attached to policy formulation, implementation and monitoring, it would be better to recapitulate the components of public policy.

16.10 ANSWERS TO ‘CHECK YOUR PROGRESS’

1. Define Public Policy

Ans. Robert EyeStone terms public policy as the relationship of government unit to its environment. Thomas R. Dye says that “public policy is whatever government chooses to do or not to do” Richard Rose says that public policy is not a decision, it is a course or pattern of activity. In Carl J. Friedrich’s opinion public policy is a proposed course of action of a person, group or government within a given environment providing opportunities and obstacles which the policy was proposed to utilize and overcome in an effort to reach a goal realize an objective or purpose.

2. Explain Meaning of Public policy.

Ans. ‘Public policy’ as a term is frequently used in our daily life and in the academic literature, where we often make references to the national health policy, the new education policy, wage policy, agricultural policy, American or French foreign policy, and so on. It is an area which had to do with those spheres which are so labeled as ‘public’. The concept of public policy presupposes that there is a domain of life which is not private or purely individual, but held in common. The point for discussion of public policy is to understand what we mean by the idea of ‘public policy’.

3. Describe Importance of Public Policy.

Ans. Policy is a purposive course of action in dealing with a problem or a matter of concern within a specific time frame. Before going into the question of importance which is attached to policy formulation, implementation and monitoring, it would be better to recapitulate the components of public policy.

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16.11 REVIEW QUESTIONS

Essay type Questions

1. Define public policy.
2. Explain the nature and scope.
3. What is meaning of public policy?
4. Explain the importance of public policy.

Short type Questions

1. Define public policy.
2. What is meaning of public policy?

16.12 SUGGESTED READINGS

1. Mamoria C.B. Personnel Management.
2. Scholz, W, Communication in Business Organisations.
3. Kuppaswamy, Communication and Social Development.
4. A.R.Bal, Modern Politics and Government.
5. J.C.Charles Worth, Governmental Administration.
6. E.N.Gladeen, Approach to Public Administration.
7. H.A.Simon, Administrative Behaviour.
8. Mohit Bhattacharya, Public Administration.

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Lesson 17

NEW PUBLIC MANAGEMENT

Structure

- 17.0 Aims and Objectives
- 17.1 Introduction
- 17.2 The Challenge of NPM
- 17.3 NPM based reform movements in 1980's and 1990's
- 17.4 Summary
- 17.5 Answers to 'Check Your Progress'
- 17.6 Review Questions
- 17.7 Suggested Readings

17.0 AIMS AND OBJECTIVES

By studying this unit you will be able to understand

- Meaning and scope of Public Administration.
- Difference between Public Administration and Private Administration.
- Importance of Public Administration.
- How Public Administration differs from Management.

17.1 INTRODUCTION

R.A.W.Rhodes stated that 'over the years the study of public administration has seen many fashions come and go, often fun, sometimes instructive, rarely long-lived'. New Public Management (NPM) is the first serious challenge to strike the foundations of public administration since it is about marketizing the enterprise of public administration through the secretariat of the state'.

It is important to note that Wilsonian idea of politics-administration dichotomy got legal backing for dichotomy of policy formulation and policy implementation. This can be seen Goodknow's work entitled "Politics and Administration", published in 1900. This idea matured in Taylor's scientific management movement and the POSDCORB doctrine. The Brownlow Committee, which was appointed in 1937 incorporated these principles into the reforms undertaken in public administration to adopt the cost-effective practices of the firms. NPM is very reflective of these reforms.

Presently, the most vehemently debated and discussed theme in public administration

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is that of the New Public Management. The need to save the ailing state and the intolerance with the nasty bureaucracy, its stubborn inertia, unresponsive attitude and wasteful economics led to the birth of New Public Management.

NPM carried away the focus of public administration from institution building to policy implementation and as natural link to this; procedures became subordinate to the results.

Thus the era of 'Wilsonian dichotomy' to 'NPM' became less a work of academics and more that of state politics. The unending task of recasting administrative framework to meet the demands and aspirations of new socio-economic challenges has made the discipline a subject of intense ideological debates. Given the pluralistic nature of the democratic state and the push from the global markets, the identity of public administration was once again challenged and also threatened by the floating doctrinaire assumptions, which seek changes in government functioning. NPM carried away the focus of public administration from institution building to policy implementation and as a natural concomitant of this, procedures became subordinate to results. However, the foundations of the discipline remain unscathed and are re-emerging as a focal issue while the weaknesses of NPM are gradually being revealed by evaluation literature.

revealed by evaluation literature.

17.2 THE CHALLENGE OF NPM

The state's mismanagement and shoestring budgetary allocations for policies resulted in greater concentration of decision-making power with the bureaucracy. With this, the administration, which has its roots in the traditional Weberian bureaucracy and rigid hierarchies, became even less receptive to the demands of society. The preoccupation with organizational rules obstructed the development of learning organization and mesmerized institutions of governance. The failure of the first and the second developmental decades is largely attributed to the economic mismanagement of public policies due to the inaptitude and ignorance of government.

In line with the Public Interest Theory of Economics presented in the work of A.C. Pigou, it was assumed that market failure and policy collapse was due to inept governments, which however, benignly pursue the objective of maximizing social welfare. The dent in this belief was exposed by the work of public choice theorists and especially the seminal work of James M. Buchanan and Gordon Tullock in 1962. The Calculus of Consent: Logical Foundations of Constitutional Democracy. It established that public policy does not operate according to the public interest model and therefore the regulations for policy achievement are also not borne out of altruistic motives of the state. This has been further explained in the works of Stigler and Friedman, Sam Peltzman, and Shughart and Tollison.

The so-called paradigm change that manifests in the garb of NPM is the result of this new understanding of the state. John Kamensky has linked it to the public choice theory since it has tended to reject concepts like 'public spirit', 'public service' and so forth. Politics is like a market place and there is a market for every policy, programme and associated regulations. Thus, policies do not arise out of the benign desire to mitigate people's deprivation but out of the rent seeking impulse of the government. Bureaucrats

strive to maximize their own political interests, which include enhancing their re-election prospects and increasing the value of their lifetime income streams. Government seeks selfish interests and becomes shackled by obligations towards such groups. The question that intrigues us all is that if the policy or a particular public regulation generates no Substantial benefit to the citizens or if the costs incurred in implementation are much higher than the benefits accrued, then why are such policies repeatedly formulated and defiantly sustained, sometimes even against a concerted public opposition.

Public choice claims to provide an answer to most of these policy paradoxes, which have damaged economic growth and diverted the precious resources of the state to wasteful sectors. It is in this background that we find the heavy reliance of NPM upon its 'intellectual cousins' such as public choice, principal agent theory and transaction-cost economics. Jonathan Boston has also declared this new-institutional economics as the intellectual foundation of NPM. Though the major push for NPM came from the aspiring markets to meet the global demands, it nevertheless grew out of the problem as a predictable consequence of monopolies and rent seeking behaviour.

Public administration is presently encountering a lean period as scholars without any historical understanding of its rich lineage have started masquerading as its experts. Scholars from any area of public policy into the discipline and claim to have regained the lost ground of public administration through varied and ambiguous forms of structural adjustment contrived to cater to transient market demands. The two main diehard supporters of NPM in the USA, the journalist David Osborne and the city manager Ted Gaebler have widely missed out on the rich heritage and political theory of public administration. One common strand in all theories of public administration from L.D. White and Max Weber to Herbert Simon, D. Waldo and F.W. Riggs has been the effort to constitute a theory of democratic governance. NPM theory lacks this basic virtue.

Most of the narratives and success stories have been given from the Californian state and some from public sector agencies. Thus, generalizations of NPM do not truly account for the diverse set of experiences encountered by the third world countries. Rosenbloom's 'History Lessons for the Reinventors' speaks volumes about the state of understanding of all those scholars who belong to areas other than public administration and are much like those seven blind men of the Aesops Fables who had each seen a part of the elephant but not the whole animal. Ironically, Osborne and Gaebler became the best sellers for rewriting Taylor's managerialism or Urwick and Gulick's POSDCORB.

The true scholar of public administration forms the spinal cord of governance, which is a multicultural and a multidimensional entity constantly being worked upon by varied groups of scholars who seek to instill civil society needs into a self-complacent or narcissist public administration. Sadly enough this turn of events has been exploited by some to promote their agenda of obtaining a market friendly government. Without any linkages or experience or acquaintance with the time tested prescriptions, the new marketers have leapfrogged the domain of public administration into new public management and have come to hailed as the scholars of the great enterprise overnight.

Thus, public administration is now being used more in a pejorative sense than as a panacea for policy slippages. NPM has successfully promoted the debate from bad formulation to bad implementation. It has also set at rest the notion of a benign and

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altruistic nature of the state, which worked in public interest and was therefore allowed to expand in a way what C. Northcote Parkinson referred to as the Law of the Rising Pyramid. NPM as such is a crude manifestation of the motives of the state, yet it claims to have discovered principles, which make the state more accountable and transparent to the demands of the society or rather the market, because they fail to distinguish between the two.

In NPM, the state is expected to work for 'society', but this society is nothing more than a loose agglomeration of consumer groups. This is again the most striking paradox of NPM and can be compared to the 'Weingast's Paradox', which explains that the fundamental dilemma of reforming the state is that a government strong enough to protect property rights and enforce contracts is also strong enough to confiscate the wealth of its citizens. Also, if governments are strong enough to transform their motives into regulations, then regulations would simply be an expression of the motives of the state rather than the requirements of the society. NPM as an administrative reform philosophy cannot address the twin tasks of citizens' welfare and protection of consumer rights simultaneously without harming the contents of democratic governance. We shall come to this discussion later in this chapter.

The Indian government started rather late with the NPM driven Reforms as compared to the U.K., U.S.A., or New Zealand. The Fifth Pay Commission, which is replete with hybrid proposals to bring together erstwhile antagonists in the policy arena: socialists, anarchists and liberals is the first manifestation of such effort in India. One can safely admit that the political dilemma to espouse the cause of the poor through the promotion of the market is rather an amputated, if not hedonistic version of reforms. NPM and the Rightist state have that umbilical cord connection, which the Fifth Pay Commission Report has come to highlight.

Since the first Minnow brook Conference in 1968, when the new scholars of the discipline assembled to rally a remarkable display of their gunpowder against the conventional paradigm, this debate has come as the first serious challenge to the somber Keynesian welfare state. It is sure to catalyze the process of rethinking and reinvention. No other aspect of government has generated so much heat at the grassroots or influenced international bodies and one is perplexed by the speed at which ideological networking is interfacing erstwhile polarized groupings. While the demise of Weberian state has been one most definite outcome, scholars are divided on the issue of the new administrative caricature, which is certain to occupy its place. For the time being, studies reveal a more chaotic and unpredictable suffering for both the civil services and grassroots communities. However, for analysts and the publishers, it is harvest time.

17.3 NPM BASED REFORM MOVEMENTS IN 1980'S AND 1990'S

Emerging out of the Thatcherism (1979) and Reaganism (1980), NPM has been brought as an efficiency pill for the failing markets. Rhodes has rightly explained that initially NPM had two meanings: corporate management and marketization. The emphasis in the early years was on the adoption of the private sector management tools in the government and to contract out services of the state to meet the consumer demands for

speed and quality. This spread the message that bureaucracy ridden with redtapism and ever rising expenditure is outdated and outmoded and thus not fit for public service delivery. This development transformed the so far sacrosanct civil service into a fodder for political debate. In the economic sphere, Adam Smith's invisible hands in the market were granted the freedom to operate while 'empowerment' and 'capacity building' became the light houses of the so-called 'enabling state'. Initiated by a strong ideological push from Adam Smith's Institute, NPM came to be promoted not only by the Rightist governments of Margaret Thatcher and Ronald Reagan, but also by Brian Mulroney of Canada. Following their efforts, New Zealand and the more ideologically neutral states of Europe also adopted these reforms.

The fall of the Berlin Wall speeded up efforts towards more comprehensive administrative reforms. The reinventing literature of Osborne and Gaebler and Hood coinciding with the Clinton-Gore Report From Red Tape to Results: Creating a Government that Works Better and Costs Less was a bombshell on the welfare state. A few months later the UK government published a White Paper on civil services. As Andrew Gray and Bill Jenkins explain, these two initiatives are separate and distinct, yet drawing on common ideologies, they represent the practical face of the NPM and a critique of traditional public administration. However, the commentators on this change also noticed the shifting theoretical focus of public administration. The discipline's twin traditions of incrementalism and administration have been challenged by the more managerialist models of NPM. This also reflected upon the paradigm shift in its study; from bureaucratic to the post-bureaucratic and from entrepreneurial to the NPM. The career-oriented civil services, which were hierarchical, technocratic, rule-oriented, impersonal and neutral came to be seen as obstructive retrogressive and dogmatic.

The shift was most noticeable in N. Flynn's book Public Sector Management published from the UK in 1993. The first reference in Flynn's bibliography is to Adam Smith's Institute, the second to Audit Commission and the last to Williamson's Markets and Hierarchies. Coupled with the failures of the welfare state and the rising demand for developing policy analysis, from humble beginnings the idea bloomed forth to take the shape of 'World Wide Movements' in the 1990s. Laden with the catalytic and trend setting slogans like 'catalytic government', 'steering not rowing', 'organize by mission rather than turf', 'budget for results' and 'avoid monopoly supplier', it finally was successful in highlighting the need for legal and market reforms. Although the precise nature of NPM is difficult to establish, the classical formulation by Hoods (1991) has found it to be comprised of seven doctrines. These are

- 1) A focus on hands-on and entrepreneurial management in contrast to the traditional bureaucracy.
- 2) Explicit standards and measures of performance.
- 3) Emphasis on output controls.
- 4) Importance of disaggregation and decentralization of public services.
- 5) A shift to the promotion of competition in the provision of public services.
- 6) Stressing on private sector styles of management and their superiority.
- 7) Promotion of discipline and parsimony in resource allocation.

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The 'Westminster Reforms' adopted in New Zealand and UK focused upon Citizens' Charters for service delivery improvement whereas the 'Reinvention Style' of the 'Washington Consensus' was, likewise incremental but more sweeping for 'Customer Service' provisions. While the reforms in all these countries were more ideologically oriented, those elsewhere were less ideological and more practical indicating a return to Taylor's managerialism. However, this gave rise to some common features at the sub-governmental level giving a hybrid character to the NPM ideology,

While tracing the ideological and structural roots of the NPM, the countries have strayed from the market models for the minimal state, which according to Margaret Thatcher was the *laissez faire*, to the participatory models prompted by Hawthorne experiments and the detours for the *adhocracy* and the flexible and regulated governments of the last decade of the 20th century, editing of reforms by different governments has complicated matters and also led to the less confident governments of the Third World countries imitating structures of the developed countries. This has given rise to isomorphic structures incompatible with the historical characteristics and uniqueness of each society. As a shortcut measure, structures are being imported and implemented as such to hope with new global pressures. NPM label helps them clear the customs test.

In contrast to the NPM understanding of reforms, experience has shown that reforms are 'path dependent' a product of the national, historical and institutional autonomy. They are also wrongly dependent on a country's capacity to realize them within the constraints of its Constitutional features and political administrative structures. In this context, most of the Third World has been able to adopt NPM reforms in a more or less *ad hoc* manner only, such reforms being more of imitations and dictums rather than being indigenous and based upon country wide feasibility studies. The New Zealand model may be taken as the most coherent reform model. Although, it has been attempted as a combination of three theories, which even the other countries have adopted such as the public Choice, Agency Theory and Transaction Cost Economics, the methods of implementation and formulation have been more in balance with the macro and micro social requirements of the society.

Globalization has to be studied as an independent variable in effecting governance at the country level. Discarding the westphalian state and the Keynesian welfare state without taking any change in global security systems will only lead to administrative chaos. It is also linked to the wider security environment prevailing in the world since NPM has little space for anything other than market requirements. The sovereign state model is replaced by the supermarket model of the state advocated by NPM. Old military blocks would be cracked to provide space to emerging markets and market wars would replace national security issues.

Thus, a new perspective on security will be needed to complement and supplement the domestic reforms. In this multiform maze of new system, where the sovereign state is gradually slipping into supermarket state, a paradox of power would be created where with the old superpower system would still hold with nations with superior military might controlling the emerging markets and technological expertise of the militarily weaker third world countries. This may also force these latter states to implement NPM reforms to achieve quick access to the markets of G-8 countries. Thus the politics of NPM

reforms will be thoroughly consistent with and complementary to the former state structure. The overlap commercial state and the military state would lead to the emergency of an enterprising government, which may appear harmless are benign superficially but would enforce the import of institutions to speed up NPM reforms.

This ironically raises the fundamental debate of public administration, which Lawrence E. Lynn defends as the 'core dilemma' to create a workable balance between democratic account ability and effective capacity. The use of governmental power having its source in the market rather than the Constitution would transfer power to the consumers and weaken the citizens leading to the violation and abuse of both, the citizens rights and the voter, choice. J. Patrick Dobel reaffirms Lynn's belief that the 'core traditions' of public administration remain anchored in Constitutionally authorized means for the expression of the public will, which ground policy and managerial initiatives in the material of regime values and institutional accountability and which reinforce the means to avoid corruption and abuse of power. New institutions and initiatives cannot be built just for the sake of efficiency or service to consumers, they must earn legitimacy from the courts and must sustain accountability to the institutional mechanisms'.

Thus, earning institutional legitimacy, which is possible only through independent courts and responding legislatures is the core of administrative reform. So, NPM reforms would never be able to bring governance reforms for the simple reason of its inability to construct durable institutions. Henceforth, the misconstrued new paradigm of NPM is a construct, which would have three direct implications for governance: loss of democratic accountability, erosion of ministerial accountability, and ethnic and bottom up insurgencies due to failure to deal with the issues of identity, pluralism and citizenship.

The implications for public administration are enormous since there is a need for immediate resuscitation measures for the hollowing state by creating more accountable and resonant public institutions rather than simply efficient markets. It would need a more comprehensive project than the top-sided NPM model. Some basic commitments of the democratic state can be protected by building up an enterprise for the following:

- a) Devolution and decentralization for the empowerment of local communities and not simply consumers.
- b) Contracting out, deregulating and privatizing should take place only through proper feasibility studies within the Constitutional framework.
- c) Rightsizing bureaucracy should give priority to employees' rights, labour laws and the status of women's employment in every country.
- d) Citizens' Charters should be effectively implemented and legal reforms should be undertaken to strengthen service delivery systems.
- e) Taxation reforms, labour laws reform, and property rights 'are areas of immediate concern.
- f) Technological advancement including e-governance reforms should address the requirements of people and help them in the exercise of their democratic rights.

The last decade has seen the consolidated networking of the global civil society through the advancement of communication technology. Their ability to enforce people's agenda upon expanding markets even in the face of recalcitrant governments cannot be

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underestimated especially after the Seattle and the Geneva meetings of WTO. Thus, NPM based reforms have used governance as a policy metaphor. Governance, which has become the new buzz word would then be a study of politics, a study of political legitimacy and a study of policy praxis. The Second Minnowbrook Conference suggested three requirements for public administration during these lean times Micromanagement, Motivation and Measurement. It selected resonance as the bridge between rigour (theory) and relevance (action).

Since the NPM model fails to study the internal configurations of the nation state and to recognize the distinctions between the customer and the citizen, there is a growing complexity of relationship between the government and civil society. The pursuit of public purpose and the demands of global businesses do not always converge as a result of which nations make adjustments in their law and governance systems. The credibility and reliability index prepared by the World Bank for rating countries around the world for investment purposes is one method of arm twisting the nations to adopt NPM for the benefit of their Foreign Direct Investment (FDI). It is in this context that one can assess the work done by the Fifth Pay Commission for adopting the NPM reforms. While it has overlooked the debate on the 'entitlement obligation' and branded 'corporatism' as the concern of a constellation of stable interest groups, it has also not been able to address the issue of the complexities of implementation within the Constitutional framework of federalism and the social framework of the pluralistic state.

Eventually, the sensitive areas of human rights, environmental justice and labour reforms have been rendered FDI dependent. It thus becomes a 'denial of citizenship'. These authors have highlighted the arena of 'public interest', which is synonymous with the 'public spirit' used by Jane Mansbridge. DeLeon and Denhardt write that 'this collective enterprise, which is often called the public interest is not just an accumulation of private interests, nor even the juxtaposition of enlightened self interests. Indeed this ideal moves well beyond a politics based on the self interest of the individual'. Citizenship is the only window through which individuals are able to transcend the material mode of self interest and progress into institutions of collective well-being. To replace this ideal with consumers and customers is to strike at the very basis of the existence of the state.

17.4 SUMMARY

NPM is a truly global paradigm. It has enabled the 'inward looking' bureaucratic paradigm and POSDCORB based reforms into a more interactive and participative NPM model. However, the litmus test of reform is 'customer satisfaction'. Thus the new in NPM is thrown open to debate. Reforms in administration have always 'been a perplexing and debatable activity. Public administration has always been a method to promote political values and as such, the ' ideological polarization may not be treated as anything new to the growth of public administration.

17.5 ANSWERS TO 'CHECK YOUR PROGRESS'

Q1. What is 'New NPM' ?

NPM is a truly global paradigm. It has enabled the 'inward looking' bureaucratic paradigm and POSDCORB based reforms into a more interactive and participative NPM model.

However, the litmus test of reform is ‘customer satisfaction’. Thus the new in NPM is thrown open to debate. Reforms in administration have always ‘been a perplexing and debatable activity. Public administration has always been a method to promote political values and as such, the ‘ ideological polarization may not be treated as anything new to the growth of public administration.

Q2. Evolution of New Public Management ?

In development of the subject public administration gave rise to new public management. The New concept of Public Management (NPM) has been characterised as a new paradigm. The traditional aspects are changed to material objects. Service to the people is increased than before.

The crisis facing the western countries in the 1980s and 1990s forced a search for new management. The steep rise of population disturbed the socio-economic structure of these countries. Market price structure become beyond the reach of the common man. Russia’s fatigue and Americans power created some more problems. Many of the countries were unable to receive and utilize the developed technology. This resulted in economic imbalance. Hence it became essential for the public administration to take new dimension.

17.6 REVIEW QUESTIONS

1. What is New public Management Perspective?
 2. Explain its significance in the modern world.
 3. What is NPM?
 4. Evolution of New Public Management.
 5. Discuss the important features of NPM paradigm.
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17.7 SUGGESTED READINGS

1. Mamoria C.B. Personnel Management.
2. Scholz, W, Communication in Business Organisations.
3. Kuppaswamy, Communication and Social Development.
4. A.R.Bal, Modern Politics and Government.
5. J.C.Charles Worth, Governmental Administration.
6. E.N.Gladden, Approach to Public Administration.
7. H.A.Simon, Administrative Behaviour.

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Lesson 18

GOVERNANCE AND POST MODERN PUBLIC ADMINISTRATION

Structure

- 18.0 Aims and Objectives
- 18.1 Introduction
- 18.2 Meaning of Governance
- 18.3 Types of Governance
- 18.4 Corporate Governance
- 18.5 Governance and Good Governance: Varying Definitions
- 18.6 Good Governance
 - 18.6.1 Definition
 - 18.6.2 Characteristics of Good Governance
 - 18.6.3 Benefits of Good Governance
- 18.7 Post Modern Public Adminsitration
- 18.8 Summary
- 18.9 Keywords
- 18.10 Review Questions

18.0 AIMS AND OBJECTIVES

By studying this unit you will be able to understand

- Meaning and definition of Governance.
- Difference between Governance and Good Governance.
- Benefits of Good Governance.
- Post Modern Public Administration.

18.1 INTRODUCTION

Governance refers to “all processes of governing, whether undertaken by a government, market, or network, whether over a family, tribe, formal or informal organization, or territory, and whether through laws, norms, power, or language.” It relates to processes and decisions that seek to define actions, grant power, and verify performance.

18.2 MEANING OF GOVERNANCE

In general terms, governance occurs in three broad ways

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Through networks involving public-private partnerships (PPP) or with the collaboration of community organisations;

Through the use of market mechanisms whereby market principles of competition serve to allocate resources while operating under government regulation;

Through top-down methods that primarily involve governments and the state bureaucracy.

To distinguish the term governance from government: “governance” is the concrete activity that reproduces a formal or informal organization. If the organization is a formal one, governance is primarily about what the relevant “governing body” does. If the organization is an informal one, such as a market, governance is primarily about the rules and norms that guide the relevant activity. Whether the organization is a geo-political entity (nation-state), a corporate entity (business entity), a socio-political entity (chiefdom, tribe, family, etc.), or an informal one, its governance is the way the rules and actions are produced, sustained, and regulated. Governance is a very general concept that can refer to all manner of organizations. Equally, this generality means that governance is often defined more narrowly to refer to a particular ‘level’ of governance associated with a type of organization (including public governance, global governance, non-profit governance, corporate governance, and project governance), a particular ‘field’ of governance associated with a type of activity or outcome (including environmental governance, internet governance, and information technology governance), or a particular ‘model’ of governance, often derived as an empirical or normative theory (including regulatory governance, participatory governance, multilevel governance, metagovernance, and collaborative governance). Governance can be used not only to describe these diverse topics but also to define normative or practical agendas for them. Normative concepts of fair governance or good governance are common among public, voluntary, and private sector organizations.

The concept of “governance” is not new. It is as old as human civilization. Simply put “governance” means: the process of decision-making and the process by which decisions are implemented (or not implemented). Governance can be used in several contexts such as corporate governance, international governance, national governance and local governance.

Since governance is the process of decision-making and the process by which decisions are implemented, an analysis of governance focuses on the formal and informal actors involved in decision-making and implementing the decisions made and the formal and informal structures that have been set in place to arrive at and implement the decision.

Government is one of the actors in governance. Other actors involved in governance vary depending on the level of government that is under discussion. In rural areas, for example, other actors may include influential land lords, associations of peasant farmers, cooperatives, NGOs, research institutes, religious leaders, finance institutions political parties, the military etc. The situation in urban areas is much more complex. At the national level, in addition to the above actors, media, lobbyists, international donors, multi-national corporations, etc. may play a role in decision-making or in influencing the decision-making process.

All actors other than government and the military are grouped together as part of

the “civil society.” In some countries in addition to the civil society, organized crime syndicates also influence decision-making, particularly in urban areas and at the national level.

Similarly formal government structures are one means by which decisions are arrived at and implemented. At the national level, informal decision-making structures, such as “kitchen cabinets” or informal advisors may exist. In urban areas, organized crime syndicates such as the “land Mafia” may influence decision-making. In some rural areas locally powerful families may make or influence decision-making. Such, informal decision-making is often the result of corrupt practices or leads to corrupt practices.

Governance Process

In its most abstract sense, governance is a theoretical concept referring to the actions and processes by which stable practices and organizations arise and persist. These actions and processes may operate in formal and informal organizations of any size; and they may function for any purpose, good or evil, for profit or not. Conceiving of governance in this way, one can apply the concept to states, to corporations, to non-profits, to NGOs, to partnerships and other associations, to project teams, and to any number of humans engaged in some purposeful activity.

Most theories of governance as process arose out of neoclassical economics. These theories build deductive models, based on the assumptions of modern economics, to show how rational actors may come to establish and sustain formal organizations, including firms and states, and informal organizations, such as networks and practices for governing the commons. Many of these theories draw on transaction cost economics.

18.3 TYPES OF GOVERNANCE

1. Public Governance

It is useful to note the distinction between the concepts of governance and politics. Politics involves processes by which a group of people (perhaps with divergent opinions or interests) reach collective decisions generally regarded as binding on the group, and enforced as common policy. Governance, on the other hand, conveys the administrative and process-oriented elements of governing rather than its antagonistic ones. Such an argument continues to assume the possibility of the traditional separation between “politics” and “administration”. Contemporary governance practice and theory sometimes questions this distinction, premising that both “governance” and “politics” involve aspects of power.

2. Private Governance

Private governance occurs when non-governmental entities, including private organizations, dispute resolution organizations, or other third party groups, make rules and/or standards which have a binding effect on the “quality of life and opportunities of the larger public.” Simply put, private-not public-entities are making public policy. The term “public policy” should not be exclusively associated with policy that is made by government. Public policy may be created by either the private sector or the public sector. If one wishes to refer only to public policy that is made by government, the best term to use is “governmental policy,” which eliminates the ambiguity regarding the agent of the policy making.

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3. Global Governance

Global governance is defined as “the complex of formal and informal institutions, mechanisms, relationships, and processes between and among states, markets, citizens and organizations, both inter- and non-governmental, through which collective interests on the global plane are articulated, right and obligations are established, and differences are mediated”. In contrast to the traditional meaning of “governance”, some authors like James Rosenau have used the term “global governance” to denote the regulation of interdependent relations in the absence of an overarching political authority. The best example of this is the international system or relationships between independent states. The term, however, can apply wherever a group of free equals needs to form a regular relationship.

4. Non-profit governance

Non-profit governance focuses primarily on the fiduciary responsibility that a board of trustees (sometimes called directors—the terms are interchangeable) has with respect to the exercise of authority over the explicit public trust that is understood to exist between the mission of an organization and those whom the organization serves.

18.4 CORPORATE GOVERNANCE

Corporate organizations often use the word *governance* to describe both

1. The manner in which boards or their like direct a corporation
2. The laws and customs (rules) applying to that direction

Corporate governance consists of the set of processes, customs, policies, laws and institutions affecting the way people direct, administer or control a corporation. Corporate governance also includes the relationships among the many players involved (the stakeholders) and the corporate goals. The principal players include the shareholders, management, and the board of directors. Other stakeholders include employees, suppliers, customers, banks and other lenders, regulators, the environment and the community at large.

18.5 GOVERNANCE AND GOOD GOVERNANCE: VARYING DEFINITIONS

Governance

“The traditions and institutions by which authority in a country is exercised”

– **Kaufman et al**

The way “ ... power is exercised through a country’s economic, political, and social institutions.”

– **The World Bank’s PRSP Handbook.**

“The exercise of economic, political, and administrative authority to manage a country’s affairs at all levels. It comprises mechanisms, processes, and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations, and mediate their differences.”

– **UNDP.**

1. Dimensions of Governance

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“Fundamental aspects of governance” are: graft, rule of law, and government effectiveness. Other dimensions are: voice and accountability, political instability and violence, and regulatory burden. – **Kaufmann, Kraay and Zoido-Lobaton 1999.**

Property rights and rule-based governance; the quality of budgetary & financial management; the efficiency of revenue mobilization; the efficiency of public expenditures; and transparency, accountability and corruption. – **World Bank CPIA indicators.**

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18.6 GOOD GOVERNANCE

Recently the terms “governance” and “good governance” are being increasingly used in development literature. Bad governance is being increasingly regarded as one of the root causes of all evil within our societies. Major donors and international financial institutions are increasingly basing their aid and loans on the condition that reforms that ensure “good governance” are undertaken.

18.6.1 Definition

It is “... among other things participatory, transparent and accountable. It is also effective and equitable. And it promotes the rule of law.” – **UNDP**

It “... encompasses the role of public authorities in establishing the environment in which economic operators function and in determining the distribution of benefits as well as the relationship between the ruler and the ruled.” – **OECD (www.oecd.org/dac/)**

It is “... epitomized by predictable, open and enlightened policy making; a bureaucracy imbued with a professional ethos; an executive arm of government accountable for its actions; and a strong civil society participating in public affairs; and all behaving under the rule of law.” – **World Bank 1994: Governance: The World Bank's Experience.** Mechanisms for assuring good governance have three key elements: *Internal rules and restraints* (for example, internal accounting and auditing systems, independence of the judiciary and the central bank, civil service and budgeting rules); *“Voice” and partnership* (for example, public-private deliberation councils, and service delivery surveys to solicit client feedback); and *Competition* (for example, competitive social service delivery, private participation in infrastructure, alternative dispute resolution mechanisms, and outright privatization of certain market-driven activities). – **WDR 1997.**

18.6.2 Characteristics of Good Governance

Good governance has 8 major characteristics. It is participatory, consensus oriented, accountable, transparent, responsive, effective and efficient, equitable and inclusive and follows the rule of law. It assures that corruption is minimized, the views of minorities are taken into account and that the voices of the most vulnerable in society are heard in decision-making. It is also responsive to the present and future needs of society.

1. Participation: Participation by both men and women is a key cornerstone of good governance. Participation could be either direct or through legitimate intermediate institutions or representatives. It is important to point out that representative democracy does not necessarily mean that the concerns of the most vulnerable in society would be taken into consideration in decision making. Participation needs to be informed and

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organized. This means freedom of association and expression on the one hand and an organized civil society on the other hand.

2. Rule of Law: Good governance requires fair legal frameworks that are enforced impartially. It also requires full protection of human rights, particularly those of minorities. Impartial enforcement of laws requires an independent judiciary and an impartial and incorruptible police force.

3. Transparency: Transparency means that decisions taken and their enforcement are done in a manner that follows rules and regulations. It also means that information is freely available and directly accessible to those who will be affected by such decisions and their enforcement. It also means that enough information is provided and that it is provided in easily understandable forms and media.

4. Responsiveness: Good governance requires that institutions and processes try to serve all stakeholders within a reasonable timeframe.

5. Consensus Oriented: There are several actors and as many view points in a given society. Good governance requires mediation of the different interests in society to reach a broad consensus in society on what is in the best interest of the whole community and how this can be achieved. It also requires a broad and long-term perspective on what is needed for sustainable human development and how to achieve the goals of such development. This can only result from an understanding of the historical, cultural and social contexts of a given society or community.

6. Equity and Inclusiveness: A society's well being depends on ensuring that all its members feel that they have a stake in it and do not feel excluded from the mainstream of society. This requires all groups, but particularly the most vulnerable, have opportunities to improve or maintain their well being.

7. Effectiveness and Efficiency: Good governance means that processes and institutions produce results that meet the needs of society while making the best use of resources at their disposal. The concept of efficiency in the context of good governance also covers the sustainable use of natural resources and the protection of the environment.

8. Accountability: Accountability is a key requirement of good governance. Not only governmental institutions but also the private sector and civil society organizations must be accountable to the public and to their institutional stakeholders. Who is accountable to whom varies depending on whether decisions or actions taken are internal or external to an organization or institution. In general an organization or an institution is accountable to those who will be affected by its decisions or actions. Accountability cannot be enforced without transparency and the rule of law.

18.6.3 Benefits of Good Governance

1. Promotes Community Confidence

People are more likely to have confidence in their local government if decisions are made in a transparent and accountable way.

This helps people feel that local government will act in the community's overall interest, regardless of differing opinions.

It also encourages local governments to remember that they are acting on behalf of

their community and helps them to understand the importance of having open and ethical processes which adhere to the law and stand up to scrutiny.

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2. Encourages Elected members and Council Officers to be Confident

Elected members and council officers will feel better about their involvement in local government when good governance is practised.

Councillors will be more confident that they are across the issues, that they can trust the advice they are given, that their views will be respected even if everyone doesn't agree with them, and that the council chamber is a safe place for debate and decision making.

Officers will feel more confident in providing frank and fearless advice which is acknowledged and respected by councillors.

3. Leads to better Decisions

Decisions that are informed by good information and data, by stakeholder views, and by open and honest debate will generally reflect the broad interests of the community.

This does not assume that everyone will think each decision is the right one. But members of the community are more likely to accept the outcomes if the process has been good, even if they don't agree with the decision. They will also be less tempted to continue fighting or attempting to overturn the decision. So even the most difficult and controversial decisions are more likely to stick.

4. Helps local Government meet its Legislative Responsibilities

If decision-making is open and able to be followed by observers, it is more likely that local governments will comply with the relevant legal requirements. They will also be less likely to take shortcuts or bend the rules.

5. Supports Ethical Decision Making

Good governance creates an environment where elected members and council officers ask themselves 'what is the right thing to do?' when making decisions.

Making choices and having to account for them in an open and transparent way encourages honest consideration of the choices facing those in the governance process. This is the case even when differing moral frameworks between individuals means that the answer to 'what is the right thing to do' is not always the same.

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18.7 POST MODERN PUBLIC ADMINISTRATION

This Post Modern Public Administration discusses what "the conditions of post modernity are about, distinguishing between conditions in society and in social research. The subsequent focus is on how research in public administration has been influenced by postmodern ideas about carrying out research, reporting on some major works. We then turn to characterizing meta-scientific facets of the research such as social constructivism and pragmatism. Finally, the subject speculates about the future of postmodern analysis in public administration.

The approach is inspired by an understanding that the organization of science matters. Only a brief overview of some aspects of postmodern analysis in Public Administration is delivered. Recently, we have seen more comprehensive accounts: A book has provided

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a down to earth discussion about the development of the field (White 1999), and Miller (2002) has given us a state of the art discussion concerning his view of the field, particularly in relation to policy analysis. Broader and fuller accounts of the social sciences and postmodernism may be found in Rosenau (1992) and Hollinger (1994).

It is not easy to define a sharp borderline of the analysis of Public Administration. The field itself is cross-disciplinary, and many policy analyses concern the role of public administration. Therefore, some segments of policy analysis are included, mirroring the fact that some scholars are involved both in public administration research and policy analysis.

The problems of delimitation are reinforced by organizational differences between American and European Public Administration at the universities. The organization of European public administration is much closer to public policy than at many American universities. Scholars in Public Administration and Public Policy are often organized within the same department and teaching then takes place so that the fields are merged within the same university degree. Consequently, there is no easily identifiable and organized European group of scholars in the field of postmodern Public Administration, but there are individual scholars who pursue postmodern ideas in their research into public administration and policy analysis.

In the USA, there is a distinct group of scholars within public administration working on postmodern terms, i.e. they have a discourse which other scholars can identify and relate to most of them are associated with the Public Administration Theory Network, PAT-Net, which was founded in 1978, and has had annual conferences since 1988. Since the mid-1990s, the international membership has increased, particularly with scholars from Australia and Europe joining. Its journal, the Journal of Administrative Theory & Praxis (formerly Dialogue), is a quarterly which published its 25th volume in 2003. Modernity and Postmodern Conditions: The discourse of modernity and postmodern conditions takes place at several academic levels. Two are presented below: One regarding changes within society, and another discussing changes in the scientific communities. Both discussions primarily relate to conditions in the advanced Western democracies, there are few, if any, dealing with third world countries in this respect. The Fragmentation of Society: Social scientists have for more than 150 years been preoccupied with modernity and the characteristics of modern society - the original masters were Marx, Durkheim and Weber. Recent participants are too numerous to list, but see Beck, Giddens and Lash (1994) for a taste of the recent menu of the day. Verbatim, postmodern indicates that the modern is gone, and that something new, postmodern, has taken over. That is hardly the case. Rather, we have a situation where many facets of life are thoroughly

modern, but some trends indicate that things could be different, and if trends are indicative of future conditions, then society will in the longer run take qualitatively new forms. As things are, modern and postmodern conditions co-exist and create tensions with one another. I shall illustrate what is at stake by pairing examples illustrating the two forms. Modernity may be characterized by rationalization, centralization, specialization, bureaucratization and industrialization. At the core are advanced uses of scientific knowledge to further economic and social development, controlled and monitored by centers of knowledge and power. Coherence and integration dominate the vision, and

the industrial corporation and the bureaucratic welfare state are organizational hallmarks of modernity.

Postmodern conditions are characterized by fragmentation: An overarching rationale or vision is replaced by processes of reasoning, and we see trends towards decentralization, individualization and internationalization. Culture loses its national focus, people organize across organizational and even national boundaries, many feel that they are on the brink of chaos. The world-wide matrix organization, outsourcing and the user-run public organization are characteristic organizational features of postmodern conditions. The differences are illustrated by examples in table.

Table - Modern and postmodern conditions

Modern Rationalization	Postmodern Reasoning
Global visions	Particular interests
Production	Consumption
Mass Production	Flexible Specialization
Integration	Differentiation
Interest Organizations	Social Movements
Party Politics	Personality Politics
Bureaucracy	Adhocracy
National Culture	MTV images
Planning	Spontaneity
Reason	Imagination
Wholes	Fragments

On the left side is order, on the right chaos - if perceived from the left side. If the left side is viewed from the right side, it is a version of Weber's iron cage. Senior readers of this article probably look at postmodern conditions with modernistic glasses (left side), which were given to us by upbringing and education. Junior readers may view things from the right side. Maybe it is ironic that Marx's characterization of modernity "all that is solid melts into air" - in this interpretation rather characterizes postmodern conditions. Modernity is cohesion, postmodern conditions are disintegrative. But of course, modernity viewed from a traditional society was chaotic: people were uprooted from rural and village life, big city life took over. So this sort of evaluation depends on the viewer's perspective.

Seen from a public administration research angle, trends towards postmodern conditions are highly interesting and challenging. Since they are more or less the negation of Weber's bureaucracy, modernistic views of how to organize public agencies are disputed, and consequently, if postmodern thoughts are to be influential, textbooks should be rewritten.

The Construction of Science

Changes within the scientific field of public administration cannot be understood in isolation from changes within the social sciences as a whole. At the core is a postmodern attack on the basic idea of the Enlightenment, namely that improved knowledge is the means to develop the world - for a better world for the human race. The development of modernity undoubtedly is based on overwhelming uses of science and technology for increased industrial production, improved infrastructure and faster transport, paired with comprehensive representative democracy and massive bureaucratic governments. This development is frowned upon by many postmodernists because of its dark sides. Instead of liberation for mankind, they focus on oppression, repression and depletion. For instance, where modernists praise the

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freedom created by increased wealth from industrial production, the postmodernists see people disciplined by a powerful workplace, and resources such as rain forests are jeopardized.

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One consequence of this postmodern view of the world is that science is denied any privileged position as foundation of knowledge (Dickens and Fontana 1994, 8). Since the basic tenet of modernistic science is that it creates the truth about the state of the world, postmodernists remove truth from their conceptual baggage. Modernistic positivism, empiricism and deductive logic are replaced by postmodern hermeneutic analysis, contextuality and inductive reasoning. As a corollary, modern attempts at generalization, synthesis and determination (prediction) are replaced by postmodern exceptions, diversity (difference) and indeterminacy. In politics and administration many postmodernists analyze the marginalized, the oppressed and peripheral where modernists to a larger degree seek the governors, the powerful and liberated (Farmer 1997, 13). Metaphorically speaking, the modernist professor goes to Washington, DC to advise the President, while the postmodern professor helps out in the local shelter for the homeless. As scientists, postmodernists do not work with reality, or rather they see no adequate scientific means for representing one reality. In social sciences, the physical world is mostly only an environmental factor. Social scientists are more interested in asking about how we construct a representation of the social world. Social constructivists would answer that the concepts indicate a particular perspective on social phenomena which we can illustrate by statistics, interviews, narratives or other research techniques, but it is difficult to round up the usual suspects for a photo line-up if we want to present a policy community to the rest of the world.

Even the most ardent positivist will not claim that a voter turnout of 85 per cent is but one way of illustrating consequences of a democratic procedure - it is not democracy. But postmodern scholars go further than such a trivial observation. First, they contextualize all observations, claiming that knowledge is only valid among followers of the scientific paradigm that supported the specific way the data were constructed. Second, language is a medium to transfer observations to the rest of the world, but the truth value remains with that language, it is not possible to establish a one-to-one relationship between expressions about phenomena and their existence outside the linguistic convention. Discourse analysts carry this further than any other analysts. This general approach has several followers - with some variations among them, they pursue analysis as a version of structuration theory (Giddens 1984), using the concept of *poststructuralist analysis* (Wamsley and Wolf 1996; Gottweis 2003) to position their language (or discourse) analytical approach which acknowledges structure, but does not reduce the actors to outcomes of structure. Subjects, on the other hand, do not exist outside relations of various kinds, so the analysts prefers to speak of subject positions which are contingent and strategic locations within a specific discursive domain (Gottweis 2003, 253).

Discourse analysis, however, is a broad label (Torfinn 1999; McSwite 2000), and Europeans and Americans tend to use it in different ways. Most Americans lean towards a Habermasian version of discourse as a sphere for communication (Miller 2000), while Europeans largely take their departure from a linguistic conceptual basis (Kensen 2000). Nevertheless, there are, of course, exceptions on both sides of the Atlantic; Fischer (2003) gives an overview of the development of discourse and deliberative analysis, based on post empiricist policy analysis. Postmodernism and Public Administration:

A number of books from the Mid-1990s illustrate various postmodern critiques of the state apparatus and Public Administration as a scientific activity. We shall use them to illustrate in some detail how the critiques are voiced.

Postmodern writing on public administration started out in the USA in the late 1980s, by members of *PAT-Net* - whose members are not all postmodernists, though triggered a new series of discussions regarding the representation of research results in the group. Linda Dennard reflected on the shift in approaches in a funny, small piece, entitled “The Three Bears and Goldilocks meet Burrell and Morgan” (Dennard 1989), where a postmodern perspective (called the *Radical Humanist Paradigm*) was put on the adventurous Goldilocks, who “was wandering in a dark and solemn woods on a journey of self-discovery. Tired and despairing from the vacuous ethos of technicist society, she lay down to rest...” This perspective is contrasted with three others from modernity, of which one is the functionalist paradigm, according to which “... at 0600 hours, Goldilocks strayed from her Triple A Travel Agenda and got lost in the woods. She set her digital compass for North.

As those quotes illustrate, the discussions in the Pat-Net group concerned attempts to downgrade the traditional aspiration for conceptual precision followed by exact (preferably quantitative) measures to demonstrate accurately the extent and variation of the object of the research. Two years later, the tangible result was an anthology, *Images and Identities of Public Administration*. The images or metaphors used dealt with the roles of public administrators in the political system if they wanted to gain more legitimacy. Examples included the ‘phronemos’, a member of the ‘democratic elite’, the ‘steward’ and the ‘responsible actor’. Other contributors discussed the challenges to Public Administration as a field: It should be understood in terms of icons like the ‘pyramid’ (old PA) and the ‘circle’ (new PA) (Hummel 1990), or how to include the wisdom of the public administrators into the processes - a task far beyond technical rationality and requiring interpretive and critical skills (Kass 1990, 15-16). The authors, then, wanted the reader to relate to the subject of discussion, contemplate, and let the imagination wander on the basis of the impulses from the metaphors used in the text.

In various ways, these themes have been found in subsequent publications on Postmodern Public Administration. Much of the theoretical inspiration comes from European scholars. Foucault, Derrida and Laclau have had strong influence on much postmodern writing, regardless of scientific field. Foucault’s main significance may lie in his conception of power as something permeating all spheres of life, and thus it is not a phenomenon to be on the lookout for and - if possible - to curb, as modernists would do, but an energy which must be recognized and used variously in different situations. Power constitutes strategic possibilities of variance, thus it puts actors in relationships, developing through discourse which put the relations into terms of speech. The focus of the analysis, then, is on networks of negotiation between actors and fields. The essence of power becomes control of communication in networks. Foucault is also important in launching the concept of governmentality as his version of what later was labeled governance by other scientific camps. When we turn to language, Derrida helps us understand signifiers in ambiguous structures always in play, vibrating and under change, so that we cannot participate in a search for a general truth, we must participate in a game of interpretation concerning how knowledge is constituted, oriented towards ambiguity and the unsettled

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(Pedersen 1996; Farmer 1997). Laclau (1993) follows this line of reasoning, and he is frequently used as an anchor for analysis which is not aimed at listing facts, but at their conditional possibilities. Language is a structure, and the meaning of a word is not its physical referent, but its meaning in our heads; language is form, not substance. As a consequence, relational and meaningful totalities are to be analyzed as discourses, they combine linguistic and extra-linguistic elements into a totality. They are dynamic regarding their identity, depending on the contexts they are linked to through language or social actions.

A persistent postmodern theme is a critique of the modern, rationalistic model of the actor and the public organization, in accordance with other postmodern attacks on the Enlightenment. This is found in *The Language of Public Administration* (Farmer 1995), which is a complex deconstruction of public administration theory and a modernistic construct. Using four analytical elements, it offers an alternative understanding. Imaginization (as we learned from Morgan (1986) above), is for postmodern analysis what rationalization is for modern analysis. It means that one thinks of possibilities within a wide range; imaginization is placed between perception and the intellect, and is used to transform impressions into thought. Thereby, particulars are becoming important, instead of the generalizing trends by modern subsumption of any activity under a rule. Deconstruction, the second element, is a pervasive way of approaching an understanding of phenomena; it is not restricted to being an analytical method or a critique. It is a way of appreciating texts under particular circumstances with the aim of dismantling received views of what that text stands for. The third element, deterritorialization, means that modern understandings of representation are negated; postmodernity means the end of the logocentric metaphysics of presence. This is where the social constructivist understanding of research activities becomes important; the realization that not much may be understood by itself, but only as part of an human interaction about understandings of the phenomenon. Finally, alterity means a moral stance that counterweighs the standard bureaucratic-efficiency understanding of public administration, an anti-administration stance in Farmer's terms (later analyzed in Farmer (1998)), reducing authority and helping service-orientation, and further developed in Farmer (2001). The message, then, is that there is not only one way of understanding, and diversity must be furthered; thus there would be no category of "woman", but a white, Jewish, middle class, a lesbian, a socialist, a mother; all calling for a particularized understanding of their circumstances.

The consequences of rationalist thinking about realizing responsible government is discussed in *Responsibility as a Paradox* (Harmon 1995), criticizing rationalists for seeing responsible action as synonymous with legally correct action. Harmon elaborates three paradoxes which arise out of rationalist responsibility (Harmon 1995, 8-10). Rationalism splits the meaning of obligation and freedom and creates the paradox of obligation which attenuates individuals, who are bound to obey superiors within the rules of the contract agreed with them, from being essentially free. The paradox of agency comes on the one hand, from an overassertion (by conservatives) of the role of the individual in terms of guilt, and hence a neglect of the role of collectivities in the relations that must come up when someone is held accountable. On the other hand, to hold collectivities solely responsible for the conduct of individuals (a liberal reaction) creates nothing but victimization. Rationalism finally creates the third paradox of accountability by splitting personal responsibility and political authority into two spheres, hence making them

incompatible.

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Harmon introduces the skeleton of a social constructivist approach to the problems he confronts. To illustrate his points, he uses a character from a well-known British series of novels, Horatio Hornblower (a navy officer, the King's dutiful servant), as the leading character of public administration. He thus introduces a scientific discussion based on a simulacrum. He links the resolution of paradoxes to practical action, claiming that practical action in the face of paradox is "to reject any strict distinction between the factual and the moral. Factual understandings of social life always presuppose categories of moral appraisal, while moral judgment is inevitably limited, but also enabled, by factual assessment of their meaning and their likely success or failure". Philosophically, this line of reasoning is pragmatic in character, and there are some signs of relativism or at least denunciations of universal, abstract principles. Still, his understanding of a common good and his quest for solidarity and community makes the text "less postmodern" than Farmer's, in spite of its clever uses of a simulacrum.

In Postmodern Public Administration, the focus is changed from mainly logic within the bureaucratic system to broader, democratic consequences for the citizenry. It is based on Habermasian discourse theory, stressing the need for analysis based on interactive networks. The authors present a model for authentic discourse than leads to their understanding of the active citizen as a worthy agent in public affairs. The basic premise of the analysis is a dissatisfaction with the basic model of Western democracy, the "loop model", in essence an input-output-feedback understanding of democratic decision-making, with dividing lines between politics and administration, and the idea of the neutral public employee having the voter as a client. Fox and Miller's alternative is an authentic and sincere discourse.

18.8 SUMMARY

From the above discussion it should be clear that good governance is an ideal which is difficult to achieve in its totality. Very few countries and societies have come close to achieving good governance in its totality. However, to ensure sustainable human development, actions must be taken to work towards this ideal with the aim of making it a reality. Postmodern public administration has some thematic focal points of criticism. First of all, there is a criticism of the enlightenment and its modernistic consequences, with the bureaucratic organization and its rational procedures as the icons. The critique leads to an interest in public administrators and how they may serve a broader role as energetic developers of a better society for every one, but particularly the weak. Therefore, postmodernists have little interest in civil servants serving power holders as well as the power holders themselves (the presidency etc.). Still, postmodernists have something to add to the field of public administration in discussions on the rationales of the expanded state, in particular the welfare state - within such themes as democratic governance, links to the public, interaction with clients, and methods of evaluation of the consequences of public policies.

Second, postmodernists criticize generalizing science, and their anti-foundationalist stance lead them to a new pragmatism theories are to serve a purpose of change, or none. As a consequence, many have an interest in democratic theory as a means of creating

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better and - in a broad sense - more ethical decisions that support the minorities. The criticism, then goes beyond faultfinding, and leads to pragmatic, and hence constructive solutions.

There is not a unifying, postmodern approach. One may find several versions of discourse analysis; one more in the line of Habermasian critical theory, another one more following principles from Foucault, and Laclau and Mouffe. In any case, we witness hermeneutical qualitative discussions rather than statistical analysis. The scholarly characteristics of postmodern public administration may aptly be caught by negating McCloskey's "Ten Commandments of the Golden Rule of Modernism" (as quoted by Fanner 1995, 72). The transformation would then lead to something like: "By scholarly endeavors, we want to understand specific events, which we cannot expect to observe in any generalized way, but it will help to make people involved narrate about their understanding. Theory is to be used instrumentally for changing unsatisfactory conditions in the world, and subjective understandings of such conditions matter to the scholar in such work. Qualitative, not quantitative measures are important, and it is not possible to elevate any reasoning above other reasonings because of the application of a particular method. Instrumental use of theory must, be justified by the conditions of the case, one cannot use generalized theory to classify action. Scholars have the same right as any one else to be normative."

Judged by the standards of most textbooks on the ontology, epistemology and methodology of mainstream social science, such a statement leaves many themes for rather heated discussion between modernists and postmodernists.

18.9 KEYWORDS

- **Governance:** The concept of "governance" is not new. It is as old as human civilization. Simply put "governance" means: the process of decision-making and the process by which decisions are implemented (or not implemented). Governance can be used in several contexts such as corporate governance, international governance, national governance and local governance.
- **Public Governance:** It is useful to note the distinction between the concepts of governance and politics. Politics involves processes by which a group of people (perhaps with divergent opinions or interests) reach collective decisions generally regarded as binding on the group, and enforced as common policy.
- **Global Governance :** Global governance is defined as "the complex of formal and informal institutions, mechanisms, relationships, and processes between and among states, markets, citizens and organizations, both inter- and non-governmental, through which collective interests on the global plane are articulated, right and obligations are established, and differences are mediated".

18.10 REVIEW QUESTIONS

1. Describe the concept of governance.
2. Explain meaning and characteristics of good governance.
3. Discuss benefits of good governance.
4. Explain types of governance.
5. Write an essay on post-modern public administration.

Shaik Naseem

UG Languages

 cymbalaria

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విజయోస్తు

మమ్మీ అన్న మాటలో మమకారం కన్న
అమ్మ! అన్న మాటలో మాధుర్యం మిన్న
అమ్మ నుండి అలవడే అమృత భాష
ఆత్మీయతను పెంచే ఆంధ్ర భాష

మాధుర్యాన్ని పెంచే మాన్యభాష
రాగసుధలను రంగరించే రాష్ట్ర భాష
మమకారాన్ని పంచే మాతృభాష
తేనెలొలుకు భాష మన తెలుగు భాష

తెలుగు భాషను గౌరవిద్దాం
తెలుగు భాషలో మాట్లాడుదాం
తెలుగు జాతికి వన్నెతెద్దాం
ఇదే తెలుగుతల్లికి మనమిచ్చే నీరాజనాలు

- రచయితలు

జనరల్ తెలుగు / సెమిస్టర్ - 1

ప్రాచీన తెలుగు కవిత్వం

ఈ కోర్సు విజయవంతంగా ముగించాక, విద్యార్థులు క్రింది అభ్యసన ఫలితాలను పొందగలరు.

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2. శివకవుల కాలంనాటి మతపరిస్థితులను, భాషావిశేషాలను గ్రహిస్తారు. తెలుగు సుడికారం, సామెతలు, లోకోక్తులు మొదలైన భాషాంశాల పట్ల పరిజ్ఞానాన్ని పొందగలరు.
3. తిక్కన భారతంనాటి మత, ధార్మిక పరిస్థితులను, తిక్కన కవితాశిల్పాన్ని, నాటకీయతను అవగాహన చేసుకోగలరు.
4. ఎఱ్ఱన సూక్తివైచిత్రిని, ఇతిహాస కవిత్వంలోని విభిన్న రీతులపట్ల అభిరుచిని పొందగలరు. శ్రీనాథుని కాలం నాటి కవితావిశేషాలను, మొల్ల కవితా విశిష్టతను గుర్తించగలరు.
5. తెలుగు పద్యం స్వరూప-స్వభావాలను, సాహిత్యాభిరుచిని పెంపొందించుకుంటారు. ప్రాచీన కావ్యభాషలోని వ్యాకరణాంశాలను అధ్యయనం చేయడం ద్వారా భాషాసామర్థ్యాన్ని, రచనలో మెళకువలను గ్రహించగలరు.

పాఠ్య ప్రణాళిక

యునిట్ - I

రాజనీతి

-

నన్నయ

మహాభారతం - సభాపర్వం - ప్రథమాశ్వాసం - (26-57 పద్యాలు)

యునిట్ - II

దక్షయజ్ఞం - నన్నెచోడుడు

కుమారసంభవం - ద్వితీయాశ్వాసం - (49 - 86 పద్యాలు)

యూనిట్ - III

ధామ్య ధర్మోపదేశము - తిక్కన

మహాభారతం - విరాటపర్వం - ప్రథమాశ్వాసం - (116 - 146) పద్యాలు

యూనిట్ - IV

పలనాటి బెబ్బులి - శ్రీనాథుడు (పలనాటి వీరచరిత్ర - ద్విపద కావ్యం పుట 108 - 112 'బాలచంద్రుడు భీమంబగు సంగ్రామం జొనర్చుట.. (108)...

వెతిగంది కుంది' (112) సం. అక్కిరాజు ఉమాకాంతం ముద్రణ. వి. కె. స్వామి, బెజవాడ 1911.

యూనిట్ - V

సీతారావణ సంవాదం - మొల్ల

రామాయణము - సుందరకాండము - (40 - 87 పద్యాలు)

వ్యాకరణం

సంధులు: ఉత్ప, త్రిక, ద్రుతప్రకృతిక, నుగాగమ, ద్విరుక్తటకారాదేశ, యణాదేశ, వృద్ధి, శ్చుత్వ, జశ్వ, అనునాసిక సంధులు.

సమాసాలు: అవ్యయిభావ, తత్పురుష, కర్మధారయ, ద్వంద్వ, ద్విగు, బహువ్రీహి.

అలంకారాలు:

అర్థాలంకారాలు: ఉపమ, ఉత్పేక్ష, రూపక, స్వభావోక్తి, అర్థాంతరవ్యాస, అతిశయోక్తి.

శబ్దాలంకారాలు: అనుప్రాస (వృత్త్యనుప్రాస, ఛేకామప్రాస లాటానుప్రాస, అంత్యానుప్రాస) ఛందస్సు

వృత్తాలు: ఉత్పలమాల, చంపకమాల, శార్దూలము, మత్తేభము;

జాతులు: కందం, ద్విపద; ఉపజాతులు: ఆటవెలది, తేటగీతి, సీసం మరియు ముత్యాలసరాలు

విషయ సూచిక

ప్రాచీన తెలుగు కవిత్వం

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సన్నయ్య

1.1 ఉద్దేశం

ప్రజలను పరిపాలించు ప్రభువు ఎలాంటి రాజనీతిని అవలంబించ వలసి ఉంటుందో ఈ పాఠ్యాంశము ద్వారా తెలుసుకోవచ్చు.

1.2 కవి పరిచయం

నన్నయ క్రీ.శ. 11 వ శతాబ్దికి చెందిన కవి. చాళుక్య ప్రభువైన రాజరాజనరేంద్రుని ఆస్థానంలో ఉండేవాడు. ఈయన ఆదికవి, వాగానుశాసనుడు, శబ్దశాసనుడు అనే బిరుదులతో విరాజిల్లినాడు. నన్నయ ఆంధ్ర మహాభారతం ఆది, నభా, అరణ్యపర్వంలోని చతుర్దాశ్వాసంలోని 142 వ పద్యం వరకు ఆంధ్రీకరించాడు. ఈయన ఆంధ్రశబ్ద చింతామణి వ్యాకరణ గ్రంథాన్ని రచించాడు. “చాముండికా విలాసము”, “ఇంద్ర విజయము”, “లక్షణసారము”, “రాఘవాభ్యుదయము” అనే గ్రంథాలను రచించినాడని అంటారు. ఇవి అలభ్యాలు. భారత రచనలో నన్నయకు నారాయణభట్టు సహాయకుడిగా ఉన్నట్టు, ఈయన సంస్కృత, పైశాచిక, కర్ణాటాంధ్ర భాషలలో కవిశేఖరగా ఖ్యాతినొందినట్టు ప్రతీతి. ఈ పాఠ్యభాగం నన్నయ రచించిన ఆంధ్ర మహాభారతం సభాపర్వం - ప్రథమాశ్వాసం నుండి గ్రహించబడింది.

నన్నయ కవిత్వంలో ప్రసన్న కథా కలితార్థయుక్తి, అక్షర రమ్యత, నానారుచిరార్థ సూక్తి నిధిత్వమువంటి లక్షణాలున్నాయి.

1.3 మహాభారత ప్రాశస్త్యము

ఇది భారతీయుల ఇతిహాసం, మానవజీవన వికాసం, (యదిహాస్తితదన్యత్ర యన్నేహస్తి నతత్కృపిత్) ధర్మార్థ, కామ, మోక్షాల గురించి భారతంలో ఉన్నదే లోకంలో ఉన్నది.

ఇందులో లేనిది ఎక్కడా లేదు. సంస్కృతంలో వేదవ్యాసుడు 'జయమ్' అనే పేరుతో సకల పురాణాల, నాలుగు వేదాల సారాన్ని ప్రతిపాదిస్తూ మహాభారతాన్ని రచించడం జరిగింది. దీనిని పంచమ వేదంగా కూడా భావిస్తారు.

పాఠ్యభాగ సందర్భం: శ్రీకృష్ణుని కోరికపై ధర్మరాజు రాజసూమయాగం చేస్తాడు. మయుడు నిర్మించి ఇచ్చిన అపూర్వమైన సభాభవనంలో వైభవంగా ప్రవేశిస్తాడు. ఆ సమయంలో వచ్చిన నారదుడు ధర్మరాజుకు 'రాజనీతి'ని బోధిస్తాడు.

1.4 పాఠ్యభాగం

సీ॥ మీ వంశమున నర దేవోత్తములదైన
సద్ధర్మమార్గంబు సలుపుదయ్య?
ధర్మ విదుండవై ధర్మార్థకామంబు
లోండొంటి బాధింపకుండ నుచిత
కాల విభక్తముల్ గా లీల సేవితె?
ధర్మపునంద చిత్తంబు నిలిపి
యిమ్ముల నపరరాత్రమ్ములం దెప్పుడు
జింతితె నిజబుద్ధి జేయందగిన

ఆ రాజకృత్యములం? దిరంబుగా నిఖిల ని
యోగ వృత్తులందు యోగ్యులయిన
వారిం గరము గారవమ్మునం బంచితె
నీవు వారిదైన నేర్పెఱింగి

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క. అనఘుల శాస్త్ర విధిజ్ఞుల
ననురక్తులం బితృపితామహాక్రమమున వ
చ్చిన విప్రుల మంత్రులంగా
నొనరించితె కార్య సంప్రయోగము పొంటెన్

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క. రాజునకు విజయమూలము
రాజిత మంత్రంబు; సుస్థిరంబుగ దానిన్
రాజాస్వయ రక్షితె ధ
రాజనులకుం గర్హగోచరము గాకుండన్

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- క. ధీరుడు ధర్మాధర్మవి
శారదుడు బహుశ్రుతుండు సమచిత్తుడు వా
ణీ రమణీ శ్రిత వదన స
రోరుహుఁ డనఁ జనునె నీ పురోహితుఁ డధిపా! 29
- క. జనవర! నీ యజ్ఞములం
దనవరతనియుక్తుడయిన యాజ్ఞకుఁడు ప్రయో
గ నిపుణుడై యేమ అకుం
డునె నిజకృత్యముల నెప్పుడును సమబుద్ధిన్ 30
- క. నానావిధరణ విజయమ
హానిపుణు లవార్యవీర్య లనఁదగువారిన్
సేనాధ్యక్షులఁ జేసితె
నీ నమ్మిన వారి మాననీయుల హితులన్ 31
- చ. కడుఁజనువాఁడునై పురుషకారియు దక్షుడునైన మంత్రి పెం
పడరఁగ రాజపుత్రుల మహాధనవంతులఁజేసి వారితో
నొడబడి పక్ష మేర్పడఁగ నుండఁడుగా, ధనమెట్టి వారికిం
గడుకొని సేయకుండునె జగన్నుత! గర్వము దుర్విమోహమున్ 32
- క. క్షితినాథ! శాస్త్రదృష్టి
ప్రతిభను దివ్యాంతరిక్ష భౌమోత్పాత
ప్రతికారులగుచు సన్యా
నితులయి వర్తింతురయ్య నీదైవజ్ఞుల్ 33
- క. అనిశము సేవించురె ని
న్ననఘా! యష్టాంగమైన యాయుర్వేదం
బున దక్షులైన వైద్యులు
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- క. సారమతిఁజేసి మానస
శారీర రుజావళులకు సతతంబుఁబ్రతీ
కారములు సేయుచుండుదె
యారఁగ వృద్ధోపసేవ నౌషధసేవన్ 35

- క. ఉపధాశుద్ధులఁబాప
వ్యపగత బుద్ధుల వినీతివర్తుల సములన్
సుపరీక్ష నియోగించితె
నిపుణుల నర్థార్జనాదినృపకార్యములన్ 36
- ఉ. ఉత్తమ మధ్యమాధమ నియోగ్యత బుద్ధి నెఱింగి వారి న
యుత్తమ మధ్యమాధమ నియోగములన్ నియమించితే నరేం
ద్రోత్తమ! భృత్యకోటికి ననూనముగాఁ దగుజీవితంబు లా
యత్తము సేసియితైదయ నయ్యయికాలము దప్పకుండఁగన్ 37
- క. తమతమ కనియెడె తఱి జీ
తము గానక నవయు భటుల దౌర్గత్య విషా
దము లేలనివాని కవ
శ్యము నెగ్గొనరించు నతఁడు శక్రుండైనన్ 38
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త్యులకును సత్కారమర్థితోఁ జేయుదె? వా
రలు నీ ప్రస్తవమున ని
మ్ములఁ గృతము దలంచి ప్రాణములు విడుతు రనిన్ 39
- క. అనఘా! నీ ప్రస్తవమున
నని నీల్గినవీరభటుల యనుపోప్పుల నె
ల్లను బ్రోతె భోజనాచ్చా
దానముల వారలకు నెమ్మి దఱుఁగక యుండన్ 40
- క. ధనలుబ్ధుల మ్రుచ్చులఁ గూ
ర్పని వారలఁ బగఱవలని వారల ధృతి చా
లని వారల దుర్జనులం
బనుపవుగా రాజకార్యభారము దాల్చన్ 41
- క. చోరభయవర్జితముగా
ధారుణిఁ బాలింతె, యధికధనలోభమునం
జోరుల రక్షింపరుగా
వారలచే ధనముగొని భవద్భృత్యవరుల్ 42

- క. ధరణీనాథ! భవద్భుజ
పరిపాలితయైన వసుధఁ బరిపూర్ణములై
కరమొప్పుచున్నె చెఱువులు
ధరణీ కవగ్రహభయంబు దనుకక యుండన్ 43
- క. హీనులగు కర్షకులకును
భూసుత! ధాన్యంబు బీజములు, వణిజులకున్
మానుగ శతైకవృద్ధి న
నూనముగా బుణము లితై యుత్తమబుద్ధిన్ 44
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లాంగులను నబాంధవుల దయంబ్రోతె? భయా
ర్తుం గడిచి శత్రునైనను
సంగరరంగమునఁ గాతె శరణంబనినన్ 45
- క. కృత మెఱిగి కర్త నుత్తమ
మతుల సభల సంస్తుతించిమఱవక తగు న
తృప్తి సేయదె? కృతమెఱిగెడు
పతియె జగజ్జనుల నెల్లఁ బరిపాలించున్ 46
- సీ. ఆయంబునందు నాలవ భాగముండె మూఁ
డవ భాగమొండె, సం దర్భమొండె
గాని మిక్కిలి సేయఁగాదు వ్యయంబని
యవధరించితె బుద్ధి నవనినాథ!
యాయుధాగారధనాధ్యక్షములయందు
పరవాజివారణావళులయందు
బండారములయందుఁ బరమవిశ్వాసుల
భక్తుల దక్షులఁ బంచితయ్య?
- ఆ. గురులవృద్ధ శిల్పివరవణిగ్నాంధవ
జనుల నాశ్రితులను సాధుజనులఁ
గరుణఁ బేదఱికము వొరయకుండఁగఁ బ్రోతె
సకల జనులు నిన్ను సంస్తుతింప 47
- క. వలయు నమాత్యులు జుట్టుం
బులు మూలబలంబు రాజపుత్రులు విద్వాం
సులు బలసియుండ నిచ్చులుఁ
గొలుపుండుదె లోకమెల్లఁగొనియాడంగన్ 48

- క. పరికించుచు బాహ్యభ్యం
తరజనముల వలన సంతతము నిజరక్షా
పరుండవయి పరమహీశుల
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- క. వెలయగ విద్వజ్జన ము
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మ్ముల లోకవ్యహార
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- ఆ. వార్తయందు జగము వర్తిల్లుచున్నది
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సంధకారమగులగుదురు గావున
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- ఆ. దార సంగ్రహంబు ధారణీశ!
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దత్త భుక్తఫలము ధానము, వేదము లగ్ని
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- చ. బహుధనధాన్య సంగ్రహము బాణశరాసన యోధవీర సంధ
గ్రహము నిరంతరాంతరుదకంబులు ఘాసరసేంధనౌఘ సం
గ్రహము ననేకయంత్రములుం గల్గి యసాధ్యములై ద్విషద్భయా
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- చ. వదలక బుద్ధి సంతరరి వర్గము నోర్చి జితేంద్రయుండ వై
మొదలన దేశకాలబలముల్ మఱి దైవబలంబుం గల్గి భూ
విదిత బలుండవై యహితవీరుల నోర్వంగ నుత్సహింతె దు
ర్మద మలినాంధ చిత్తుల బ్రమత్తుల నింద్రియ నిర్జితాత్ములన్ 54
- తే. కడిది రిపులపైఁ బోవంగఁ గడగియున్న
నీకు ముందఱఁజని రిపున్యపులయందుం
దగిలి సామాద్యుపాయంబు లొగిన సంప్ర
యోగమునఁజేసి వర్తిల్లుచున్నె చెవుమ 55

వ. మఱియు నాస్తిక్యం బన్పతంబు ప్రమాదం బాలస్యం బనర్థజ్ఞుల తోడి చింతనంబు క్రోధంబు దీర్ఘచింత దీర్ఘసూత్రత యెఱుక గలవారి నెఱుంగమి యర్థంబుల యందనర్థక చింత నిశ్చిత కార్యంబులు సేయమి మంత్రంబుల రక్షింపమి శుభంబులఁ బ్రయోగింపమి విషయంబులం దగులుటయనంబురింగిన పదునాలుగు రాజదోషంబులఁ బరిహరింతె? యని యడిగిన నారదునకు ధర్మరాజుట్లనియె.

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తే. నాయథాశక్తిఁ జేసి యన్యాయ పథముఁ
బరిహరించి మహత్ముల చరితలందు
బుద్ధి నిలిపి మీ యుపదేశమున శుభంబు
లయిన వాని ననుష్ఠింతుఁ బ్రియముతోడ

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1.5 పాఠ్యభాగ పరిచయం

ఖాండవవన దహన సమయంలో కృష్ణార్జునులు “మయుడనే” గంధర్వుని రక్షించారు. అందుకు ప్రతిగా వారిని మయుడు ఏమైనా కోరుకోమని అర్థించాడు. కృష్ణుడు ఎంతగానో ఆలోచించి ధర్మరాజుకు చక్కని సభా మండపాన్ని నిర్మించి ఇమ్మని కోరాడు. అందుకు అంగీకరించిన మయుడు అద్భుత విశేషాలతో నిండిన సభా భవనాన్ని నిర్మించి ఇచ్చాడు. అందుకే దానికి ‘మయసభ’ అనే పేరు. పాండవులు సభా భవన ప్రవేశ సమయంలో వివిధ దేశాల రాజులు, వివిధ లోకాల నుంచి మహర్షులు, దేవతలు విచ్చేశారు. ధర్మరాజును ఆశీర్వదించారు. ఒకనాడు నారదుడు వచ్చి ధర్మరాజునకు రాజనీతి సూత్రాలను తెలుపుతూ, ‘నీవు ఆ విధానంలో నడుచుకుంటున్నావు కదా’, ‘ధర్మపాలన చేస్తున్నావు కదా’ అని అడిగాడు. అందుకు ధర్మరాజు వినయంగా మీరు తెలియజేసిన మార్గంలోనే రాజ్యపాలన చేస్తున్నానని, చేస్తూ ఉంటానని చెప్పాడు. ఈ సందర్భంగా నారదుడు చెప్పిన రాజనీతి సూత్రాలే ఈ పాఠ్యాంశము.

1.6 కఠిన పదాలకు అర్థాలు

నరదేవ + ఉత్తముల + అది + ఐన	=	రాజశ్రేష్ఠులడైన
సత్ + ధర్మ మార్గంబు	=	మంచి ధర్మ పద్ధతిని
సలుపుదు + అయ్య	=	ఆచరిస్తున్నావు కదా
ధర్మవిదుండువు + ఐ	=	ధర్మం తెలిసిన వాడివై
ఒండు + ఒంటి	=	ఒకదాన్ని ఒకటి
కాన్	=	కాగా

లీల	=	సంతోషముగా
ధర్మపున్ + అందు + అ	=	ధర్మమందే
చిత్తము	=	మనస్సు
ఇమ్ములన్	=	ప్రీతిగా
అపరరాత్రముల + అందున్	=	రాత్రి ఉత్తర భాగంలో (అర్ధరాత్రి తరువాత)
రాజకృత్యములన్	=	రాజకార్యాలను
చింతింతె (చింతింతువు + ఎ)	=	ఆలోచిస్తున్నావు కదా!
తిరంబుగాన్	=	స్థిరంగా
నిఖిల, నియోగ, వృత్తుల + అందున్	=	అన్ని ప్రభుత్వ ఉద్యోగాల్లో
యోగ్యులు + ఐన	=	తగినవారిని
కరము	=	మిక్కిలి
గారవమ్మునన్	=	గౌరవభావంతో
పంచితే (పంచితివి + ఏ)	=	నియమించావు కదా!
అనఘులన్	=	పాపాత్ములు కానివాళ్ళను
శాస్త్ర విధిజ్ఞులన్	=	శాస్త్ర నియమాలు తెలిసినవారు
అనురక్తులన్	=	(మీ మీద) ప్రేమకల వాళ్ళు
విప్రుల్	=	బ్రాహ్మణులు
కార్య సంప్రయోగముపొంటెన్	=	రాజకార్యనిర్వహణం కొరకు
ఒనరించితె	=	చేశావు కదా!
రాజు + అన్వయ	=	చంద్రవంశానికి చెందిన ఓ ధర్మరాజు!
రాజిత మంత్రంబు	=	చక్కని రహస్యాలోచన
సుస్థిరమ్ముగా	=	పదిలంగా
కర్ణగోచరము కాకుండన్	=	చెవిని పడకుండా
అధిపా	=	ఓ రాజు
ధీరుడు	=	ధైర్యశాలి

బహుశ్రుతుండు	=	అనేక వేద శాస్త్రా లెరిగినవాడు
అనన్ + చనునే	=	అని అనదగినవాడే
జనవర	=	ఓ రాజా!
యాజ్ఞీకుడు	=	యాజ్ఞం చేయించే బ్రాహ్మణుడు
నిజకృత్యముల్	=	తానే చేయదగిన పనుల్లో
వీర్వులు	=	ఎదిరించ సాధ్యం కాని పరాక్రమం కలవాళ్ళు
మానసీయులన్	=	గౌరవింపదగిన వాళ్ళను
హితులు	=	మేలు కోరే వాళ్ళను
జగత్ + సుత	=	లోకం చేత కీర్తింపబడేవాడా!
చనువాడన్ + ఐ	=	పలుకుబడికలవాడై
పురుషకారియున్	=	కృషి చేసేవాడు
పెంపు + అదరంగన్	=	అతిశయం
ఒడబడి	=	చేతులు కలిపి
క్షతినాథా	=	భూమికి అధిపతి అయిన ఓ రాజా (ధర్మరాజా) !
దివ్య + అంతరిక్ష	=	దేవతా సంబంధులు, ఆకాశ సంబంధులు
భౌమ + ఉత్పాత	=	భూ సంబంధాలైన అనర్ధాలకు
ప్రతీకారులు + అగుచున్	=	విరుగుడు తెలిసినవారు
వర్తింతురు + అయ్య	=	నడుచుకుంటున్నారు కదా!
అనిశము	=	ఎల్లప్పుడు
అనురక్తులు + ఐ	=	ప్రేమగలవారై
సారమతిన్ + చేసి	=	నిపుణమైన బుద్ధితో (చక్కగా ఆలోచించి)

సతతంబున్	=	ఎల్లప్పుడు
ఆరగన్	=	ఒప్పుగా
వృద్ధ+ ఉపసేనన్	=	వృద్ధులను సేవించుట చేత
ఉపధా, శుద్ధులన్	=	ధర్మ పరీక్షల చేత పరిశు- ద్ధులైనవారు.
వినీత వర్తలు	=	వినయవంతులు
అనూనముగాన్	=	కొరతలేకుండా

1.7 ప్రతిపదార్థ : తాత్పర్యాలు

చ. కడుఁజనువాఁడునై పురుషకారీయు దక్షుడునైన మంత్రి పెం
పడరఁగ రాజపుత్రుల మహాధనవంతులఁజేసి వారితో
నొడబడి పక్ష మేర్పడఁగ నుండఁడుగా, ధనమెట్టి వారికిం
గడుకొని చేయకుండునె జగన్నుత! గర్వము దుర్విమోహమున్

పరిచయం: ఈ పద్యం శ్రీ.శ. 11 వ శతాబ్దికి చెందిన నన్నయచే రచింపబడినది. ఆంధ్ర మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసం నుండి తీసుకోబడిన 'రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నయ రాజరాజనరేంద్రుని ఆస్థానకవి. ఇతనికి 'ఆదికవి' శబ్దశాసనుడు (వాగాను శాసనుడు) అను బిరుదుములు కలవు. నన్నయ 'మహాభారతం'లో ఆది, సభాపర్వాలు, అరణ్యపర్వంలో కొంతభాగాన్ని ఆంధ్రీకరించెను.

సందర్భం: ఖాండవ వన దహన సమయంలో కృష్ణార్జునులచే రక్షణ పొందిన 'మయుడు' అద్భుతమైన 'మయసభా భవనాన్ని' నిర్మించి వారికి ఇచ్చాడు. ధర్మరాజు 'మయసభా' ప్రవేశ సమయములో వివిధ లోకముల నుంచి దేవతలు, మహర్షులు, వివిధ దేశాల రాజులు సభా భవనాన్ని చూసి తన్మయులై పాండవులను కీర్తించి వెళ్ళిన తరువాత నారద మార్షి వచ్చాడు. పాండవులు అతనిని ఎంతగానో గౌరవించారు. అతడు వారి కుశలములను తెలుసుకొన్న పిదప ప్రత్యేకించి ధర్మరాజుతో 'రాజనీతి' విషయాలను ప్రస్తావించిన సందర్భం.

ప్రతిపదార్థం:

జగత్ + నుత!	=	లోకం చేత కీర్తించబడే ఓ ధర్మరాజా!
కడున్	=	మిక్కిలి

చనువాడున్ +ఐ	=	పలుకుబడికలవాడై
పురుషకారియున్	=	కృషిచేసేవాడూ
దక్షుడును + ఐన	=	సమర్థుడును అయిన
మంత్రి	=	మంత్రి
పెంపు + అడరగన్	=	అతిశయం మీర
మహాధనవంతులన్	=	గొప్పసంపన్నులను
చేసి	=	చేసి
ఒడంబడి	=	చేతులు కలిపి
పక్షము + ఏర్పడంగన్	=	వ్యతిరేక వర్గం ఏర్పడేటట్లుగా
ఉండడుగా	=	ఉండటం లేదుకదా!
ధనము	=	సంపద అనేది
ఎట్టివారికిన్	=	ఎటువంటి వాళ్ళకైనా
కడుకొని	=	పూని
గర్వమున్	=	గర్వాన్ని
దుర్విమోహమున్	=	చెడ్డదైన మితిమీరిన కాంక్షను
చేయక + ఉండునే	=	కలిగించకుండా ఉంటుందా?

తాత్పర్యం: ధర్మరాజా! ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలి, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజ పుత్రుల్ని మహా ధనవంతులుగా చేసి, వాళ్ళతో చేతులు కలిపి, నీకు వ్యతిరేకంగా ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధనం ఎటువంటి వాళ్ళకైనా దురాశను, గర్వాన్ని కలిగిస్తుంది కదా!

విశేషం: ఈ కోవకు చెందిన మంత్రులు కలియుగ రాజకీయాల్లో గణనీయంగా ఉన్నారు. అటువంటి వారిని ఓ కంట కనిపెట్టడం మంచిదని ఆనాడే నారదుడు హెచ్చరించాడు.

ఈ పద్యంలోని అలంకారం - అర్ధాంతరన్యాసం

విశేష విషయాన్ని సామాన్య విషయంతో గాని, సామాన్య విషయాన్ని విశేష విషయంతో గాని సమర్థించి చెప్పడమే అర్ధాంతరన్యాసం.

సంధులు:

కడున్ + చనువాడు	=	కడున్ జనువాడు	=	ద్రుత ప్రకృతిక సంధి
దక్షుడును + అయిన	=	దక్షుడునయిన	=	ఉత్పసంధి
ధనవంతులన్ + చేసి	=	ధనవంతుల జేసి	=	ద్రుత ప్రకృతిక సంధి
పక్షము + ఏర్పడగ	=	పక్షమేర్పడగ	=	ఉత్పసంధి
ధనము + ఎట్టివారిన్	=	ధనమెట్టివారిన్	=	ఉత్పసంధి
జగత్ + నుత	=	జగన్నుత	=	అనునాసిక సంధి

సమాసములు:

జగన్నుత	=	జగములచే పొగడబడినవాడు	=	బహుప్రీహి సమాసం
గర్వము దుర్విమోహము	=	గర్వము, దుర్విమోహము	=	ద్వంద్వం సమాసం

ఈ పద్యం చంపకమాల (వృత్తము)

ఇందు నజభజజజర అనే గణములు ఉంటాయి

మొత్తం అక్షరాలు 21

యతి - 1 - 11 అక్షరాలకు

- ఉత్తమ మధ్యమాధమ నియోగ్యత బుద్ధి నెఱింగి వారి న
యుత్తమ మధ్యమాధమ నియోగములన్ నియమించితే నరేం
ద్రోత్రమ! భృత్యకోటికి ననూనముగాఁ దగుజీవితంబు లా
యత్తము సేసియితైదయ నయ్యుయికాలము దప్పకుండంగన్

పరిచయం : ఈ పద్యం క్రీ.శ. 11 వ శతాబ్దికి చెందిన నన్నయచే రచింపబడినది. ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రధామాశ్వాసం నుండి తీసుకోబడిన 'రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నయ రాజరాజనరేంద్రుని ఆస్థానకవి. ఇతనికి 'ఆదికవి' శబ్దశాసనుడు (వాగాను శాసనుడు) అను బిరుదుములు కలవు. నన్నయ 'మహాభారతం'లో ఆది, సభాపర్వాలు, అరణ్యపర్వంలో కొంతభాగాన్ని ఆంధ్రీకరించెను.

సందర్భం : ఖాండవ వన దహన సమయంలో కృష్ణార్జునులచే రక్షణ పొందిన 'మయుడు' అద్భుతమైన 'మయసభా భవనాన్ని' నిర్మించి వారికి ఇచ్చాడు. ధర్మరాజు 'మయసభా'

ప్రవేశ సమయములో వివిధ లోకముల నుంచి దేవతలు, మహర్షులు, వివిధ దేశాల రాజులు సభా భవనాన్ని చూసి తన్మయులై పాండవులను కీర్తించి వెళ్ళిన తరువాత నారద మహర్షి వచ్చాడు. పాండవులు అతనిని ఎంతగానో గౌరవించారు. అతడు వారి కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో 'రాజనీతి' విషయాలను ప్రస్తావించిన సందర్భం.

ప్రతిపదార్థం :

నరేంద్ర + ఉత్తమ	=	శ్రీ రాజశ్రేష్ఠా
ఉత్తమ, మధ్యమ + అధమ	=	ఉత్తమ, మధ్యమ, అధమ
నియోగ్యత	=	నియమింపబడిన వ్యక్తుల యోగ్యతలు
బుద్ధిన్ + ఎఠింగి	=	గ్రహించి
వారిన్	=	వారిని
ఆ + ఉత్తమ మధ్యమ + అధమ - నియోగములన్ = ఆయా స్థానాల్లో		
నియమించితి(వి) + ఏ	=	నియమించావు కదా!
భృత్యకోటికిన్	=	సేవకుల సమూహానికి
అనూనముగాన్	=	కొరతలేకుండా
తగు జీవితంబులు	=	తగిన జీతాలను;
దయన్	=	దయతో
ఆ + ఆయి కాలము	=	ఆయా నిర్ణీత సమయాలలో
తప్పక + ఉండగన్	=	దాటకుండా
ఆయుత్తము, చేసి	=	సిద్ధంచేసి
ఇతై(ఇచ్చుదువు + ఎ)	=	ఇస్తున్నావు కదా!

తాత్పర్యం :

ఓ ధర్మరాజా! వ్యక్తుల ఉత్తమ, మధ్య మాధమ యోగ్యతలను తెలుసుకొనివాళ్ళను ఉత్తమ, మధ్యమాధమ ఉద్యోగాల్లో నియమించావు కదా! సేవకులందరికీ, కొరతలేకుండా తగు జీతాలు దయతో సకాలంలో అందజేస్తున్నావు కదా!

విశేషం : ద్వుక్తర ప్రాసలో వృత్తం అలంకృతమై ప్రతిపాద్య వస్తువును ఆస్వాద యోగ్యం చేస్తున్నది. సమత అనే గుణం పద్య నిర్మాణంలో కనిపిస్తుంది.

మొదటి మూడు చరణాలు చివరి అక్షరం ముందు విరిగి పై పాదంలో కొనసాగటం సమత

మార్గభేదం: అవైషమ్యం ఉండటం చేత సమతా గుణం స్ఫురిస్తుంది.

సేవకుల నందిరినీ సమంగా చూస్తున్న రాజు యొక్క చిత్తవృత్తిని వ్యంజింపజేస్తుంది.

సంధులు :

మధ్యమాధమ = మధ్యమ+ అధమ = సవర్ణదీర్ఘ సంధి

అయ్యుత్తమ = ఆ+ ఉత్తమ = (యడాగమ త్రిక సంధులు)

నరేంద్రోత్తమా = నరేంద్ర+ ఉత్తమ = గుణసంధి (నర + ఇంద్రా+ ఉత్తమ)

సమాసములు :

మధ్యమాధమ = మధ్యములు , అధములు = ద్వంద్వ

బుద్ధినెరిగి = బుద్ధి వలన ఎరిగి = పంచమీ తత్పురుష

అసాధ్యము = సాధ్యముకానిది = సజ్జ తత్పురుష

3. బహుధనధాన్య సంగ్రహము బాణశరాసన యోధవీర సంధ
గ్రహము నిరంతరాంతరుదకంబులు ఘాసరసేంద్రనౌఘ సం
గ్రహము ననేకయంత్రములుఁ గల్గి యసాధ్యములై ద్విషద్భయా
వహు లగుచుండ నొప్పునె భవత్పరిరక్ష్యములైన దుర్గముల్

పరిచయం : ఈ పద్యం క్రీ.శ. 11 వ శతాబ్దికి చెందిన నన్నయచే రచింపబడినది. ఆంధ్ర మహాభారతంలోని 'సభాపర్వం' ప్రధామాశ్వాసం నుండి తీసుకోబడిన 'రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నయ రాజరాజనరేంద్రుని ఆస్థానకవి. ఇతనికి 'ఆదికవి' శబ్దశాసనుడు (వాగను శాసనుడు) అను బిరుదములు కలవు. నన్నయ 'మహాభారతం'లో ఆది, సభాపర్వాలు, అరణ్యపర్వంలో కొంతభాగాన్ని ఆంధ్రీకరించారు.

సందర్భం : ఖాండవ వన దహన సమయంలో కృష్ణార్జునులచే రక్షణ పొందిన 'మయుడు' అద్భుతమైన 'మయసభా భవనాన్ని' నిర్మించి వారికి ఇచ్చాడు. ధర్మరాజు 'మయసభా' ప్రవేశ సమయములో వివిధ లోకముల నుంచి దేవతలు, మహర్షులు, వివిధ దేశాల రాజులు సభా భవనాన్ని చూసి తనమయలై పొందవులను కీర్తించి వెళ్ళిన తరువాత నారద మహర్షి వచ్చాడు. పొందవులు అతనిని ఎంతగానో గౌరవించారు. అతడు వారి కుశల మడిగాడు ప్రత్యేకించి ధర్మరాజుతో 'రాజనీతి' విషయాలను ప్రస్తావించిన సందర్భం.

ప్రతిపదార్థం :

భవత్+ పరిరక్ష్యములు +ఐన = నీచే రక్షింపబడుతున్నవైన;

దుర్గముల్ = కోటలు;

బహు, ధన, ధాన్య, సంగ్రహము = ఎక్కువ ధన, ధాన్యాల నిల్వ;

బాణ శర+ ఆసన, యోధవీర,

సంగ్రహము = బాణాల యొక్క, ధనస్సుల యొక్క
యుద్ధవీరుల యొక్క కూడిక;
నిరంతర + అంతః ఉదకంబులు = ఎల్లప్పుడు లోపల ఉండే నీళ్ళు;
ఘాస, రస+ ఇంధన+ ఓఘ సంగ్రహము = గడ్డి, ఉప్పు, పులుపు, కారం
మొదలైన పదార్థాలు; వివిధ పానీయాలు
అసాధ్యములు+ ఐ = భేదించశక్యంకానివై;
ద్విషత్+ భయ + ఆవహులు
+ అగుచు+ ఉండన్ + ఒప్పునె = శత్రువులకు భయం కలిగించేవూ ఒప్పి
ఉన్నాయి కదా!

తాత్పర్యం :

ఓ ధర్మరాజా! నీ రక్షణలో నున్న కోటలన్నీ, - ఎక్కువగా ధనధాన్యాల్ని, ధనుర్బాణాల్ని, యుద్ధవీరుల్ని, ఎప్పుడూ తరుగని నీళ్ళని, పశువుల గడ్డిని, ఉప్పు, పులుపు, కారంవంటి అహార పదార్థాల్ని, వివిధ పానీయాల్ని, వంట కట్టెల్ని, సమృద్ధిగా కలిగి అనేక యంత్ర సాధనాలతో కూడి దుర్భేద్యాలై శత్రు భయంకారాలై ఒప్పుతున్నాయి కదా!

సంఘటనలు :

శరాసన = శర+ ఆసన = సవర్ణదీర్ఘ సంధి
నిరంతరాంతర = నిరంత+ అంతర = సవర్ణదీర్ఘ సంధి
ద్విషద్భయావహ = ద్విషత్+ భయావహ = జస్త్యసంధి
ఇందనౌఘ = ఇందన + ఓఘ = వృద్ధిసంధి

సమాసములు :

అసాధ్యములు = సాధ్యములు కానివి = నజ్ తత్పురుష
అనేకములు = న ఏకము = నజ్ తత్పురుష

4 వదలక బుద్ధి నంతరరి వర్గము నోర్చి జితేంద్రయుండ వై
మొదలన దేశకాలబలముల్ మఱి దైవబలంబుఁ గల్గి భూ
విదిత బలుండవై యహితవీరుల నోర్వంగ నుత్సహితె దు
ర్మద మలినాంధ చిత్తులఁ బ్రమత్తుల నింద్రియ నిర్జితాత్ములన్

పరిచయం : ఈ పద్యం క్రీ.శ. 11 వ శతాబ్దికి చెందిన నన్నయచే రచింపబడినది. ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రధామాశ్వాసం నుండి తీసుకోబడిన 'రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నయ రాజరాజనరేంద్రుని ఆస్థానకవి.

ఇతనికి 'ఆదికవి' శబ్దశాసనుడు (వాగాను శాసనుడు) అను బిరుదములు కలవు. నన్నయ 'మహాభారతం'లో ఆది, సభాపర్వాలు, అరణ్యపర్వంలో కొంతభాగాన్ని ఆంధ్రీకరించెను.

సందర్భం : ఖాండవ వన దహన సమయంలో కృష్ణార్జునులచే రక్షణ పొందిన 'మయుడు' అద్భుతమైన 'మయసభా భవనాన్ని' నిర్మించి వారికి ఇచ్చాడు. ధర్మరాజు 'మయసభా' ప్రవేశ సమయములో వివిధ లోకముల నుంచి దేవతలు, మహర్షులు, వివిధ దేశాల రాజులు సభా భవనాన్ని చూసి తన్మయులై పాండవులను కీర్తించి వెళ్ళిన తరువాత నారద మహర్షి వచ్చాడు. పాండవులు అతనిని ఎంతగానో గౌరవించారు. అతడు వారి కుశల మడిగాడు ప్రత్యేకించి ధర్మరాజుతో 'రాజనీతి' విషయాలను ప్రస్తావించిన సందర్భం.

ప్రతిపదార్థం :

వదలక	= విడువక
బుద్ధిన్	= నీ బుద్ధిబలంచేత
అంతః+ అరి, వర్గమున్+ ఓర్చి	= లోపలి (నీలోని) శత్రుసమూహాన్ని జయించి
జిత + ఇంద్రియుండవు +ఐ	= జయించిన ఇంద్రియాలు కలవాడివై;
మొదలన	= మొదటనే;
మఱి	= అంతేగాక
బలుండువు +ఐ	= ప్రపంచంలో తెలియబడిన బలం కలవాడివై
దుర్మద+ మలిన+ అంధ, చిత్తులన్	= మితిమీరిన గర్వమనే మాలిన్యంచేత గ్రుడ్డిదైన మనస్సు కలవాళ్ళను
ప్రమత్తులన్	= మిక్కిలి మత్తెక్కిన వాళ్ళను
ఇంద్రియ, నిర్జిత+ ఆత్మలన్	= ఇంద్రియాలచేత జయించబడిన బుద్ధికలవాళ్ళను,
అహిత, వీరులన్	= శత్రువీరులను;
ఓర్వంగన్	= జయించడానికి
ఉత్సహింతె (ఉత్సహింతువు+ఎ)	= ఉత్సాహపడుతున్నావుకదా!

తాత్పర్యం: దేశకాల దైవబలాన్ని ముందుగ పొంది, బుద్ధిబలంతో అంతశ్శత్రువులైన కామక్రోధాదుల్ని, ఇంద్రియాల్ని జయించి, ప్రపంచ ప్రసిద్ధిగల బలవంతుడివై, మితిమీరిన

మదం అనే మాలిన్యంతో గ్రుడ్డిదైన మనస్సు కలవాళ్ళు, మిక్కిలి మత్తెక్కిన వాళ్ళు, ఇంద్రియాలకు వశమైన బుద్ధికలవాళ్ళు అయిన శత్రువుల్ని జయించాలన్న ఉత్సాహంతో ఉన్నావు కదా!

విశేషాంశం: అంతరరివర్గం - కామ, క్రోధ, లోభ, మోహ, మద, మాత్సర్యాలు, కర్మేంద్రియాలు- వాక్, పాణి, పాద, పాయు, గుహ్యాలు, జ్ఞానేంద్రియాలు-త్వక్కు, చక్షువు, శ్రోత్రం, జిహ్వ, స్పృహణం; మనస్సును కూడా చేర్చితే మొత్తం ఇంద్రియాలు పదకొండు. మదములు- విద్యామదం, ధనమదం, కులమదం, ఉద్యోగమదం, యౌవనమదం మొదలైనవి.

1.8 సందర్భ సహిత వ్యాఖ్యలు

1. ధరాజనులకు గర్జగోచరము గాకుండన్

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్ర మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : రాజుకు విజయ కారణం అతడి రహస్యాలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా అని భావం.

2. ధనమెట్టివారికిం గడుకొని చేయకుండునే జగన్ముత

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : ధనం ఎటువంటి వాళ్ళనైనా దురాశను, గర్వాన్ని కలిగిస్తుంది.

3. సంగర రంగమునఁగాతె శరణం బనినన్

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : భయంతో దుఃఖిస్తూ శరణు వేడిన పెద్ద శత్రువుడైనా యుద్ధభూమిలో కాపాడుతున్నావు కదా!

4. వార్త నిర్వహింపవలయుఁబలికి

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : ప్రపంచమంతా వార్తమీదే నడుస్తున్నది. అందువల్ల ప్రభువు వార్తను బాగా నిర్వహించాలి.

5. అనూనముగా ఋణము లితై యుత్తమబుద్ధిన్

కవిపరిచయం : ఈ వాక్యం క్రీ.శ 11 వ శతాబ్దానికి చెందిన ఆదికవి, వాగనుశాసనుడు అను బిరుదులు కల నన్నయ రచించిన ఆంధ్రా మహాభారతంలోని 'సభాపర్వం' ప్రథమాశ్వాసము నుండి తీసుకోబడిన ' రాజనీతి' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది.

సందర్భం : మయసభను దర్శించిన నారదుడు ప్రత్యేకంగా ధర్మరాజుతో ' రాజనీతి' విషయాలను చర్చించిన సందర్భం.

భావం : ఉదారబుద్ధితో పేదరైతులకు సులభ వడ్డీపై ఋణములు ఇస్తున్నావు కదా!

1.9 పాఠ్యభాగ సారాంశం

పర్వత పారిజాత దైవత సుముఖులనే మహర్షులతో కలిసి వచ్చిన నారద మహామునికి ధర్మరాజు తమ్ములతో కూడా ఎదురేగి నమస్కరించాడు. ఉన్నతాననం మీద కూర్చుండ బెట్టాడు. అర్హు పాద్యాది పూజా విధానాలతో పూజించాడు. నారద మహర్షి పాండవులందరిని కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో రాజనీతి విషయాలు చర్చించాడు.

రాజా! మీ వంశంలో జన్మించిన రాజశ్రేష్టులు ఏర్పరచిన ధర్మ పద్ధతిని ఆచరిస్తున్నావు కదా! ధర్మాన్ని తెలుసుకొని, ధర్మార్థ కామాలను కాలోచితముగా విభజించుకొని సేవిస్తున్నావు కదా! చేయదగిన రాజకార్యాల్ని స్వబుద్ధితో ఎల్లప్పుడూ అర్థరాత్రి దాటిన తరువాతే ఆలోచిస్తున్నావు కదా! ప్రభుత్వ ఉద్యోగాల్లో యోగ్యులైన వారినే, వారివారి శక్తి సామర్థ్యాల్ని గుర్తించి గౌరవ భావంతో, స్థిరంగా నియమించావు కదా! పుణ్యాత్ములు, శాస్త్ర నియమాలు బాగా తెలిసినవాళ్ళు, నీ మీద ప్రేమ గల వాళ్ళు, తాతల తండ్రుల నాటి నుండి వంశపారంపర్యంగా కొలువు చేస్తున్న వాళ్ళు అయిన ఉత్తముల్ని రాచకార్య నిర్వహణకు మంత్రులుగా ఏర్పరుచుకున్నావు కదా!

ఓ ధర్మరాజా! రాజుకు విజయకారణం రహస్యసమాలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా! నీ పురోహితుడు ధైర్యవంతుడు, ధర్మాధర్మాలు తెలిసినవాడు, వివిధ శాస్త్రాలు బాగా అధ్యయనం చేసినవాడు, రాగద్వేష రహితమైన సమచిత్తం కలవాడు అని అనదగినవాడే కదా! నీవు యజ్ఞాలలో నియమించిన యాజ్ఞికుడు యజ్ఞం చేయించటంలో నిపుణుడై రాగద్వేషరహితమైన సమబుద్ధితో తన కర్తవ్యాలను విస్మరించకుండా ఉన్నాడు కదా! పలు విధాలైన యుద్ధాలలో విజయాన్ని సాధించటంలో నిపుణులైన వాళ్ళను, ఎదిరించ సాధ్యంకాని పరాక్రమం కలవాళ్ళను, విశ్వాస పాత్రులైన వాళ్ళను, గౌరవానికి అర్హులైన వాళ్ళను, నీ మేలు కోరే వాళ్ళను సైన్యాధ్యక్షులుగా నియమించావు కదా!

ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలి, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజపుత్రులను ధనవంతులను చేసి వారితో చేతులు కలిపి, నీకు వ్యతిరేకంగా ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధర్మరాజా! ధనం ఎటువంటి వారికైనా గర్వాన్ని, దురాశను కలిగిస్తుంది. నీ ఆస్థాన జ్యోతిష్కులు శాస్త్ర పాండిత్యం చేత, స్వీయ ప్రతిభ చేత దేవతా సంబంధాలు, అంతరిక్ష సంబంధాలు, భూ సంబంధాలు అయిన ఉత్పాతాలను

పొందుతున్నారా కదా! ఆయుర్వేదంలో సమర్థులైన వైద్యులు లోకానికి మేలు చేసే బుద్ధితో ప్రజల మీది ప్రేమతో ఆ వైద్య విధానంలో సేవలు చేస్తున్నారా? చక్కగా ఆలోచించి పెద్దల సేవ ద్వారా నీ మనోవ్యాధులను నిర్మూలించుకుంటూ, ఔషధ సేవలో శారీరక రుగ్మతలు రాకుండా నివారించుకుంటున్నారు కదా!

వన్నులు వనూలు చేయటం వంటి ధనార్జనా రూపమైన రాజకార్యాలతో అవినీతిపరులు, పక్షపాత బుది కలవాళ్ళు నియుక్తులైతే- ప్రభుత్వ కోశాగారానికి నష్టం వాటిల్లటమేకాన, ప్రభుత్వం మీద ప్రజలకు ద్వేష భావం పెరుగుతుంది. అందువల్ల అలాంటి ఉద్యోగ నియామకాల్లో ప్రభువు ప్రత్యేక శ్రద్ధ వహించాలి. వ్యక్తుల ఉత్తమ, మధ్యమ, అధమ యోగ్యతలను గుర్తించి, వారిని ఆయా ఉద్యోగాల్లో నియమించావు కదా! సేవకులందరికీ, కొరతలేకుండా తగు జీతాలు దయతో సకాలంలో అందజేస్తున్నావు కదా! తాము పొందవలసిన సమయంలో జీతాలు పొందక శుష్కించే సేవకుల దారిద్ర్య దుఃఖాలు ప్రభువుకు, (అతడు దేవేంద్రుడైనా) తప్పక కీడు కలిగిస్తాయి. వంశపారంపర్యంగా వచ్చే మంచి సేవకులకు ప్రీతితో సమ్మానం చేస్తున్నావు కదా! వారు మనసారా నీ ఉపకారాన్ని స్మరించి, యుద్ధభూమిలో నీకై ప్రాణాలు ఒడ్డి యుద్ధం చేస్తారు గదా!

పుణ్యాత్ముడైన ఓ ధర్మరాజా! నీ కొరకు యుద్ధంలో మరణించిన వీరసైనికుల కుటుంబాలను కూడు గుడ్డలు, లోటు లేకుండా, వాళ్ళ సంతోషం తగ్గకుండా పోషిస్తున్నావు కదా! ధనం పట్ల లోభబుద్ధి కలవాళ్ళని దొంగల్ని, స్నేహానికి యోగ్యులు కానివాళ్ళని, శత్రువుల పట్ల పక్షపాతం కలవాళ్ళని ధైర్యం చాలని వాళ్ళని, దుర్మార్గులైన వాళ్ళని రాజకార్యం నిర్వహించటానికి వంపందం లేదు కదా! ప్రజలకు దొంగభయం లేకుండా నీవు రాజ్యాన్ని ఏలుతున్నావు కదా! నీ ప్రభుత్వోద్యోగుల్లో ముఖ్యమైన వాళ్ళు ధనాశపరులై దొంగల దగ్గర డబ్బు పుచ్చుకొని వాళ్ళకు రక్షణ కల్పించటం లేదు కదా! భుజబలంతో నీవు పరిపాలిస్తున్న ఈ భూమిలో అనావృష్టి భయం లేకుండా చెరువులు నిండి ఉన్నాయి కదా! ఓ రాజా! ఉదారబుద్ధితో పేద రైతులకు ధాన్యపు విత్తనాలు, వర్తకులకు సులభ వడ్డీపై అప్పులు ఇస్తున్నావు కదా! కుంటి వాళ్ళను, మూగవాళ్ళను గ్రుడ్డివాళ్ళను, అంగవిహీనులైన వాళ్ళను, బంధువులు లేని వారిని దయతో పోషిస్తున్నావు కదా! భయంతో దుఃఖిస్తూ శరణు వేడిన పెద్ద శత్రువునైనా యుద్ధభూమిలో కాపాడుతున్నావు కదా! చేసిన మేలు గుర్తించి, ఆ మేలు చేసిన వ్యక్తిని పదిమంది పెద్దలున్న సభల్లో ఉచితరీతిని సత్కరిస్తున్నావు కదా! చేసిన మేలు గుర్తించగల ప్రభులే ప్రజలనందరిని చక్కగా పరిపాలించగలడు.

ధర్మరాజా! ఆదాయంలో నాల్గవ భాగాన్ని లేదా మూడవ భాగాన్ని లేదా సగ భాగాన్ని మాత్రమే ఖర్చు చేయాలి కాని, అంతకుమించి చేయకూడదని గ్రహించావు కదా! ఆయుధశాలలు, ధనాగారాలు, అశ్వశాలలు, గజశాలలు, కోశాగారాలు, వీటి పాలన ఎంతో నమ్మదగిన వాళ్ళను నీ పట్ల భక్తిగల వాళ్ళను, సమర్థులైన వాళ్ళను నియమించావు కదా! ప్రజలంతా నిన్ను ప్రశంసించేటట్లుగా గురువుల్ని వృద్ధశిల్పుల్ని గొప్ప వ్యాపారుల్ని, బంధువుల్ని, ఆశ్రితుల్ని, సజ్జనుల్ని పేదరికం రాకుండా దయతో పోషిస్తున్నావు కదా! ఇష్టమైన మంత్రులు, బంధువులు, సైన్యాధిపతులు, రాకుమారులు పండితులు అధిక సంఖ్యలో ఆశీసులై ఉండగా ప్రపంచమంతా ప్రశంసించే విధంగా ప్రతిదినం నీవు కొలువు తీరుతున్నావు కదా! జాగ్రత్తగా గమనిస్తూ బయట, లోపల ఉండే శత్రువుల నుండి నిన్ను నీవు రక్షించుకుంటూ, శత్రురాజుల ప్రవర్తనను గూఢచారులు అనే కళ్ళ ద్వారా కనుగొంటున్నావు కదా! గొప్ప పండితులతో కలసి, సర్వ ధర్మాల్లో నేర్పరివై, రాగద్వేషరహితమై సమబుద్ధితో శ్రద్ధగా దయతో లోకవ్యవహారాలు విచారిస్తున్నావు కదా!

ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది లేకుంటే ప్రజలు చీకట్లో మునిగిపోతే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి. ఓ ధర్మరాజా! వివాహం వలన ధర్మార్థ కామమోక్ష సాధనలు, సచ్చీలం, సత్రువర్తన అనేవి అలవడుతాయని తెలుసుకో. నీ రక్షణలోనున్న కోటలలో ఉన్న ధనధాన్యాల్ని, ధనుర్బాణాల్ని కాపాడుకుంటున్నావు కదా! నీ కోటలు అనేక యంత్ర సాధనాలతో కూడి దుర్భేద్యాలై శత్రు భయంకరాలై ఒప్పుతున్నాయి కదా.

ఓ ధర్మరాజా! దైవ బలాన్ని ముందుగా పొంది, బుద్ధిబలంతో అంతశ్శత్రువులైన కామక్రోధాదుల్ని, ఇంద్రియాల్ని జయించినావు కదా! ప్రపంచ ప్రసిద్ధి గల బలవంతుడివై మదం అనే మాలిన్యంతో గ్రుడ్డిదైన మనస్సు కలవాళ్ళు, మిక్కిలి మత్తెక్కిన వాళ్ళు. అయిన శత్రువుల్ని జయించాలన్న ఉత్సాహంతో ఉన్నావు కదా! నీవు దండెత్తడానికి ముందే బలవంతులైన శత్రురాజుల మీద సామదానాది చతుర్విధోపాయాల్ని చక్కగా ప్రయోగిస్తున్నావు కదా! నాస్తికత, అసత్యమాడటం, ఏమరుపాటు, సోమరితనం, తెలివితక్కువ వాళ్ళతో కార్యాలోచన చెయ్యటం, అతి కోపం, అధికకాలం దుఃఖించటం, చేయవలసిన పనిని గూర్చి అతి దీర్ఘంగా ఆలోచించటం, అలస్యంగా చేయడం, జ్ఞానుల్ని గుర్తించక పోవటం, రహస్య మంతనాలు బయట పడకుండా కాపాడుకోవటం, శుభకార్యాలు చెయ్యకుండటం, ఇంద్రియ సుఖాల్లో తగులోపడం వంటి రాజదోషాలను విడనాడినావు కదా! అని ఇలా నారద మహర్షి ధర్మరాజును అడిగి తెలుసుకున్నాడు.

ధర్మరాజు సమాధానం : నారదమునీంద్ర ! చేతనైనంత వరకు అన్యాయ మార్గాన్ని వదలి, మహాత్ముల చరిత్రల్ని ఆదర్శంగా ఉంచుకొని, మీ ధర్మ బోధవల్ల శుభాలైన వాటిని మన ఃపూర్వకంగా ఆచరిస్తాను. అని వినయంగా ధర్మరాజు సమాధానమిచ్చాను.

1.10 ప్రశ్నలు - జవాబులు

1. 'రాజనీతి' పాఠ్యభాగ సారాంశమును వివరింపుము.

పర్వత పారిజాత రైవత సుముఖులనే మహర్షులతో కలిసి వచ్చిన నారద మహామునికి ధర్మరాజు తమ్ములతో కూడా ఎదురేగి నమస్కరించాడు. ఉన్నతాననం మీద కూర్చుండ బెట్టాడు. అర్హు పాద్యాది పూజా విధానాలతో పూజించాడు. నారద మహర్షి పాండవులందరిని కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో రాజనీతి విషయాలు చర్చించాడు.

రాజా! మీ వంశంలో జన్మించిన రాజశ్రేష్టులు ఏర్పరచిన ధర్మ పద్ధతిని ఆచరిస్తున్నావు కదా! ధర్మాన్ని తెలుసుకొని, ధర్మార్థ కామాలను కాలోచితముగా విభజించుకొని సేవిస్తున్నావు కదా! చేయదగిన రాజకార్యాల్ని స్వబుద్ధితో ఎల్లప్పుడూ అర్థరాత్రి దాటిన తరువాతే ఆలోచిస్తున్నావు కదా! ప్రభుత్వ ఉద్యోగాల్లో యోగ్యులైన వారినే, వారివారి శక్తి సామర్థ్యాల్ని గుర్తించి గౌరవ భావంతో, స్థిరంగా నియమించావు కదా! పుణ్యాత్ములు, శాస్త్ర నియమాలు బాగా తెలిసినవాళ్ళు, నీ మీద ప్రేమ గల వాళ్ళు, తాతల తండ్రుల నాటి నుండి వంశపారంపర్యంగా కొలువు చేస్తున్న వాళ్ళు అయిన ఉత్తముల్ని రాచకార్య నిర్వహణకు మంత్రులుగా ఏర్పరుచుకున్నావు కదా!

ఓ ధర్మరాజా! రాజుకు విజయకారణం రహస్యసమాలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా! నీ పురోహితుడు ధైర్యవంతుడు, ధర్మాధర్మాలు తెలిసినవాడు, వివిధ శాస్త్రాలు బాగా అధ్యయనం చేసినవాడు, రాగద్వేష రహితమైన సమచిత్తం కలవాడు అని అనదగినవాడే కదా! నీవు యజ్ఞాలలో నియమించిన యాజ్ఞికుడు యజ్ఞం చేయించటంలో నిపుణుడై రాగద్వేషరహితమైన సమబుద్ధితో తన కర్తవ్యాలను విస్మరించకుండా ఉన్నాడు కదా! పలు విధాలైన యుద్ధాలలో విజయాన్ని సాధించటంలో నిపుణులైన వాళ్ళను, ఎదిరించ సాధ్యంకాని పరాక్రమం కలవాళ్ళను, విశ్వాస పాత్రులైన వాళ్ళను, గౌరవానికి అర్హులైన వాళ్ళను, నీ మేలు కోరే వాళ్ళను సైన్యాధ్యక్షులుగా నియమించావు కదా!

ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలి, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజపుత్రులను ధనవంతులను చేసి వారితో చేతులు కలిపి, నీకు వ్యతిరేకంగా

ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధర్మరాజా! ధనం ఎటువంటి వారికైనా గర్వాన్ని, దురాశను కలిగిస్తుంది. నీ ఆస్థాన జ్యోతిష్కులు శాస్త్ర పాండిత్యం చేత, స్వీయ ప్రతిభ చేత దేవతా సంబంధాలు, అంతరిక్ష సంబంధాలు, భూ సంబంధాలు అయిన ఉత్పాతాలను కనిపెట్టి వాటికి విరుగుడుగా శాంతి క్రియాదులు జరిపించి, నీ చేత సన్మానాలు పొందుతున్నార కదా! ఆయుర్వేదంలో సమర్థులైన వైద్యులు లోకానికి మేలు చేసే బుద్ధితో ప్రజల మీది ప్రేమతో ఆ వైద్య విధానంలో సేవలు చేస్తున్నారా? చక్కగా ఆలోచించి పెద్దల సేవ ద్వారా నీ మనోవ్యాధులను నిర్మూలించుకుంటూ, ఔషధ సేవలో శారీరక రుగ్మతలు రాకుండా నివారించుకుంటున్నారు కదా!

పన్నులు వసూలు చేయటం వంటి ధనార్జనా రూపమైన రాజకార్యాలతో అవినీతిపరులు, పక్షపాత బుద్ధి కలవాళ్ళు నియుక్తులైతే- ప్రభుత్వ కోశాగారానికి నష్టం వాటిల్లటమేకాక, ప్రభుత్వం మీద ప్రజలకు ద్వేష భావం పెరుగుతుంది. అందువల్ల అలాంటి ఉద్యోగ నియామకాల్లో ప్రభువు ప్రత్యేక శ్రద్ధ వహించాలి. వ్యక్తుల ఉత్తమ, మధ్యమ, అధమ యోగ్యతలను గుర్తించి, వారిని ఆయా ఉద్యోగాల్లో నియమించావు కదా! సేవకులందరికీ, కొరతలేకుండా తగు జీతాలు దయతో సకాలంలో అందజేస్తున్నావు కదా! తాము పొందవలసిన సమయంలో జీతాలు పొందక శుష్కించే సేవకుల దారిద్ర్య దుఃఖాలు ప్రభువుకు, (అతడు దేవేంద్రుడైనా) తప్పక కీడు కలిగిస్తాయి. వంశపారంపర్యంగా వచ్చే మంచి సేవకులకు ప్రీతితో సమ్మానం చేస్తున్నావు కదా! వారు మనసారా నీ ఉపకారాన్ని స్మరించి యుద్ధ భూమిలో నీకై ప్రాణాలు ఒడ్డి యుద్ధం చేస్తారు గదా!

పుణ్యాత్ముడైన ఓ ధర్మరాజా! నీ కొరకు యుద్ధంలో మరణించిన వీరసైనికుల కుటుంబాలను కూడు గుడ్డలు, లోటు లేకుండా, వాళ్ళ సంతోషం తగ్గకుండా పోషిస్తున్నావు కదా! ధనం పట్ల లోభబుద్ధి కలవాళ్ళని దొంగల్ని, స్నేహానికి యోగ్యులు కానివాళ్ళని, శత్రువుల పట్ల పక్షపాతం కలవాళ్ళని ధైర్యం చాలని వాళ్ళని, దుర్మార్గులైన వాళ్ళని రాజకార్యం నిర్వహించటానికి వంపండం లేదు కదా! ప్రజలకు దొంగభయం లేకుండా నీవు రాజ్యాన్ని ఏలుతున్నావు కదా! నీ ప్రభుత్వోద్యోగుల్లో ముఖ్యమైన వాళ్ళు ధనాశపరులై దొంగల దగ్గర డబ్బు పుచ్చుకొని వాళ్ళకు రక్షణ కల్పించటం లేదు కదా! భుజబలంతో నీవు పరిపాలిస్తున్న ఈ భూమిలో అనావృష్టి భయం లేకుండా చెరువులు నిండి ఉన్నాయి కదా! ఓ రాజా! ఉదారబుద్ధితో పేద రైతులకు ధాన్యపు విత్తనాలు, వర్తకులకు సులభ వడ్డీపై అప్పులు ఇస్తున్నావు కదా! కుంటి వాళ్ళను, మూగవాళ్ళను గ్రుడ్డివాళ్ళను, అంగవిహీనులైన వాళ్ళను, బంధువులు లేని వారిని దయతో పోషిస్తున్నావు కదా! భయంతో

దుఃఖిస్తూ శరణు వేడిన పెద్ద శత్రువునైనా యుద్ధ భూమిలో కాపాడుతున్నావు కదా! చేసిన మేలు గుర్తించి, ఆ మేలు చేసిన వ్యక్తిని పదిమంది పెద్దలున్న సభల్లో ఉచితరీతిని సత్కరిస్తున్నావు కదా! చేసిన మేలు గుర్తించగల ప్రభులే ప్రజలనందరిని చక్కగా పరిపాలించగలడు.

ధర్మరాజా! ఆదాయంలో నాల్గవ భాగాన్ని లేదా మూడవ భాగాన్ని లేదా సగ భాగాన్ని మాత్రమే ఖర్చు చేయాలి కాని, అంతకుమించి చేయకూడదని గ్రహించావు కదా! ఆయుధశాలలు, ధనాగారాలు, అశ్వశాలలు, గజశాలలు, కోశాగారాలు, వీటి పాలన ఎంతో నమ్మదగిన వాళ్ళను నీ పట్ల భక్తిగల వాళ్ళను, సమర్థులైన వాళ్ళను నియమించావు కదా! ప్రజలంతా నిన్ను ప్రశంసించేటట్లుగా గురువుల్ని వృద్ధశిల్పుల్ని గొప్ప వ్యాపారుల్ని బంధువుల్ని, ఆశ్రితుల్ని, సజ్జనుల్ని పేదరికం రాకుండా దయతో పోషిస్తున్నావు కదా! ఇష్టమైన మంత్రులు, బంధువులు, సైన్యాధిపతులు, రాకుమారులు పండితులు అధిక సంఖ్యలో ఆశీసులై ఉండగా ప్రపంచమంతా ప్రశంసించే విధంగా ప్రతిదినం నీవు కొలువు తీరుతున్నావు కదా! జాగ్రత్తగా గమనిస్తూ వెలుపల, లోపల ఉండే శత్రువుల నుండి నిన్ను నీవు రక్షించుకుంటూ, శత్రురాజుల ప్రవర్తనను గూఢచారులు అనే కళ్ళ ద్వారా కనుగొంటున్నావు కదా! గొప్ప పండితులతో కలసి, సర్వ ధర్మాల్లో నేర్పరివై, రాగద్వేషరహితమై సమబుద్ధితో శ్రద్ధగా దయతో లోకవ్యవహారాలు విచారిస్తున్నావు కదా!

ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది లేకుంటే ప్రజలు చీకట్లో మునిగినట్లే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి. ఓ ధర్మరాజా! వివాహం వలన ధర్మార్థ కామమోక్ష సాధనలు, సచ్చీలం, సత్రవర్తన అనేవి అలవడుతాయని తెలుసుకో. నీ రక్షణలోనున్న కోటలలో ఉన్న ధనధాన్యాల్ని, ధనుర్బాణాల్ని కాపాడుకుంటున్నావు కదా! నీ కోటలు అనేక యంత్ర సాధనాలతో కూడి దుర్భేద్యాలై శత్రు భయంకరాలై ఒప్పుతున్నాయి కదా.

ఓ ధర్మరాజా! దైవ బలాన్ని ముందుగా పొంది, బుద్ధిబలంతో అంతశ్శత్రువులైన కామక్రోధాదుల్ని, ఇంద్రియాల్ని జయించినావు కదా! ప్రపంచ ప్రసిద్ధి గల బలవంతుడివై మదం అనే మాలిన్యంతో గ్రుడ్డిదైన మనస్సు కలవాళ్ళు, మిక్కిలి మత్తెక్కిన వాళ్ళు. అయిన శత్రువుల్ని జయించాలన్న ఉత్సాహంతో ఉన్నావు కదా! నీవు దండెత్తడానికి ముందే బలవంతులైన శత్రురాజుల మీద సామదానాది చతుర్విధోపాయాల్ని చక్కగా ప్రయోగిస్తున్నావు కదా! నాస్తికత, అసత్యమాడటం, ఏమరుపాటు, సోమరితనం, తెలివితక్కువ వాళ్ళతో కార్యాలోచన చెయ్యటం, అతి కోపం, అధికకాలం దుఃఖించటం,

చేయవలసిన పనిని గూర్చి అతి దీర్ఘంగా ఆలోచించటం, అలస్యంగా చేయటం, జ్ఞానాన్ని గుర్తించక పోవటం, రహస్య మంతనాలు బయట పడకుండా కాపాడుకోవటం, శుభకార్యాలు చెయ్యకుండాటం, ఇంద్రియ సుఖాల్లో తగుల్కోటం వంటి రాజదోషాలను విడనాడినావు కదా! అని ఇలా నారద మహర్షి ధర్మరాజును అడిగి తెలుసుకున్నాడు.

ధర్మరాజు సమాధానం : నారదమునీంద్ర ! చేతనైనంత వరకు అన్యాయ మార్గాన్ని వదలి, మహాత్ముల చరిత్రల్ని ఆదర్శంగా ఉంచుకొని, మీ ధర్మ బోధవల్ల శుభాలైన వాటిని మనఃపూర్వకంగా ఆచరిస్తాను. అని వినయంగా ధర్మరాజు సమాధానమిచ్చాడు.

2. 'రాజనీతి' పాఠ్యాంశము ఆధారంగా నన్నయ కవితా రీతులను వివరింపుము.

జ. నన్నయ వేంగి దేశాన్ని పాలించిన రాజరాజనరేంద్రుని (క్రీ.శ. 1022- 1061) ఆస్థాన కవి. తెలుగులో గురు పద్య విద్యకు ఆధ్యుడు. విపుల శబ్దాశాసనుడు. లోకజ్ఞుడు, సత్ప్రతిభాభియోగ్యుడు. నన్నయ్య తెలుగు కవులకు ఆదికవి. భారతాంధ్రీకరణతో పాటు 'ఆంధ్రశబ్ద చింతామణి' అనే వ్యాకరణ శాస్త్ర గ్రంథాన్ని, లక్షణ సారమనే గ్రంథాన్ని రచించాడు. నన్నయ రచనలైన రాఘవాభ్యుదయం, ఇంద్రవిజయం, చాముండికావिलाసము అను కావ్యములు అలభ్యములు. తిక్కన నన్నయను ఆంధ్రా కవిత్వ విశారదుడు, శ్రీనాథుడు, ఆంధ్రాకవితా పట్టాభిషిక్తుడని, కవి సమ్రాట్ విశ్వనాథసత్యన్నారాయణ ఋషి వంటి నన్నయ రెండవ వాల్మీకి అని ప్రశంసించేరు.

మహాభారతం మహాకావ్యం ధర్మ తత్వజ్ఞులకు ధర్మశాస్త్రము. ఇతిహాసికులకు ఇతిహాసము, పౌరాణీకులక మతిపురాణము వేదవ్యాసమహర్షి సంస్కృతములో వ్రాసిన భారతములను తెనుగులో మొట్టమొదట ఆంధ్రీకరించిన కవి నన్నయ్య. ఆయన తన కవితా లక్షణాలను గురించి

సారమతిం గావీంద్రులు ప్రసన్న కథా కవితార్థయుక్తిలో
నారసిమేలునా, నితరు లక్షర రమ్యత నాదరింప, నా
నా రుచిరార్థ సూక్తినిధి నన్నయభట్టు తెనుంగునన్ మహా
భారత సంహిత రచన బంధురుడయ్యె జగద్ధితంబుగిన్

చెప్పుకున్నాడు. ఆయన కవితా లక్షణాలు మూడు.

1. ప్రసన్న కథా కలితార్థయుక్తి
2. అక్షర రమ్యత
3. నారారుచిరార్థ సూక్త నిధిత్వం

ప్రసన్న కథా కవితార్థయుక్తి : కలితార్థయుక్తిలో కథను ప్రసన్నముగా నడుపుటలో నన్నయ అగ్రగణ్యుడు 'రాజనీతి' పాఠ్యాంశములో ప్రత్యేకంగా కథలు లేవు. కాని..... పాఠ్య సారాంశములను ప్రారంభముగా ఖాండవ వనదహన సమయంలో కృష్ణార్జునులు 'మయుడ'ను రక్షించుట, దేవశిల్పి అయిన 'మయుడు' తనను రక్షించినందుకుగాను ఏదైనా కోరుకోమని కృష్ణార్జునులను ఆభ్యర్థించడం, అందుకు కృష్ణుడు 'మయనభి' ను నిర్మించమనటం 'రాజనీతి' పాఠ్యాంశమునకు ముందు, తరువాత గొప్ప కథా క్రమానికి శ్రీకారంగా ఈ పాఠ్యాంశమును పేర్కొనవచ్చు. నారదుడు ప్రత్యేకంగా ధర్మరాజులో రాజనీతి విషయాలను చర్చించడంలో ఎన్నెన్నో విశేషాలు, విషయాలను తెలుపుతూనే ధర్మరాజును ప్రశ్నించడం అనేది ఓ గొప్ప విశేషం. ఆయా సందర్భంలో వచ్చిన పద్యాలు నన్నయ కవితా రచనకు కథాక్రమానికి మచ్చుతునక. రాజనీతి మర్మాలను వివరించడంలో ఎన్నెన్నో రాజనీతి శాస్త్ర పరమైన ధర్మాలు సూత్రాలు, వాటి వెనుక రాజుగా ధర్మరాజుడు గ్రహించవలసిన మర్మాలు వంటివి నారదుడునిచే నర్మగర్భంగా నన్నయ పలికించడం పాఠ్యాంశములో చూడవచ్చు.

అక్షరరమ్యత : కవిత్వంలో శబ్ద సౌందర్యానికి అక్షర రమ్యత ఎంతగానో ఉపకరిస్తుంది. రసోచితమైన శబ్ద సంఘటనలో కవి ప్రతిభ వెల్లడి అవుతుంది. నారదుడు ధర్మరాజును అడిగిన, చెప్పిన రాజనీతి సూత్రాలలో ప్రతి పద్యంలోనూ అక్షర రమ్యత ప్రస్ఫుటమవుతుంది. చేసిన మేలు గుర్తించగల ప్రభువే ప్రజలనందరిని చక్కగా పరిపాలించగలడనే సత్యాన్ని 'అర్థాంతరన్యాసం' తో చెప్పిన విధాన్ని క్రింది పద్యంలో గమనించవచ్చు.

కృతమెఱిగి కర్తనుత్తమ

మతుల సభల సంస్తుతించి మఱవక తగున

తృతి సేయదే? కృతమెఱిగెడు

పతియె జగజ్జనుల నెల్లఁ బరిపాలించున్

ధర్మరాజు యొక్క సౌశీల్యం, వినయం వంటి వాటిని తెలియజేసే పద్యంలో అక్షర రమ్యతతో పాటు నాటకీయతను కూడా నన్నయ్య జోడించాడు.

నాయథాశక్తిజేసి యన్యాయ పథముఁ

బరిహరించి మహాత్ముల చరితలందు

బుద్ధి నిలిపి మీ యపదేశమున శుభంబు

లయిన వాని ననుష్ఠింతుఁ బ్రియముతోడ

ఈ పద్యంలో 'నాయథాశక్తిజేసి అనటంలో ధర్మరాజు వినయం, 'అనుష్ఠింతుఁ బ్రియముతోడ' అని పలకటంలో ఆయన ధర్మ ప్రయత్నం చక్కగా వ్యక్తమవుతున్నాయి. యథాశక్తి అవ్యయిభావ సమాసం. నన్నయ ఇట్టి వాటిని విశేష్యలుగా వాడుతుంటాడు. **నానారుచిరార్థ సూక్తినిధిత్వం:** ఈ పాఠ్యాంశ భాగములో ప్రత్యేకమైన సూక్తులు వంటివి లేవుగాని ధర్మరాజు, నారదుల మధ్య జరిగిన సంభాషణలో ఎన్నెన్నో మంచి మంచి విషయాలు నన్నయ వివరిస్తారు. రాజు ఎటువంటి గుణగణాలను కలిగి ఉండాలి. ఇంత చక్కని భవిష్యత్ దృష్టి, పాలనా దక్షత వంటి వారికి ఈ అంశాలు దోహదం చేస్తాయి. మొత్తం పాఠ్యాంశములో ఓ మంచి పరిపాలకుడిగా ఉండవలసిన న్యాయ, ధర్మ, మానవత విలువలతో కూడిన విషయాలను నారదుడు 'రాజనీతి' లక్షణాలతో మేళవించి ప్రశ్నలు రూపంలో తెలియజేస్తాడు.

ఈ విధంగా నన్నయ కథా కథన శైలిలో నాదాత్మకమైన అక్షరరమ్యతతో వివిధ ధర్మ సూక్ష్మాలను వెల్లడిస్తూ ' రాజనీతి' ని తీర్చిదిద్దాడు.

పాఠ్యభాగ సారాంశము : మయసభ భవనంలో ధర్మరాజు సోదరులు భార్యతో కలిసి ప్రవేశించారు. వివిధ లోకాలకు చెందిన దేవతలు, వివిధ దేశాధీశులు వచ్చి ధర్మరాజు ఇచ్చిన ఆతిథ్యం స్వీకరించి వెళ్ళారు. అనంతరం నారదుడు వచ్చి ధర్మరాజుతో రాజనీతి అంశములను గూర్చి చర్చించడం ఇందులో సారాంశం.

3. నారదుడు ధర్మరాజుకు చెప్పిన పరిపాలన పద్ధతులను వివరింపుము.

జ. పర్వత పారిజాత రైవత సుముఖులనే మహర్షులతో కలిసి వచ్చిన నారద మహామునికి ధర్మరాజు తమ్ములతో కూడా ఎదురేగి నమస్కరించాడు. ఉన్నతాననం మీద కూర్చుండ బెట్టాడు. అర్హు పాద్యాది పూజా విధానాలతో పూజించాడు. నారద మహర్షి పాండవులందరిని కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో రాజనీతి విషయాలు చర్చించాడు.

ఓ ధర్మరాజా! రాజుకు విజయకారణం రహస్యసమాలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా! నీ పురోహితుడు ధైర్యవంతుడు, ధర్మాధర్మాలు తెలిసినవాడు, వివిధ శాస్త్రాలు బాగా అధ్యయనం చేసినవాడు, రాగద్వేష రహితమైన సమచిత్తం కలవాడు అని అనదగినవాడే కదా! నీవు యజ్ఞాలలో నియమించిన యాజ్ఞకుడు యజ్ఞం చేయించటంలో నిపుణుడై రాగద్వేషరహితమైన సమబుద్ధితో తన కర్తవ్యాలను విస్మరించకుండా ఉన్నాడు కదా! పలు విధాలైన యుద్ధాలలో

విజయాన్ని సాధించటంలో నిపుణులైన వాళ్ళను, ఎదిరించ సాధ్యంకాని పరాక్రమం కలవాళ్ళను, విశ్వాస పాత్రులైన వాళ్ళను, గౌరవానికి అర్హులైన వాళ్ళను, నీ మేలు కోరే వాళ్ళను సైన్యాధ్యక్షులుగా నియమించావు కదా!

ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలీ, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజపుత్రులను ధనవంతులను చేసి వారితో చేతులు కలిపి, నీకు వ్యతిరేకంగా ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధర్మరాజా! ధనం ఎటువంటి వారికైనా గర్వాన్ని, దురాశను కలిగిస్తుంది. నీ ఆస్థాన జ్యోతిష్కులు శాస్త్ర పాండిత్యం చేత, స్వీయ ప్రతిభ చేత దేవతా సంబంధాలు, అంతరిక్ష సంబంధాలు, భూ సంబంధాలు అయిన ఉత్పాతాలను కనిపెట్టి వాటికి విరుగుడుగా శాంతి క్రియాదులు జరిపించి, నీ చేత సన్మానాలు పొందుతున్నారు కదా! ఆయుర్వేదంలో సమర్థులైన వైద్యులు లోకానికి మేలు చేసే బుద్ధితో ప్రజల మీది ప్రేమతో ఆ వైద్య విధానంలో సేవలు చేస్తున్నారా? చక్కగా ఆలోచించి పెద్దల సేవ ద్వారా నీ మనోవ్యాధులను నిర్మూలించుకుంటూ, ఔషధ సేవలో శారీరక రుగ్మతలు రాకుండా నివారించుకుంటున్నారు కదా!

పన్నులు వసూలు చేయటం వంటి ధనార్జనా రూపమైన రాజకార్యాలతో అవినీతిపరులు, పక్షపాత బుద్ధి కలవాళ్ళు నియుక్తులైతే- ప్రభుత్వ కోశాగారానికి నష్టం వాటిల్లటమేకాక, ప్రభుత్వం మీద ప్రజలకు ద్వేష భావం పెరుగుతుంది. అందువల్ల అలాంటి ఉద్యోగ నియామకాల్లో ప్రభువు ప్రత్యేక శ్రద్ధ వహించాలి. వ్యక్తుల ఉత్తమ, మధ్యమ, అధమ యోగ్యతలను గుర్తించి, వారిని ఆయా ఉద్యోగాల్లో నియమించావు కదా! సేవకులందరికి, కొరతలేకుండా తగు జీతాలు దయతో సకాలంలో అందజేస్తున్నావు కదా! తాము పొందవలసిన సమయంలో జీతాలు పొందక శుష్కించే సేవకుల దారిద్ర్య దుఃఖాలు ప్రభువుకు, (అతడు దేవేంద్రుడైనా) తప్పక కీడు కలిగిస్తాయి. వంశపారంపర్యంగా వచ్చే మంచి సేవకులకు ప్రీతితో సమ్మానం చేస్తున్నావు కదా! వారు మనసారా నీ ఉపకారాన్ని స్మరించి యుద్ధ భూమిలో నీకై ప్రాణాలు ఒడ్డి యుద్ధం చేస్తారు గదా!

పుణ్యాత్ముడైన ఓ ధర్మరాజా! నీ కొరకు యుద్ధంలో మరణించిన వీర సైనికులు కుటుంబాలకు కూడు గుడ్డలు, లోటు లేకుండా, వాళ్ళ సంతోషం తగ్గకుండా పోషిస్తున్నావు కదా! ధనం పట్ల లోభబుద్ధి కలవాళ్ళని దొంగల్ని, స్నేహానికి యోగ్యులు కానివాళ్ళని, శత్రువుల పట్ల పక్షపాతం కలవాళ్ళని ధైర్యం చాలని వాళ్ళని, దుర్మార్గులైన వాళ్ళని రాజకార్యం నిర్వహించటానికి వంపండం లేదు కదా! ప్రజలకు దొంగభయం లేకుండా

నీవు రాజ్యాన్ని ఏలుతున్నావు కదా! నీ ప్రభుత్వోద్యమంలో ముఖ్యమైన వాళ్ళు ధనాశపరులై దొంగల దగ్గర డబ్బు పుచ్చుకొని వాళ్ళకు రక్షణ కల్పించటం లేదు కదా! భుజబలంతో నీవు పరిపాలిస్తున్న ఈ భూమిలో అనావృష్టి భయం లేకుండా చెరువులు నిండి ఉన్నాయి కదా! ఓ రాజా! ఉదారబుద్ధితో పేద రైతులకు ధాన్యపు విత్తనాలు, వర్తకులకు సులభ వడ్డీపై అప్పులు ఇస్తున్నావు కదా! కుంటి వాళ్ళను, మూగవాళ్ళను గ్రుడ్డివాళ్ళను, అంగవిహీనులైన వాళ్ళను, బంధువులు లేని వారిని దయతో పోషిస్తున్నావు కదా! భయంతో దుఃఖిస్తూ శరణు వేడిన పెద్ద శత్రువునైనా యుద్ధ భూమిలో కాపాడుతున్నావు కదా! చేసిన మేలు గుర్తించి, ఆ మేలు చేసిన వ్యక్తిని పదిమంది పెద్దలున్న సభల్లో ఉచితరీతిని సత్కరిస్తున్నావు కదా! చేసిన మేలు గుర్తించగల ప్రభులే ప్రజలనందరిని చక్కగా పరిపాలించగలడు.

ధర్మరాజా! ఆదాయంలో నాల్గవ భాగాన్ని లేదా మూడవ భాగాన్ని లేదా సగ భాగాన్ని మాత్రమే ఖర్చు చేయాలి కాని, అంతకుమించి చేయకూడదని గ్రహించావు కదా! ఆయుధశాలలు, ధనాగారాలు, అశ్వశాలలు, గజశాలలు, కోశాగారాలు, వీటి పాలన ఎంతో నమ్మదగిన వాళ్ళను నీ పట్ల భక్తిగల వాళ్ళను, సమర్థులైన వాళ్ళను నియమించావు కదా! ప్రజలంతా నిన్ను ప్రశంసించేటట్లుగా గురువుల్ని వృద్ధశిల్పుల్ని గొప్ప వ్యాపారుల్ని, బంధువుల్ని, ఆశ్రితుల్ని, సజ్జనుల్ని పేదరికం రాకుండా దయతో పోషిస్తున్నావు కదా! ఇష్టమైన మంత్రులు, బంధువులు, సైన్యాధిపతులు, రాకుమారులు పండితులు అధిక సంఖ్యలో ఆసీనులై ఉండగా ప్రపంచమంతా ప్రశంసించే విధంగా ప్రతిదినం నీవు కొలువు తీరుతున్నావు కదా! జాగ్రత్తగా గమనిస్తూ వెలుపల, లోపల ఉండే శత్రువుల నుండి నిన్ను నీవు రక్షించుకుంటూ, శత్రురాజుల ప్రవర్తనను గూఢచారులు అనే కళ్ళ ద్వారా కనుగొంటున్నావు కదా! గొప్ప పండితులతో కలసి, సర్వ ధర్మాల్లో నేర్పరివై, రాగద్వేషరహితమైన సమబుద్ధితో శ్రద్ధగా దయతో లోకవ్యవహారాలు విచారిస్తున్నావు కదా!

ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది లేకుంటే ప్రజలు చీకట్లో మునిగినట్లే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి. నీ రక్షణలోనున్న కోటలలో ఉన్న ధనధాన్యాల్ని, ధనుర్బాణాల్ని కాపాడుకుంటున్నావు కదా! నీ కోటలు అనేక యంత్ర సాధనాలతో కూడి దుర్భేద్యాలై శత్రు భయంకరాలై ఒప్పుతున్నాయి కదా.

నీవు దండెత్తడానికి ముందే బలవంతులైన శత్రురాజుల మీద సామదానాది చతుర్విధోపాయాల్ని చక్కగా ప్రయోగిస్తున్నావు కదా! నాస్తికత, అసత్యమాడటం, ఏమరుపాటు, సోమరితనం, తెలివితక్కువ వాళ్ళతో కార్యాలోచన చెయ్యటం, అతి కోపం, అధికకాలం దుఃఖించటం, చేయవలసిన పనిని గూర్చి అతి దీర్ఘంగా ఆలోచించటం, ఆలస్యంగా చేయటం, జ్ఞానుల్ని గుర్తించక పోవటం, రహస్య మంతనాలు బయట పడకుండా కాపాడుకోవటం, శుభకార్యాలు చెయ్యకుండాటం, ఇంద్రియ సుఖాల్లో తగుల్కోవటం వంటి రాజదోషాలను విడనాడినావు కదా! అని ఇలా నారద మహర్షి ధర్మరాజును అడిగి తెలుసుకున్నాడు.

ధర్మరాజు సమాధానం : నారదమునీంద్ర! చేతనైనంత వరకు అన్యాయ మార్గాన్ని వదలి, మహాత్ముల చరిత్రల్ని ఆదర్శంగా ఉంచుకొని, మీ ధర్మ బోధపల్ల శుభాలైన వాటిని మనఃపూర్వకంగా ఆచరిస్తాను. అని వినయంగా ధర్మరాజు సమాధానమిచ్చాడు.

1.11 సంగ్రహ ప్రశ్నలు

1. నారదుడు చెప్పిన 'పథ్యాలుగు రకాల' రాజ లక్షణాలను వివరించండి.

జ. నాస్తికత, అసత్యమాడటం, ఏమరుపాటు, సోమరితనం, తెలివితక్కువ వాళ్ళతో కార్యాలోచన చెయ్యటం, అతి కోపం, అధికకాలం దుఃఖించటం, చేయవలసిన పనిని గూర్చి అతి దీర్ఘంగా ఆలోచించటం, ఆలస్యంగా చేయడం, జ్ఞానుల్ని గుర్తించక పోవటం, రహస్య రచనలు బయట పడకుండా కాపాడుకోవటం, అశుభకార్యాలు చెయ్యకుండాటం, ఇంద్రియ సుఖాల్లో తగుల్కోవటం అనే పదునాలుగు రాజదోషాలను విడనాడావు కదా! అని నారద మహర్షి ధర్మరాజుతో రాజలక్షణాలను గూర్చి చెప్పాడు.

2. ధర్మరాజునకు నారదుడు చెప్పిన 'రాజనీతి' అంశములేవి?

జ. నారదుడు ధర్మరాజుకు రాజనీతి అంశములను వివరిస్తూ : రాజా! మీ వంశంలో జన్మించిన రాజశ్రేష్టులు ఏర్పరచిన ధర్మ పద్ధతిని ఆచరిస్తున్నావు కదా! ధర్మాన్ని తెలుసుకొని, ధర్మార్థ కామాలను కాలోచితముగా విభజించుకొని సేవిస్తున్నావు కదా! చేయదగిన రాజకార్యాల్ని స్వబుద్ధితో ఎల్లప్పుడూ అర్ధరాత్రి దాటిన తరువాతే ఆలోచిస్తున్నావు కదా! రాజుకు విజయకారణం రహస్యలోచనం. ఆ రహస్యాలోచనం నీ ప్రజల చెవిని పడకుండా పదిలంగా రక్షించుకుంటున్నావు కదా! నీ పురోహితుడు ధైర్యవంతుడు, ధర్మాధర్మాలు తెలిసినవాడు, వివిధ శాస్త్రాలు బాగా అధ్యయనం చేసినవాడు, రాగద్వేష రహితమైన సమచిత్తం కలవాడు అని అనదగినవాడే కదా! ఎక్కువ పలుకుబడి కలిగి, క్రియాశీలి, సమర్థుడు అయిన మంత్రి తన పరిధి మీరి, ఇతర రాజపుత్రులను ధనవంతులను చేసి

వారితో చేతులు కలిపి, నీకు వ్యతిరేకంగా ఏర్పడేటట్లుగా ఉండటం లేదు కదా! ధర్మరాజా! ధనం ఎటువంటి వారికైనా గర్వాన్ని, దురాశను కలిగిస్తుంది. పన్నులు పసాలు చేయటం వంటి ధనార్జనా రూపమైన రాజకార్యాలతో అవినీతిపరులు, పక్షపాత బుద్ధి కలవాళ్ళు నియుక్తులైతే- ప్రభుత్వ కోశానికి నష్టం వాటిల్లటమేకా, ప్రభుత్వం మీద ప్రజలకు ద్వేష భావం పెరుగుతుంది. అందువల్ల అలాంటి ఉద్యోగ నియామాకాల్లో ప్రభువు ప్రత్యేక శ్రద్ధ వహించాలి. పుణ్యాత్ముడువైన ఓ ధర్మరాజా! నీ కొరకు యుద్ధంలో మరణించిన వీర సైనికులు కుటుంబాలకు కూడు గుడ్డలు, లోటు లేకుండా ఇచ్చి, వాళ్ళ సంతోషం తగ్గకుండా పోషిస్తున్నావు కదా! ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది నీకు ప్రజలు చీకట్లో మునిగినట్లే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి. ఓ ధర్మరాజా! దేశ కాల దైవ బలాన్ని ముందుగా పొంది, బుద్ధిబలంతో అంతశ్శత్రువులైన కామక్రోధాదుల్ని, ఇంద్రియాల్ని జయించి, ప్రపంచ ప్రసిద్ధి గల బలవంతుడివై మదం అనే మాలిన్యంతో గ్రుడ్డిదైన మనస్సు కలవాళ్ళు, మిక్కిలి మత్తెక్కిన వాళ్ళు. అయిన శత్రువుల్ని జయించాలన్న ఉత్సాహంతో ఉన్నావు కదా! అని అడిగి తెలుసుకొనెను.

3. 'వార్త' ను గురించి నారదుడు ఏమని పలికెను?

జ. ఓ ధర్మరాజా! "రాజు అనేవాడు వార్తలను నిర్వహించవలసి ఉంటుంది. రాజ్యంలో నిరంతరం జరిగేటటు వంటి అనేక అంశాలు అనుక్షణం రాజుకు చేరవేసేటట్టు వార్తాహరులను ఏర్పాటు చేసుకోవాలి. ప్రపంచమంతా వార్త మీదే నడుస్తుంది. అది లేకుంటే ప్రజలు చీకట్లో మునిగినట్లే. అందువల్ల ప్రభువు వార్తను బాగా నడపాలి". అని నారదుడు ధర్మరాజుతో వార్త యొక్క ప్రాధాన్యతను వివరించాడు.

4. 'రాజనీతి' పాఠ్యభాగ నేపథ్యమును వ్రాయుము.

జ. పర్వత పారిజాత రైవత సుముఖులనే మహర్షులతో కలిసి వచ్చిన నారద మహర్షికి ధర్మరాజు తమ్ములతో కూడా ఎదురేగి నమస్కరించాడు. ఉన్నతాననం మీద కూర్చుండ బెట్టాడు. అర్హు పాద్యాది పూజా విధానాలతో పూజించాడు. నారద మహర్షి పాండవులందరిని కుశల మడిగాడు. ప్రత్యేకించి ధర్మరాజుతో రాజనీతి విషయాలు చర్చించాడు.

1.12 అభ్యాసం

ఈ క్రింది సంగ్రహ ప్రశ్నలకు సమాధానములు వ్రాయుము.

1. శత్రువుల్ని జయించే లక్షణాలు ఏవి?
2. ఎనిమిది రకాల ఆయుర్వేద వైద్య చికిత్సలను వివరించండి.
3. ఎటువంటి వారిని మంత్రిగా నియమించు కోవాలి?

ఈ క్రిందివానికి సందర్భ సహిత వ్యాఖ్యలు వ్రాయుము.

1. నిపుణుల నర్ధానాది నృపకార్యములన్
2. కృతము దలంచి ప్రాణములు విడుతురనిన్
3. యోగమునఁ జేసి వర్తిల్లుచున్న చెపుమ
4. వానిననుష్ఠింతుఁ బ్రియముతోడ

ఈ క్రింది పదములను విడదీసి సంధి నామములను వ్రాయుము.

1. దేవోత్తములు
2. సద్ధర్మమార్గము,
3. రాజాస్వయ,
4. పురోహితు డధిప,
5. దివ్యాంతరిక్ష
6. నరేంద్రోత్తమ,
7. పక్షమేర్పడ,
8. జగజ్జనులు,
9. శతైక వృద్ధి.

ఈ క్రింది పదములకు సమాస, విగ్రహ వాక్యములను వ్రాయుము.

1. ధర్మార్థ కామములు
2. పితృపితామహులు,
3. అష్టాంగములు,
4. జితేంద్రియుడు,
5. చోరభయము,
6. ధరణీశ,
7. శాస్త్రదృష్టి.

ఈ క్రింది పద్యములకు ప్రతిపదార్థతాత్పర్యములను వ్రాయుము.

1. బహుధనదాన్యసంగ్రహము _____ రక్ష్యములైన దుర్గముల్
2. వదలక బుద్ధిసంతరరి వర్గము _____ నింద్రియ నిర్జితాత్ములన్

విద్యార్థులకు సూచనలు

అభ్యాసం కోసం ఇచ్చిన అంశములను స్వంతంగా చేయగలరు.

గుర్తు ఉన్న పద్యములను కంఠస్థము చేయవలెను.

యూనిట్ - 2

దక్షయజ్ఞం నన్నెచోరుడు

2.1 ఉద్దేశం

అహంకారంతో విద్రవీగుతూ, ఇతరులను లెక్కచేయక అవమాన పరచే లక్షణం కలిగిన వాళ్ళు చివరికి వారే అవమానాల పాలవుతారని ఈ పాఠ్యాంశం ద్వారా తెలుసుకొనగలరు.

2.2 కవి పరిచయం

‘దక్షయజ్ఞం’ పాఠ్యభాగ రచయిత నన్నెచోరుడు. ఇతడు క్రీ.శ. 1130 కాలమునాటివాడు. ఇతని తల్లిదండ్రులు శ్రీసతి చోడబల్లి. తెలుగులో మార్గదేశీ పదములను కవిత్వ పరంగా వాడిన మొదటికవి ఈయన. కుమార సంభవము పీఠికలో మార్గ, దేశి భేదాలు కనిపిస్తాయి. సంస్కృత భాషా సాహిత్య లక్షణ ప్రభావంతో ఉభయ భాషాపండితులను ఉద్దేశించి నెరపిన కవితను మార్గ కవిత అని, జన సామాన్యంలో వ్యాప్తి కోసం వ్రాయబడిన కవితను దేశీ కవిత అని - ఈతని అభిప్రాయం. తెలుగులో తొలిసారిగా జాను తెనుగు, వస్తు కవిత అనే పదములను కూడా పేర్కొన్న కవి ఈయనే. నన్నెచోరుడు తెలుగు భాషలో స్వభావసిద్ధముగా వాడెడి సంస్కృత సమాసములు, జన సామాన్యమున వ్యవహరింపబడే దేశీ పదములతో కూడిన మంజులమైన, సరళమైన, ప్రసన్నమైన తెనుగును జాను తెలుగు అని, వస్తు ప్రధానమైన కవితను వస్తు కవిత అని ఈ కవి ప్రతిపాదన. ఈయన “కుమారసంభవం” రచన శివపురాణములోని కథకు ప్రబంధానుకూలంగా మార్పులు చేశాడు. దక్షయజ్ఞం అనే ఈ పాఠ్యభాగం కుమార సంభవము ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

దక్షుడు తన కుమార్తెల కాపురములను చూడడానికి బయలుదేరెను. తన అల్లుడైన శివుడు తనను సత్కరించి తగిన మర్యాదలు చేయని కారణంగా అతనిని అవమానించడానికి దక్షుడు యజ్ఞము నిర్వహించదలచాడు.

2.3 పాఠ్యభాగము

- మ. ప్ర. వివిధాస్రానీక జాతావిరల బహు లనద్విస్ఫులింగాగ్నియుం ద,
త్పవమానాహారవక్త్ర ప్రకటిత విషవిభ్రాజితో గ్రానలంబున్
సవికారాత్మాతికోపోజ్జ్వలతర విపులజ్వాలియుం గూడివర్సెన్
భవభాలాభీల నేత్రోద్భవశిఖిశిఖలన్ బద్ధజాండంబుదాకన్ 49
- వ. తదవసరంబున 50
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ఉ. వీందె ఖలుండు దక్షుం డను వీటిడి పాటుడు వీండు సర్వ వ

ధ్యుండెడసేయ కుండు శివదూషకు నాలుక గోసి యుప్పునిం

పుండు ద్రపుద్రవంబాడల బూయుడు లోహము గాచి నోరబో

యుండు దూరాత్మచర్మపట మొల్పుడు గన్నులు మీటుండుకృతన్

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వ. అని యనేక ప్రకారంబులం బలుకుచు నారకోచితదండంబుల దండించి
నిజాధీశ్వరుండైన గణాధీశ్వరున కొప్పించి తన్ని యోగంబున

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అ. ప్రమథగణము దక్షుం బడగొట్టి కట్టుచుం

గాలుం జేయు బడయంగవడించి

మనుమృగంబు గట్టికొనివచ్చు బలువేట

కాటువోలె వచ్చి కనిరి శంభు

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వ. తదవసరంబున

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సీ. ఉరుశోక రసవార్ధి యుష్పాంగెననమేన
ఘర్మాశుజలములు గడలుకొనంగ
గడిసన్నతమ్మి బాం కడరెనో యనదీన
వదనంబుపై నెఱుల్ సెదరి తూల
ముఖలక్ష్మి భీతిం దమోవీధిం జొచ్చెనా
జాలియ విరివేణి వ్రేలుచుండ
గవవాసి యలదురు కలహంసరుతము నా
నా క్రంద నారావ మతిశ యిల్లన్

ఆ. దొడరు నడుగు లిడుచు దుఃఖాతిశయమున
దల్లడిల్లుచున్న దక్షు ధర్మ
పత్నివచ్చి పురుష భైక్షంబు వేడుచు
జాలి దవుల నభవు మ్రోలం బడియె

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2.4 పాఠ్యాంశ పరిచయం

దక్షుడు చేస్తున్న యజ్ఞానికి అతని కుమార్తె అయిన దాక్షాయణి భర్త అయిన శివుని అనుమతి కోరి వెళ్ళింది. యజ్ఞ నిర్వహణ ప్రదేశంలో బ్రహ్మ, విష్ణువు తదితర దేవతలు హాజరయినారని పార్వతి తెలుసుకొంది. యజ్ఞ వాటికనందు తన భర్త అయిన శివుడు యజ్ఞ సమయంలో పూజార్హుడు కాదా? అని ప్రశ్నిస్తుంది. ఇది తప్పని చెప్పింది. కాని దాక్షాయని మాటలను విష్ణువు, బ్రహ్మతో పాటు మునీశ్వరులు, దేవతలు అందరూ దక్షునితో చర్చించారు. కాని ఇది దక్షునికి ఆగ్రహం కలిగించింది. దక్షుడు శివుని వివిధ రకాలుగా నిందించాడు. తన ముందే త్రిమూర్తులలో ఒకరైన శివుని నిందించటం సహించలేని దాక్షాయని అగ్నిని సృష్టించుకొని అందులో తనను తాను ఆహుతి చేసుకుంది. నారదుని ద్వారా ఈ విషయం తెలుసుకున్న శివుడు ఉగ్రుడయినాడు. అతని కోపాగ్ని జ్వాలలు అంతటా వ్యాపించాయి. ప్రమధగణాలు కలవరపడి శివుని వద్దకు బయలుదేరారు. శివుడు విశ్వాన్ని దగ్ధం చేస్తానని ఉగ్రుడై పలికాడు. అంతటి అతని కుమారుడు, గణములకు అధిపతి అయిన గణపతి ముందుకు వచ్చి ఈ కోపానికి కారకుడయిన దక్షుని అంతం చేసే పని తాను పూర్తి చేస్తానని అనుమతి కోరినాడు. శివుడు గణపతి దక్షత తెలిసిన వాడై అనుమతినిచ్చాడు. గణపతి మిగిలిన గణములతో కూడి దక్షుడు చేస్తున్న యజ్ఞ వాటికను చేరుకున్నాడు.

‘దక్షయజ్ఞం’ అనే ఈ పాఠ్యభాగం నన్నెచోడుడు రచించిన కుమార సంభవము ద్వితీయాశ్వాసమునుండి గ్రహింపబడినది.

కఠిన పదాలకు అర్థాలు:

వివిధ + అస్త్ర = వివిధాస్త్రా	=	వివిధములైన అస్త్రములు
భవభాలాభీల	=	శివుడు పుట్టిన కనులు వెలుగులు జిమ్మే
నేత్ర	=	కనులు (నేత్రములు)
ఉద్భవ	=	ఉద్భవించిన
శిఖిఖిలన్	=	అగ్నికీలలు
పద్మజాండంబు	=	బ్రహ్మాండము
ఖురపదఘట్టన	=	పాదాలకున్న డెక్కల తాకిడివలన
ధరణి	=	భూమి
క్రుంగ	=	క్రుంగ
ఫణీంద్రుడు	=	నాగరాజు
ఉగ్గునుగ్గుగా	=	చిద్రమవగా (ముక్కలుగా)
పయోనిధులు	=	సముద్రములు
పారిబౌరి	=	తునియలు
త్రుంగ	=	ముక్కలు
శృంగహతి	=	కొమ్ములతాకిడి
నజాండము	=	లోకము (విశ్వము)
వృషభంబు	=	ఎద్దు (నంది)
త్రిలోక	=	మూడు లోకములు
హరి	=	విష్ణువు
మర్ధించు	=	సంహరించు
పరిమార్చు	=	వధించుట
విరూపాక్షుండు	=	శివుడు
జలజభవాండ	=	బ్రహ్మ విశ్వము
జర్ఘంతం	=	కంపించుట
కులగిరులు	=	సప్తకుల పర్వతాలు

ఉర్వి	=	భూమి
జగంబు	=	విశ్వము
అబ్దులు	=	సముద్రములు
కంజభవాండము	=	బ్రహ్మాండము
ఇప్పుడు	=	ఇప్పుడే
సంహరించెదన్	=	నాశనం చేస్తాను.
ఇల్లేర్లునట్లు	=	ఇల్లును పీకినట్లు
జగము	=	విశ్వము
పట్టితెచ్చెద	=	పట్టుకొని వస్తాను.
ములుక	=	ముల్లు
కుటుమతి	=	అధికము(పోగు)
అస్మదీయ	=	నా యొక్క
జననీ	=	తల్లి
పరాభవం	=	అవమానం
అవశ్యంబుగ	=	తప్పనిసరి
గణాధీశ్వరుడు	=	గణములకు అధినేత గణపతి
ఆడరి	=	ఆ విధముగా
క్రతురక్షకులు	=	యజ్ఞములను నిర్వహించేవాడు
వేదికలు	=	మండపాలు
ఋత్విగణంబులు	=	యజ్ఞం చేసే వారి బృందాలు
జిహ్వా	=	నాలుక
ప్రయ్యాలు	=	ముక్కలు
అతిభీషణ	=	భయంకరంగా
కబ్బిగింపక	=	ఎదుర్కోనలేక
వనజగరుడు	=	బ్రహ్మ
మరాళము	=	హంస
గలచికొని	=	కఱచుకొని
కెందెమ్మి	=	ఎఱ్ఱని కలువ
చక్ర	=	విష్ణువు

చాపము	=	ఇంద్రధనస్సు
శ్వేతనాగము	=	కైలాస పర్వతం
సహస్రాక్షుండు	=	వేయి కనులు కలవాడు ఇంద్రుడు
సంభ్రమము	=	అశ్చర్యము (భయము వలన)
ఉరుతర+ అబ్ధీశుడు	=	సముద్రముకు నీరు నిచ్చే వరుణుడు
నోడిక	=	ఎండిపోయిన
మానిసి	=	(మనిషి) నరుడు
మూపు	=	భుజం
పఱచే	=	పరుగెత్తి
ధనపతి	=	కుబేరుడు (కుబేరుని వాహనం మనిషి)
సురాసరోరగ	=	దేవతలు, రాక్షసులు, నాగులు
ఖలుడు	=	రాక్షసుడు (దుర్మార్గుడు)
సురమునిజనంబు	=	దేవతలు, మునులు, మిగిలిన జనం
కని	=	చూచి
ఉరు శోకరవార్ధి	=	కన్నీటి సముద్రం
ఘర్మాశుజలము	=	కన్నీరు, చెమటకుసిన్
వదనంబుపై	=	పెదవులపైన
ధర్మపత్ని	=	భార్య
వేడుచు	=	వేడుకొనుచు
దుఃఖాతిశయము	=	విపరీతిమైన దుఃఖములో
ప్రభువు	=	శివుడు
మ్రోల	=	పాదాలు
ఉద్రపుద్రవము	=	ఉల్లినీరు (ఉల్లరసం)

2.5 ప్రతిపదార్థ - తాత్పర్యాలు

- జలజభవాండ మంతయును జర్జరితం బగుచుండ ప్రచ్ఛిమున్
గులగిరు లుర్విమీంద వాడిఁగూలఁగఁ ద్రోచిజగంబులబ్ధులం
గలిపి మహాబ్ధులన్నియును గంజభవాండముమేర కక్కడన్
వెలువడఁజల్లి రౌద్రగతి విశ్వము నిప్పుడ సంహరించెదన్

కవిపరిచయం : ఈ పద్యం ' దక్షయజ్ఞం' అనే పాఠ్యభాగంలోనిది. కవి నన్నెచోరుడు రచించిన 'కుమారసంభవం' ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

సందర్భం : శివుని భార్య అయిన ద్రాక్షాయని అగ్నిని సృష్టించుకొని తనకు తాను ఆహుతి అయినదని నారదుని ద్వారా విన్న శివుడు ఇందుకు కారణమైన దక్షుడిని సంహరిస్తానని ఉగ్రరూపుడై పలికిన సందర్భం.

ప్రతిపదార్థం:

జలజ భవాండము	=	బ్రహ్మాండము
అంతయును	=	అంతయును
జర్జితంబగుచుండ	=	శిథిలమగుచుండగా
వచ్చి	=	చీల్చి
కులగిరులు	=	పర్వతాలు
ఉర్వి	=	భూమి
పడి	=	పడినట్లుగా
కూలగద్రోచి	=	కూలినట్లుగా తోసివేసి
జగంబులు	=	లోకములు
మహాబ్ధులు	=	సప్త సముద్రములు
కక్కడన్	=	తారుమారు
వెలువడ	=	కనబడేవిధంగా
చల్లి	=	శివుడు
కంజభవాండము	=	విశ్వము అంతటా
రౌద్రగతి	=	మహావేశము (మిక్కిలి ఆవేశముతో)
విశ్వమును + ఇప్పుడే	=	ఈక్షణమే ప్రపంచమును
సంహరించెదన్	=	నాశనం చేస్తాను.

తాత్పర్యం: శివుడు దక్షునిపై గల కోపంతో సముద్రాలు, మహా సముద్రాలు, కుల పర్వతాలు కలిగిన బ్రహ్మాండము ఇప్పుడే నాశనం చేస్తానని ఉగ్రుడై పలుకుచుండెను.

సంధులు:

జలజ + భవాంబము	=	జలజభవాండము	-	సవర్ణదీర్ఘసంధి
కులగిరులు+ ఉర్వి	=	కులగిరులుర్వి	-	ఉత్వసంధి

$$\begin{aligned} \text{మహా} + \text{అబ్బలు} &= \text{మహాబ్బలు} & - & \text{సవర్ణదీర్ఘసంధి} \\ \text{కూలగ} + \text{త్రోచి} &= \text{కూలగద్రోచి} & - & \text{సరళాదేశ సంధి} \end{aligned}$$

సమాసములు :

$$\text{జలజభవుడు} = \text{జలజము నుండి పుట్టినవాడు (బ్రహ్మ)} - \text{బహువ్రీహి సమాసము}$$

$$\text{మహాబ్బలు} = \text{గొప్పదైన సముద్రాలు} - \text{విశేషణ పూర్వపద సమాసము}$$

$$\text{జగంబులబ్బలు} = \text{జగంబులు, మరియు అబ్బలు} - \text{ద్వంద్వ సమాసము}$$

ఛందస్సు:

ఈ పద్యం చంపకమాల వృత్తమునకు చెందినది.

ఇందు న జ భ జ జ జ ర అనే గణాలు ఉంటాయి.

మొత్తం అక్షరాల సంఖ్యం - 21

1-11 అక్షరాలకు యతి కుదురుతుంది.

2. స్థూలసమున్నతాంగులు చతుర్భుజ పాలతటాక్ష శూలకా
పాలకరోరకార్ముక కృపాణధరుల్ ప్రమథాధినాథులా
భీల పరాక్రముల్ నిఖిల భీకర మూర్తులు వచ్చి రోలింగం
కాలసమేతులై భువనకంపముగా గణనాథు పాలికిన్

కవిపరిచయం : ఈ పద్యం ' దక్షయజ్ఞం' అనే పాఠ్యభాగంలోనిది. కవి నన్నెచోరుడు రచించిన 'కుమారసంభవం' ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

సందర్భం : దక్షుని సంహరించుటకు తండ్రి అయిన శివుని అనుమతితో గణాధిపతి అయిన గణేశ్వరుడు బయలుదేరాడు. అతని అనుసరిస్తూ గణాధీశులందరూ తమ తమ పరివారంలో ఆయుధాలను ధరించి భూమి కంపించే విధంగా సన్నద్ధం అయిన సందర్భం.

ప్రతిపదార్థం :

$$\text{స్థూలసమున్నతాంగులు} = \text{బలమైన, ఎత్తైన శరీరములు గల పరాక్రమమునందు}$$

$$\text{చతుర్భుజులు} = \text{చతురమైన భుజబలము కలిగినవారు}$$

$$\text{పాలతటాక్షుడు} = \text{సుదిట్టియందు శూలము ముద్రలుగా కలిగినవారు}$$

కరోర కార్ముక	=	కరినమైన బాణము
కృపాణధారుల్	=	కత్తులన్ చేత ధరించినవారు
ప్రమధ + అధినాథులు	=	ప్రమధ గణాదులు
లాభీల పరాక్రమము	=	భయంకరమైన వీరత్వము
నిఖిల	=	ఎదుర్కోనే
భీకర	=	భయంకరమైన
మూర్తులు	=	ఆకారము కలిగినవారు
భువన కంపంభముగా	=	లోకములు కంపించే విధముగా
కంకాల సమేతులై	=	అస్థి పంజరముబోలు ఆయుధాలతో వచ్చారి
వోలి	=	వెంటనే
గణనాథులు	=	గణములకు నాధుడైన గణపతి
పారికిన్	=	విఘ్నేశ్వరుని వద్దకు
వచ్చిరి	=	చేరారు.

తాత్పర్యం : శివుడు దక్షున్ని సంహరించుటకు గణపతికి అనుమతి ఇవ్వగా మిగిలిన గణములు వారివారి అనుచరులైన నుదిటిపై శూలము చిహ్నమైన బొట్టును ధరించినవారు, చతురస్రకారముగా బొట్టు ధరించినవారు, తమ వద్ద ఉన్న ఎముకల గూడు వంటి అస్థి పంజరాలతో తయారు చేయబడిన ఆయుధములు గలవారు గణపతి వద్దకు వచ్చారు. వారి యొక్క ఆకారాలు భయంకరంగా ఉన్నాయని భావం.

సంధులు:

సమున్నాతాంగులు	=	సమున్నత + అంగులు	=	సవర్ణదీర్ఘసంధి
ప్రమధాధినాథులు	=	ప్రమధ+ అధినాథులు	=	సవర్ణదీర్ఘసంధి
వచ్చిరోలి	=	వచ్చిరి + వోలి	=	ఇకార

సహసములు :

ఉన్నతాంగులు	=	ఉన్నతమైన అంగములు కలిగినవారు	=	బహుప్రీహి
భీకరమూర్తులు	=	భీకరమైన ఆకారముగలవారు	=	విశేషణ పూర్వ
గణనాథు పారికిన్	=	గణనాథుని వద్దకు	=	ద్వితీయ
చతుర్భుజము	=	నాలుగు భుజములు	=	ద్విగు

ఫందస్సు : ఈ పద్యము ఉత్పలమాల వృత్తముకు చెందినది.

ఇందు భ ర న భ భ ర వ అనే గణములు ఉంటాయి

1-10 అక్షరాలకు యతి వర్తిస్తుంది.

మొత్తం అక్షరాల సంఖ్య

3. ఖరపదఘట్టనన్ ధరణిగ్రుంగ ఫణీంద్రుడునుగ్గు నుగ్గుగా
బరువడి నూర్వులందెరలి పాఱబయోనిధులుం గులాద్రులుం
బొరిబొరిద్రుంగ శృంగహతిఁ బొందదివంబునజాండమున్ మహే
శ్వరు వృషభంబు నాక్షణమ వచ్చెద్రెలోక భయంకరాకృతిన్

కవిపరిచయం : ఈ పద్యం ' దక్షయజ్ఞం' అనే పాఠ్యభాగంలోనిది. కవి నన్నెచోరుడు రచించిన 'కుమారసంభవం' ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

సందర్భం : దక్షుని సంహరించుటకు తండ్రి అయిన శివుని అనుమతితో గణాధిపతి అయిన గణేశ్వరుడు బయలుదేరాడు. అతని అనుసరిస్తూ గణాధీశులందరూ తమ తమ పరివారంలో ఆయుధాలను ధరించి భూమి కంపించే విధంగా సన్నద్ధం అయిన సందర్భం.

ప్రతిపదార్థం :

మహేశ్వరువృషభంబు	=	శివుని వాహనమైన నందీశ్వరుడు
అక్షణంబు	=	ఆ సమయంలో
ఖరపదఘట్టనన్	=	గిట్టలతోడి కాళ్ళ రాయిడిచే
ధరణిక్యంగ	=	భూమిఅడగగా
ఫణీంద్రుడు	=	సర్పరాజగు ఆదిశేషుడు
నుగ్గునుగ్గుగా	=	తెగలుతెగలుగా
కొరవడి నూర్వులన్		
తెరలి	=	త్వరతిగతిని (నిట్టూర్పులు) బుసలుకొట్టునట్లుగా
పయోనిధులన్	=	సముద్రములు
కులాద్రులన్	=	కులపర్వతములు
బొరిబొరి	=	సుడులుతిరుగునట్లుగా

శృంగహతిచే	=	కొమ్ములతాకిడిచే
త్రుంగ	=	కూలినట్లుగా
పొంద	=	పొందినట్లుగా
దివంబుఆజాండమున్	=	సమస్తలోకములు
త్రిలోక భయాంకరాకృతిన్	=	ముల్లోకములు భయపడునట్లు కోపముతో
వచ్చె	=	వచ్చినది

తాత్పర్యం : శివుని వాహనమైన నందీశ్వరుడు గిట్టలతోడి పాదములు త్రొక్కిడిచే భూమి ఆ సర్పరాజగు ఆదిశేషుడు పిండిపిండికాగా, సముద్రములు వేగముగా సుడులు తిరుగునట్లుగా, కులపర్వతములు తునకలు కాగా, బ్రహ్మాండము కొమ్ముల దెబ్బను పొందగా, ముల్లోకములు భయపెట్టునట్లు రూపముతో వచ్చినది.

విశేషాంశం : కులాద్రులు అనగా మహేంద్రము, మలయము, సైహ్యద్రి, శక్తిమంతము, గంధమాదనము, వింధ్యము, పారీయాత్రము అను ఏడు.

సంధులు :

ఫణీంద్రుడు	=	ఫణి+ ఇంద్రుడు	=	సవర్ణదీర్ఘసంధి
కులాద్రులు	=	కుల+ అద్రులు	=	సవర్ణదీర్ఘసంధి
మహేశ్వరుడు	=	మహా+ ఈశ్వరుడు	=	గుణసంధి
భయంకారకృతిన్	=	భయంకర+ ఆకృతిన్	=	సవర్ణదీర్ఘసంధి

సమాసములు :

ఫణీంద్రుడు	=	ఫణులలో ఇంద్రుడు	=	షష్ఠీ తత్పురుష
శృంగహతి	=	శృంగము వలన హతి	=	పంచమి తత్పురుష

4. హరిమర్ధింతు మొ, బ్రహ్మబట్టుడు మొ, యింద్రాద్యష్టదిక్పాలురం
బరిమార్పన్ వధియింతుమో త్రిదశులన్ భంజింతుమోలోకసం
హరణం బిప్పుడ చేయనెత్తుడు మొ విశ్వాధీశ్వరుండిశుండె
వ్వరిపై నల్లెనో చూడుం డంచు బ్రమథవ్రాతంబు రౌద్రాకృతిన్

కవిపరిచయం : ఈ పద్యం ' దక్షయజ్ఞం' అనే పాఠ్యభాగంలోనిది. కవి నన్నెచోరుడు రచించిన 'కుమారసంభవం' ద్వితీయాశ్వాసము నుండి గ్రహింపబడినది.

సందర్భం : దక్షుని సంహరించుటకు తండ్రి అయిన శివుని అనుమతితో గణాధిపతి అయిన గణేశ్వరుడు బయలుదేరాడు. అతని అనుసరిస్తూ గణాధీశులందరూ తమ తమ పరివారంలో ఆయుధాలను ధరించి భూమి కంపించే విధంగా సన్నద్ధం అయిన సందర్భం.

ప్రతిపదార్థం :

ప్రమథవ్రాతంబు	=	ప్రమథగణములు
రౌద్రాకృతిన్	=	ఉగ్రరూపులై
హరిమర్ధింతుమో	=	విష్ణువుని సంహరింతుమో
బ్రహ్మన్బట్టుదుమో	=	బ్రహ్మనుబంధించెదామా?
ఇంద్రాది	=	ఇంద్రుడు మొదలైన
అష్టదిక్పాలురన్	=	ఎనిమిది మంది దిక్పాలకులను
పరిమార్చన్	=	వధింతుమో
త్రిదశులన్	=	దేవతలు
భంజితుమో	=	మట్టుపెట్టుదేమో
లోకసంహరణంబు	=	ముల్లోకముల సంహరణము
ఇప్పుడాచేయునెత్తుదము	=	చేయుదమా?
విశ్వాధీశుండు	=	విశ్వమునకు నాధుడైన
ఈశుండు	=	శివుడు(విశ్వేశ్వరుడు)
ఎవ్వరిపైన	=	ఎవ్వరిపై
అలెన్	=	కోపించెన్
చూడుడు	=	తెలుసుకొనండి

తాత్పర్యం : విష్ణువును మర్ధింతుమో, బ్రహ్మను బంధింతుమో, ఇంద్రుడు మున్నగు ఎనిమిదిమంది దిక్పాలకులను చంపుదమో. దేవతలను సంహరింతుమో, ఇప్పుడే లోకనాశనము చేయ దండెత్తిపోవుదమో, విశ్వేశ్వరుడైన శివుడు ఎవరిపై కోపించెన్ తెలుసుకోదని ప్రమథగణములు ఉగ్రరూపులైరి.

విశేషాంశం : అష్టదిక్పాలకులు అనగా ఇంద్రుడు, అగ్ని, యముడు, వరుణుడు, వాయువు, నికృతి, కుబేరుడు, ఈశాణుడు.

సంధులు :

$$\begin{aligned} \text{విశ్వాధీశ్వరుడు} &= \text{విశ్వ} + \text{అధీశ్వరుడు} &= \text{సవర్ణదీర్ఘసంధి} \\ \text{రౌద్రాకృతిన్} &= \text{రౌద్ర} + \text{ఆకృతిన్} &= \text{సవర్ణదీర్ఘసంధి} \end{aligned}$$

సమాసములు :

$$\begin{aligned} \text{అష్టదిక్పాలకులు} &= \text{ఎనిమిది దిక్పాలకులు} &= \text{ద్విగు సమాసము} \\ \text{విశ్వాధీశ్వరుడు} &= \text{విశ్వమునకు అధీశ్వరుడు} &= \text{షష్ఠీతత్పరుష సమాసము} \\ \text{రౌద్రాకృతిన్} &= \text{రౌద్రమైన ఆకృతితో} &= \text{విశేషణ పూర్వపద సమాసము} \end{aligned}$$

2.6 సందర్భ సహిత వ్యాఖ్యలు

1. వెలువడఁజల్లి రౌద్రగతి విశ్వము నిప్పుడ సంహరించెదన్

కవిపరిచయం : ఈ వాక్యము ‘దక్షయజ్ఞం’ అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన ‘కుమార సంభవం’ ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : తన భార్య అయిన దాక్షాయని దక్షయజ్ఞ వాణీకయందు అగ్నిని సృష్టించుకొని, ఆత్మాహుతి చేసుకున్నదన్న వార్తను నారదుని ద్వారా విన్న శివుడు కోపముతో ఈ విశ్వమును ఇప్పుడే నాశనం చేస్తానని రౌద్రంగా పలికిన సందర్భం.

భావం : రుద్రుని అగ్రహము నుండి వెలువడిన అగ్ని జ్వాలలు వలన విశ్వం అతలాకుతలం కాసాగెను.

2. ఎలుక మీది కోపమున నిల్లేర్చునట్లు

కవిపరిచయం : ఈ వాక్యము ‘దక్షయజ్ఞం’ అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన ‘కుమార సంభవం’ ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : శివుని కోపకారకుడు దక్షుడని తెలుసుకొన్న ప్రమథగణాలు దక్షుని సంహరించుటకు మీరెందుకు, మేము వెళతామని అనుమతి కోరిన సందర్భం.

భావం : అల్పుడయిన దక్షుని, వధించుటకు శివుని వంటివాడు పోవలెనా? ఎలుకను చంపటం కోసం ఇల్లు కూల్చుకోవటం ఎందుకని భావం

3. ఉప్పు బెటికి వోలె వెఱచి పఱచెజముడు

కవిపరిచయం : ఈ వాక్యము 'దక్షయజ్ఞం' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన 'కుమార సంభవం' ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : శివుని అనుమతితో ప్రమధగణాలతో గణపతి దక్షయజ్ఞ వాటికను నాశనం చేసిన సందర్భంలో బ్రహ్మ, విష్ణు తదితరులు భయపడిరి. వీరితో వచ్చిన యముడు పిరికివానివలె పారిపోయెను అనునది సందర్భం.

భావం : ఉప్పు బస్తాను మీదను వేసికొన్న విధంగా యముని తనపై వేసుకొన్న అతని వాహనమైన దున్నపోతు పరుగుతీసెను.

4. వేట కాలు వోలె వచ్చి కనిరిశంభు

కవిపరిచయం : ఈ వాక్యము 'దక్షయజ్ఞం' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన 'కుమార సంభవం' ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : ప్రమధ గణములతో వెళ్ళిన గణపతి దక్షుని బంధించి శివుని వద్దకు తీసుకు వచ్చిన సందర్భం.

భావం : దక్షుని పట్టుకొని కాళ్ళు చేతులు విరిచికట్టి కావడిగా కట్టి, వేటగాండ్రు మోసుకువచ్చిన విధంగా ప్రమధ గణములతో గణపతి శివుని వద్దకు చేరిరి.

5. జాలిదవుల సభపుమ్రోలఁబడియె

కవిపరిచయం : ఈ వాక్యము 'దక్షయజ్ఞం' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన 'కుమార సంభవం' ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : దక్షున్ని బంధించి గణపతి శివుని వద్దకు తీసుకురాగా దక్షుని భార్య కన్నీటితో తనకు పతిభిక్ష పెట్టమని శివుని వేడుకొను సందర్భం.

భావం : కన్నీటితో దక్షుని భార్య ప్రభువయిన శివున్ని పతి భిక్షపెట్టమని ప్రార్థించెను.

6. నన్నుఁ బనుపు దక్షుఁబట్టి తెచ్చెదన్

కవిపరిచయం : ఈ వాక్యము 'దక్షయజ్ఞం' అనే పాఠ్యభాగము నుండి గ్రహింపబడినది. నన్నెచోడుడు రచించిన 'కుమార సంభవం' ద్వితీయాశ్వాసము నుండి తీసుకోబడినది.

సందర్భం : దక్షున్ని బంధించి గణపతి శివుని వద్దకు తీసుకురాగా దక్షుని భార్య కన్నీటితో తనకు పతిభిక్ష పెట్టమని శివుని వేడుకొను సందర్భం.

భావం : గణపతి తండ్రితో నన్ను పంపండి దక్షుని పట్టి తెచ్చెదను అనెను.

2.7 పాఠ్యభాగసారాంశము

దక్షుడు తన కుమార్తెల కాపురములను చూడడానికి వెళ్ళాడు. అందరి దగ్గర ఎంతగానో గౌరవింపబడి, సత్కారములందుకొన్న దక్షుడు - తన అల్లుడైన శివుడు మాత్రం తనను సత్కరించలేదు. ఇది దక్షునికి అవమానంగా తోచింది. శివుని తక్కువ చేసేందుకు అతనిని ఆహ్వానించకుండానే దక్షుడు యజ్ఞం చేయదలిచాడు. యజ్ఞ కార్యక్రమాలు ప్రారంభమయాయి. సమస్త దేవతలను, అష్టదిక్పాలకులను, ఋషులు, యక్ష కిన్నెర గంధర్వ కింపురుషాది వర్గాలను ఆహ్వానించాడు అల్లుడయిన శివునికి ఆహ్వానం పంపలేదు. అతను చిరునవ్వుతోనే మిన్నకుండిపోయాడు. కాని.... పార్వతి తన పుట్టింటి వారు చేస్తున్న యజ్ఞమునకు వెళ్ళి దలచుకుంది. పిలువని పేరంటం అవమానకరమని రుద్రుడు తన భార్య అయిన దాక్షాయనిని హెచ్చరించాడు. అయినా ఆమె వెళ్ళాలనే వాంఛను కనబరిచింది. శివుడు కాదనలేకపోయాడు.

యజ్ఞవేదిక వద్దకు వెళ్ళిన దాక్షాయని తండ్రిని చూసింది. శివుడు యజ్ఞ ఆహ్వానానికి అనర్హుడా? శివుడు లేని యజ్ఞమా? ఇది తప్పని తండ్రికి చెప్పింది. అక్కడున్న బ్రహ్మ, విష్ణువు తదితరులు ఆమె చెప్పింది వాస్తవమని పలికారు. అందుకు ఇది దక్షునికి కోపం కలిగింది. దాక్షాయని ఎదుట ఆమె భర్త అయిన శివుని నిందించసాగాడు. తండ్రి మాటలు విని భరించలేని దాక్షాయని దుఃఖితురాలై ఆవేదనతో తనకు తానే అగ్నిని సృష్టించుకొని అందు ప్రవేశించి ఆత్మాహుతి చేసుకుంది. అందరూ నిశ్చేష్టులైనారు. ఇదంతా చూసిన నారదుడు శివుని వద్దకు వెళ్ళి ఈ అంశాలన్నీ వివరించాడు. రుద్రుడు రౌద్రరూపుడయినాడు. అతని శరీరం నుంచి, నేత్రముల నుంచి అగ్ని కీలలు, విష వాయువులు వెలువడి లోకాలను చుట్టముట్టసాగాయి. బ్రహ్మాండమంతా వేడిమికి విషజ్వాలకు ఉక్కిరిబిక్కిరి కాసాగినది. ఏం జరిగిందో తెలియక భయాందోందళనలకు లోనయినాయి. కైలాసంలో శివుడు రౌద్రంగా వేసిన అడుగులకు భూమిని మోస్తున్న నాగేంద్రుడు భారంతో క్రుంగిపోసాగాడు. ఏమి యీ విపరీతమని కలత చెందసాగాడు. సముద్రములు ఇంకి పోసాగాయి. కొండలన్నీ నుగ్గునుగ్గు కాసాగాయి. మహేశ్వరుని వాహనం అయిన నంది (వృషభం) పరుగుతో శివునిని సమీపింపబోయింది. త్రిలోకములు భయమునందు విధముగా ఉన్న ఆ శంకరుని ఆకృతిని చూసి నిలిచిపోయింది. కైలాసంలోనే కాక సమస్త భూవలయంలోనూ జరుగుతున్న విపరీతములకు ప్రమథ గణములు మిక్కిలి భయభ్రాంతులైనారు. ఏదో జరగబోతుందని, పుష్పదంతుడు, భృంగి, ఘంటాకర్ణ, మహాకర్ణ, వీరభోగ, వీరశంకర, వీరభద్ర వంటి రుద్ర గణాలు ఒకరితో

ఒకరు చర్చించుకొంటున్నారు. వారి చర్చలు శంకరుని విలయ సృష్టికి కారణాలు వెతుక్కోనే విధంగా ఉన్నాయి. హరిని కాని బ్రహ్మను కాని సంహరిస్తాడా. ఇంద్రాది అష్టదిక్పాలను శిక్షిస్తాడా, త్రిలోకాల్లో ఉన్నా అధినాథులకు ఏ హాని జరగనుందో, శివుడు ఎవరిమీద అలిగినాడో చూడవలయును అని ప్రమథ గణములు తమతో తాము చర్చించుకొంటూ శివుని రుద్ర ఆకారమును చూసిరి, భయపడ్డారు. ఆ సమయంలో శివుడు దక్షుని పై కోపగించుకొన్నాడనే విషయం వారికి తెలిసింది. వారిలో అంతవరకూ ఉన్న సందేహాలు తొలగిపోయాయి. బ్రహ్మాండమును నుజ్జుగా చేస్తాం. కులగిరులను పిండిగా చేస్తాం. భూమీద్వ సముద్రములను ఇంకింపజేస్తాం. ఈ సృష్టినంతటను ఇప్పుడే నాశనం చేస్తాం. బ్రహ్మాతదితర దేవతలను పట్టి తెస్తాం. భూమీద్వనున్న రాజులునందరిని చంపివేస్తాం. అనుమతించండి స్వామి అంటూ మీ అలుకకు కారణమైన దక్షుడు అల్పుడు. అటువంటి వాడిని ఈ క్షణమే బంధించి మీ ముందుకు తెస్తాం. మమ్ము పంపుమని ప్రమథగణాలు ఎవరికివారే శివునితో ప్రార్థించారు.

ప్రమథగణాలు పలుకుతున్న మాటలను గణాధిపతి విని పరమేశ్వరునికి ఎదురుగా నిలచి గొప్ప గర్జన వంటి శబ్దము వచ్చే విధంగా మాట్లాడటం ప్రారంభించెను. ‘అల్పమైన వానికోసం పాశుపతము ప్రయోగించటం ఎందుకు, ముల్లును తీయటంకోసం గొడ్డలిని వాడటం ఎందుకు? చిన్న చిట్టెలుక వంటి వాడిని వేటాడటం కోసం సాక్షాత్తు మహాశివుడే తరలి వెళ్ళటమా? నన్ను పంపు తండ్రి ఇప్పుడు జరిగిన అవమానం నా తల్లిది. కుమారుడుగా నా తల్లి అవమానానికి హేతువయిన వానిని సంహరించవలసిన బాధ్యత నాది కదా! అలస్యం చేయకుండా నన్ను పంపినచో ఆ దక్షున్ని పట్టి తెస్తానని అనగా అతని తండ్రి అయిన శివుడు కుమారుని శక్తి సామర్థ్యములు తెలిసినవాడై. దక్షుని పట్టుకొని ప్రాణములతో తన వద్దకు తీసుకు రమ్మని గణపతికి అనుజ్ఞ ఇస్తాడు.

శివుని అనుమతి పొందిన గణపతిని చూసిన ప్రమథగణములు ఆనందపడ్డాయి. శాలములు ధరించినవారు, నుదుటి న చతురాస్రకారముగా శివనామములు దిద్దుకొన్నవారు. భయంకరమైన కత్తులు ధరించినవారు భీకరమైన ఆకృతి దాల్చిన ప్రమథగణాలు తమ తమ పరివారములో గణపతి వద్దకు వచ్చి నిలుచున్నారు. ఆ సమయంలో దేవగణములకు అధీశ్వరి అయిన, ధాకీనీ, కుశ్మాండ యోగిని కూడా తన పరివారంతో అక్కడకు చేరుకున్నది. ఆ సమయంలో లోకములలో గల చీకటిని తన శరీరచ్ఛాయగా పులుముకొన్నదా అన్నట్లుగా ఆకాశము నుండి మహా కాళీ మహాభయంకరాకారముతో అక్కడకు వచ్చెను. ఈ విధంగా వచ్చిన తన పరివారమును

వెంటబెట్టుకొని గణపతి దక్షుని యజ్ఞవాటిక చేరుకున్నాడు. ప్రజాపతి అయిన దక్షునిపైన విపరీతిమైన ఆగ్రహం కలిగింది. కోపంలో గణేశుడు తన పరివారమునకు సంజ్ఞ చేయగానే రెట్టించిన ఉత్సాహముతో ఆగ్రహంతో భూత, ప్రేత, పిశాచి, దేవతా గణాలు యజ్ఞ వాసులను ధ్వంసం చేయసాగాయి. క్రతువును రక్షిస్తున్న వారిని కనుగొని పట్టి సహరించ సాగారు. ఆశ్రమ వాసాలను త్రోసివేసారు. యజ్ఞ వేదికలను కూల్చి వేసారు. అగ్ని గుండములను త్రవ్వి పారేశారు. ఋత్విగ్గణాన్ని హింసించసాగారు. యజ్ఞమును చూచుటకు వచ్చిన వారిని భయభ్రాంతులను చేసి పరుగులు పెట్టించారు. యజ్ఞమును పర్యవేక్షించే 'ఉపదర్శి'ని పట్టి మెడను నులిమి, త్రాడుతో బంధించారు. పరిచారకులను బంధించి హింసించారు. మంత్రాలు పఠించే వారి నాలుకలను రెండు ముక్కలు చేసారు. పరిజనులను నేలపాలు చేసారు. దక్షుని యజ్ఞ వాటికను నాశనం చేసారు. భయాపహ వాతావరణం సృష్టించారు. రాజులు, రాక్షసులు, దేవతల వంటి వారు వీరిని చూసిన మాత్రముననే కొందరికి పై ప్రాణాలు పైనే పోయాయనుకున్నారు. కొందరు వారితో పోరాడ దలచి, ఓడిపోయారు. అందరిని చుట్టుముట్టి భయం కలిగించారు. ఇలా అందరిని భయకంపితులు చేస్తూ, యజ్ఞవాటికను నాశనం చేసిన ఆ ప్రమథ గణముల ధాటికి, వీర విహారానికి అందరూ కకావికలమైపోయారు. చివరకు దేవతలు సహితం దిక్కులు మరచి పరుగెత్తసాగారు. హంసను వాహనంగా చేసుకొని వచ్చిన బ్రహ్మ తన వాహనమును అధిష్టించడం మరచిపోయాడు. హంసే బ్రహ్మను నోటి కరుచుకొని ఎఱ్ఱని కలువను నోట తీసుకుపోతున్న విధంగా బ్రహ్మను తీసుకు పోసాగింది. గరుడు వాహనదారి అయిన విష్ణువు తన వాహనమైన అధిరోహించ మరచిపోగా, గరుత్మంతుడే విష్ణువును తీసుకు పోసాగాడు. విష్ణువు నడుమును పట్టి తీసుకుపోతున్న సమయంలో అతని శరీరచ్ఛాయ హరివిల్లి ఆకాశలో కనిపించినట్లుగా ఉంది. అతని శరీరము నుంచి భూమిపై పడుతున్న చెమట నీరు వర్షపు చినుకులుగా ఉందని కవి వర్ణన. వేటగాడు తరుముతున్న విధంగా పరుగులు పెడుతున్న ఐరావతము మీదకు ఇంద్రుడు ఎక్కడం కాకుండా ఎగబ్రాకుతు పోయాడు. ప్రమథ గణములు సృష్టించిన బీభత్సమునకు జడిచిపోయిన యముడు తన వాహనమైన దున్నపోతు మీద అడ్డంగా పడి పారిపోయాడు. సముద్రములకు రాజయిన వరుణుడు భయం చేత నోట నీరు లేక ఎండిన నోటితో ఎండిపోయిన వాగులాగ భయముతో అక్కడనుండి మాయమైపోయాడు. తనను వాహనంగా తీసుకు వెళ్ళవలసిన 'మనిషి' ని తానే వాహనమైన తీసుకు వెళ్తున్నాడు భయంతో కుబేరుడు, ఇటువంటి భీతాపహ వాతావరణమును చూసిన దక్షుడు భయంతో యాగశాలకు పారిపోయాడు. అతడిని పట్టుకోవాలని ప్రమథగణాధీశులు అన్ని ప్రాంతాలను జల్లెడ

వేసిన విధంగా వెతకసాగారు. కాందీశీకుల వలె అతని కోసం అన్వేషణను కొనసాగిస్తున్నారు. దేవతలు, రాక్షసులు కోలహలముగా నున్న వాతావరణమిది. ప్రమద గణాధీశులు ఎవరిని లెక్క చేయటం లేదు. దక్షుడి ఆచూకి చెప్పని వారికి తోలు వలుస్తున్నారు. ఎక్కడి వారక్కడే భయంతో కంపించసాగారు. ఒకరికొకరు కళ్ళతోనే సౌంజ్జులు చేసుకుంటూ తప్పించుకోసాగారు. దక్షుడు సహితం మిక్కిలి భయము కలిగినవాడై తన గురించి ఎవరికీ చెప్పవద్దని తనవారిని, తనవారుకాని వారిని కూడా కాళ్ళా వేళ్ళా పడి బ్రతిమాలుతున్నాడు. శివద్రోహం చేసిన దక్షున్ని రక్షించి ఎందుకు తమ ప్రాణాల మీదకు తెచ్చుకోవటమని కొంతమంది దేవతలు, ఋషులు గుసగుసలు ఆడసాగారు. కను చూపులతో ఒకరినొకరు హెచ్చరించుకోసాగారు. అటువంటి సమయంలో ప్రమథ గణములకు గోమేధికములతో చేసిన భవనములో దాక్కున్న దక్షుడు దొరికాడు. వీడే ఆ దుర్మార్గుడు పట్టుకొండి శివదూషణ చేసిన ఇతని నాలుకను కోయండి. ఉప్పు నిప్పుండి. ఉపద్రవమును ఒంటినిండా పూయండి. లోహమును కరిగించి నోట్లో పోయండి. ఆ దుర్మార్గుడి చర్మం ఒలిచి, కన్నులు పెకిలించండి అని అనేక విధములుగా నిందిస్తూ దక్షుని పట్టుకొన్నారు.

తనకు దొరికిన దక్షుడి కాళ్ళు చేతులను తాళ్ళతో బంధించి వేశారు. వేటగాళ్ళు మృగమును వేటాడి తెచ్చిన విధముగా దక్షుని శివుని ఎదుటకు తీసుకు వచ్చారు ప్రమథ గణాలతో గణపతి. ఆ సమయంలో కన్నీటి సముద్రమో అన్నట్టుగా శరీరం నిండా చెమటలు పట్టి, దీనమైన ముఖంతో, రాజసం నశించి, ఓటమి భారంతో తలదించుకొని ఉన్న దక్షుని చూసి అతని ధర్మపత్ని పరుగున వచ్చి శివుని పాదాలపై పడి తనకు పతిభిక్ష పెట్టమని వేడుకుంది.

2.8 ప్రశ్నలు - జవాబులు

1. దక్షయజ్ఞం పాఠ్యభాగ సారాంశమును వ్రాయుము.

లేదా

దక్షుడు గర్వభంగం చెందిన విధము వ్రాయుము.

దక్షుడు తన కుమార్తెల కాపురములను చూచుటకు వెళ్ళాడు. అందరి దగ్గర ఎంతగానో గౌరవింపబడి, సత్కారములందుకొన్న దక్షుడు - తన అల్లుడైన శివుడు మాత్రం తనను సత్కరించలేదు. ఇది దక్షునికి అవమానంగా తోచింది. శివుని తక్కువ

చేసేందుకు అతనిని ఆహ్వానించకుండానే దక్కుడు యజ్ఞం చేయదలిచాడు. యజ్ఞ కార్యక్రమాలు ప్రారంభమయాయి. సమస్త దేవతలను, అష్టదిక్పాలకులను, ఋషులు, యక్ష కిన్నెర గంధర్వ కింపురుషాదులను వర్గాలను ఆహ్వానించాడు అల్లుడయిన శివుడు ఆహ్వానం పంపలేదు. అతను చిరునవ్వుతోనే మిన్నకుండిపోయాడు. కాని.... పార్వతి తన పుట్టింటి వారు చేస్తున్న యజ్ఞమునకు వెళ్ళ దలచుకుంది. పిలువని పేరంటం అవమానకరమని రుద్రుడు తన భార్య అయిన దాక్షాయనిని హెచ్చరించాడు. అయినా ఆమె వెళ్ళాలనే వాంఛను కనబరిచింది. శివుడు కాదనలేకపోయాడు.

యజ్ఞవేదిక వద్దకు వెళ్ళిన దాక్షాయని తండ్రిని చూసింది. శివుడు యజ్ఞ ఆహ్వానానికి అనర్హుడా? శివుడు లేని యజ్ఞమా? ఇది తప్పని తండ్రికి చెప్పింది. అక్కడున్న బ్రహ్మ, విష్ణువు తదితరులు ఆమె చెప్పింది వాస్తవమని పలికారు. అందుకు ఇది దక్షునికి కోపం కలిగింది. దాక్షాయని ఎదుట ఆమె భర్త అయిన శివుని నిందించసాగాడు. తండ్రి మాటలు విని భరించలేని దాక్షాయని దుఃఖితురాలై ఆవేదనతో తనకు తానే అగ్నిని సృష్టించుకొని అందు ప్రవేశించి ఆత్మాహుతి చేసుకుంది అందరూ నిశ్చేష్టులైనారు. ఇదంతా చూసిన నారదుడు శివుని వద్దకు వెళ్ళి ఈ అంశాలన్నీ వివరించాడు. రుద్రుడు రౌద్రరూపుడయినాడు. అతని శరీరం నుంచి, నేత్రముల నుంచి అగ్ని కీలలు, విష వాయువులు వెలువడి లోకాలను చుట్టముట్టసాగాయి. బ్రహ్మాండమంతా వేడిమికి విషజ్వాలకు ఉక్కిరిబిక్కిరి కాసాగినది. ఏం జరిగిందో తెలియక భయాందోందళనలకు లోనయినాయి. కైలాసంలో శివుడు రౌద్రంగా వేసిన అడుగులకు భూమిని మోస్తున్న నాగేంద్రుడు భారంతో క్రుంగిపోసాగాడు. ఏమి యీ విపరీతమని కలత చెందసాగాడు. సముద్రములు ఇంకి పోసాగాయి. కొండలన్నీ నుగ్గునుగ్గు కాసాగాయి. మహేశ్వరుని వాహనం అయిన నంది (వృషభం) పరుగుతో శివునిని సమీపింపబోయింది. త్రిలోకములు భయమునందు విధముగా ఉన్న ఆ శంకరుని ఆకృతిని చూసి నిలిచిపోయింది.. కైలాసంలోనే కాక సమస్త భూవలయంలోనూ జరుగుతున్న విపరీతములకు ప్రమథ గణములు మిక్కిలి భయభ్రాంతులైనారు. ఏదో జరగబోతుందని, పుష్పదంతుడు, భృంగి, ఘంటాకర్ణ, మహాకర్ణ, వీరభోగ, వీరశంకర, వీరభద్ర వంటి రుద్ర గణాలు ఒకరితో ఒకరు చర్చించుకొంటున్నారు. వారి చర్చలు శంకరుని విలయ సృష్టికి కారణాలు వెతుక్కోనే విధంగా ఉన్నాయి. హరిని కాని బ్రహ్మను కాని సంహరిస్తాడా. ఇంద్రాది అష్టదిక్పాలను శిక్షిస్తాడా, త్రిలోకాల్లో ఉన్నా అధినాథులకు ఏ హాని జరగనుందో, శివుడు ఎవరిమీద అలిగినాడో చూడవలయును అని ప్రమథ గణములు తమతో తాము చర్చించుకొంటూ

శివుని రుద్ర ఆకారమును చూసిరి. భయపడిరి. ఆ సమయంలో శివుడు దక్షుని పై కోపగించుకొన్నాడనే విషయం వారికి తెలిసింది. వారిలో అంతవరకూ ఉన్న సందేహాలు తొలగిపోయాయి. బ్రహ్మాండమును నుజ్జుగా చేస్తాం. కులగిరులను పిండిగా చేస్తాం. భూమీద్ సముద్రములను ఇంకింపజేస్తాం. ఈ సృష్టినంతటను ఇప్పుడే నాశనం చేస్తాం. బ్రహ్మాతదితర దేవతలను పట్టి తెస్తాం. భూమీదనున్న రాజులునందరిని చంపివేస్తాం. అనుమతించండి స్వామి అంటూ మీ అలుకకు కారణమైన దక్షుడు అల్పుడు. అటువంటి వాడిని ఈ క్షణమే బంధించి మీ ముందుకు తెస్తాం. మమ్ము పంపుమని ప్రమథగణాలు ఎవరికివారే శివునితో ప్రార్థించారు.

ప్రమథగణాలు పలుకుతున్న మాటలను గణాధిపతి విని పరమేశ్వరునికి ఎదురుగా నిలచి గొప్ప గర్జన వంటి శబ్దము వచ్చే విధంగా మాట్లాడటం ప్రారంభించెను. ‘అల్పమైన వానికోసం పాశుపతము ప్రయోగించటం ఎందుకు, ముల్లును తీయటంకోసం గొడ్డలిని వాడటం ఎందుకు? చిన్న చిట్టెలుక వంటి వాడిని వేటాడటం కోసం సాక్షాత్తు మహాశివుడే తరలి వెళ్ళటమా? నన్ను పంపు తండ్రి ఇప్పుడు జరిగిన అవమానం నా తల్లిది. కుమారుడుగా నా తల్లి అవమానానికి హేతువయిన వానిని సంహరించవలసిన బాధ్యత నాది కదా! ఆలస్యం చేయకుండా నన్ను పంపినచో ఆ దక్షున్ని పట్టి తెస్తానని అనగా అతని తండ్రి అయిన శివుడు కుమారుని శక్తి సామర్థ్యములు తెలిసినవాడై. దక్షుని పట్టుకొని ప్రాణములతో తన వద్దకు తీసుకు రమ్మని గణపతికి అనుజ్ఞ ఇస్తాడు.

శివుని అనుమతి పొందిన గణపతిని చూసిన ప్రమథగణములు ఆనందపడ్డాయి. శూలములు ధరించినవారు, నుదుటి న చతురాస్రకారముగా శివనామములు దిద్దుకొన్నవారు. భయంకరమైన కత్తులు ధరించినవారు భీకరమైన ఆకృతి దాల్చిన ప్రమథగణాలు తమ తమ పరివారములో గణపతి వద్దకు వచ్చి నిలుచున్నారు. ఆ సమయంలో దేవగణములకు అధీశ్వరి అయిన, ధాకీనీ, కుశ్మాండ యోగిని కూడా తన పరివారంతో అక్కడకు చేరుకున్నది. ఆ సమయంలో లోకములలో గల చీకటిని తన శరీరచ్ఛాయగా పులుముకొన్నదా అన్నట్లుగా ఆకాశము నుండి మహా కాళీ మహాభయంకరాకారముతో అక్కడకు వచ్చెను. ఈ విధంగా వచ్చిన తన పరివారమును వెంటబెట్టుకొని గణపతి దక్షుని యజ్ఞవాటిక చేరుకున్నాడు. ప్రణామి అయిన దక్షునిపైన విపరీతిమైన ఆగ్రహం కలిగింది. కోపంలో గణేశుడు తన పరివారమునకు సంజ్ఞ

చేయగానే రెట్టించిన ఉత్సాహముతో అగ్రహంతో భూత, ప్రేత, పిశాచి, దేవతా గణాలు యజ్ఞ వాసులను ధ్వంసం చేయసాగాయి. క్రతువును రక్షిస్తున్న వారిని కనుగొని పట్టి సహరించ సాగారు. ఆశ్రమ వాసులను త్రోసివేసారు. యజ్ఞ వేదికలను కూల్చి వేసారు. అగ్ని గుండములను త్రవ్వి పారేశారు. ఋత్విగ్గణాన్ని హింసించసాగారు. యజ్ఞమును చూచుటకు వచ్చిన వారిని భయభ్రాంతులను చేసి పరుగులు పెట్టించారు. యజ్ఞమును పర్యవేక్షించే 'ఉపదర్శి'ని పట్టి మెడను నులిమి, త్రాడుతో బంధించారు. పరిచారకులను బంధించి హింసించారు. మంత్రాలు పఠించే వారి నాలుకలను రెండు ముక్కలు చేసారు. పరిజనులను నేలపాలు చేసారు. దక్షుని యజ్ఞ వాటికను నాశనం చేసారు. భయావహ వాతావరణం సృష్టించారు. రాజులు, రాక్షసులు, దేవతల వంటి వారు వీరిని చూసిన మాత్రముననే కొందరికి పై ప్రాణాలు పైనే పోయాయనుకున్నారు. కొందరు వారితో పోరాడ దలచి, ఓడిపోయారు. అందరిని చుట్టుముట్టి భయం కలిగించారు. ఇలా అందరిని భయకంపితులు చేస్తూ, యజ్ఞవాటికను నాశనం చేసిన ఆ ప్రమథ గణముల ధాటికి, వీర విహారానికి అందరూ కకావికలమైపోయారు. చివరకు దేవతలు సహితం దిక్కులు మరచి పరుగెత్తసాగారు. హంసను వాహనంగా చేసుకొని వచ్చిన బ్రహ్మ తన వాహనమును అధిష్టించడం మరచిపోయాడు. హంసే బ్రహ్మను నోటి కరుచుకొని ఎఱ్ఱని కలువను నోట తీసుకుపోతున్న విధంగా బ్రహ్మను తీసుకు పోసాగింది. గరుడు వాహనదారి అయిన విష్ణువు తన వాహనమైన అధిరోహించ మరచిపోగా, గరుత్మంతుడే విష్ణువును తీసుకు పోసాగాడు. విష్ణువు నడుమును పట్టి తీసుకుపోతున్న సమయంలో అతని శరీరచ్ఛాయ హరివిల్లు ఆకాశలో పొడసూపినట్లుగా ఉంది. అతని శరీరము నుంచి భూమిపై పడుతున్న చెమట నీరు వర్షపు చినుకులుగా ఉందని కవి వర్ణన. వేటగాడు తరుముతున్న విధంగా పరుగులు పెడుతున్న ఐరావతము మీదకు ఇంద్రుడు ఎక్కడం కాకుండా ఎగబ్రాకుతు పోయాడు. ప్రమథ గణములు సృష్టించిన బీభత్సమునకు జడిచిపోయిన యముడు తన వాహనమైన దున్నపోతు మీద అడ్డంగా పడి పారిపోయాడు. సముద్రములకు రాజయిన వరుణుడు భయం చేత నోట నీరు లేక ఎండిన నోటితో ఎండిపోయిన వాగులాగ భయముతో అక్కడనుండి మాయమైపోయాడు. తనను వాహనంగా తీసుకు వెళ్ళవలసిన 'మనిషి' ని తానే వాహనమైన తీసుకు వెళుతున్నాడు భయంతో కుబేరుడు, ఇటువంటి భీతావహ వాతావరణమును చూసిన దక్షుడు భయంతో యాగశాల

పారిపోయాడు. అతడిని పట్టుకోవాలని ప్రమదగణాధీశులు అన్ని ప్రాంతాలను జల్లెడ వేసిన విధంగా వెతకసాగాడు. కాందీశీకుల వలె అతని కోసం అన్వేషణను కొనసాగిస్తున్నారు. దేవతలు, రాక్షసులు కోలహలముగా నున్న వాతావరణమది. ప్రమద గణాధీశులు ఎవరిని లెక్క చేయటం లేదు. దక్షుడి ఆచూకి చెప్పని వారికి తోలు వలుస్తున్నారు. ఎక్కడి వారక్కడే భయంతో కంపించసాగారు. ఒకరికొకరు కళ్ళతోనే సౌంజులు చేసుకుంటూ తప్పించుకోసాగారు. దక్షుడు సహితం మిక్కిలి భయము కలిగినవాడై తన గురించి ఎవరికీ చెప్పవద్దని తనవారిని, తనవారుకాని వారిని కూడా కాళ్ళా వేళ్ళా పడి బ్రతిమాలుతున్నాడు. శివద్రోహం చేసిన దక్షున్ని రక్షించి ఎందుకు తమ ప్రాణాల మీదకు తెచ్చుకోవటమని కొంతమంది దేవతలు, ఋషులు గుసగుసలు ఆడసాగారు. కను చూపులతో ఒకరినొకరు హెచ్చరించుకోసాగారు. అటువంటి సమయంలో ప్రమద గణములకు గోమేధికములతో చేసిన భవనములో దాక్కున్న దక్షుడు దొరికాడు. వీడే ఆ దుర్మార్గుడు పట్టుకొండి శివదూషణ చేసిన ఇతని నాలుకను కోయండి. ఉప్పు నిప్పుండి. ఉపద్రవమును ఒంటినిండా పూయండి. లోహమును కరిగించి నోట్లో పోయండి. ఆ దుర్మార్గుడి చర్మం ఒలిచి, కన్నులు పెకిలించండి అని అనేక విధములుగా నిందిస్తూ దక్షుని పట్టుకొన్నారు.

తనకు దొరికిన దక్షుడి కాళ్ళు చేతులను తాళ్ళతో బంధించి వేశారు. వేటగాళ్ళు మృగమును వేటాడి తెచ్చిన విధముగా దక్షుని శివుని ఎదుటకు తీసుకు వచ్చారు ప్రమద గణాలతో గణపతి. ఆ సమయంలో కన్నీటి సముద్రమో అన్నట్టుగా శరీరం నిండా చెమటలు పట్టి, దీనమైన ముఖంతో, రాజసం సరించి, ఓటమి భారంతో తలదించుకొని ఉన్న దక్షుని చూసి అతని ధర్మపత్ని పరుగున వచ్చి శివుని పాదాలపై పడి తనకు పతిభిక్ష పెట్టమని వేడుకుంది.

2. నన్నెచోడుడు కవితా లక్షణములు వ్రాయుము.

‘దక్షయజ్ఞం పాఠ్య భాగ రచయిత నన్నెచోడుడు. ఇతని కాలం క్రీ.శ. 1130 తల్లిదండ్రులు శ్రీసతి, చోడబల్లి అనువారు. ఇతని గురువు జంగమ మల్లికార్జునుడు. నన్నెచోడుడు అద్వైతి. ఇతను రచించిన ‘కుమారసంభవము’. కావ్యము ద్వితీయాశ్వాసమునుండి ఈ పాఠ్యభాగం గ్రహింపబడింది. ఈ గ్రంథము అష్టా ప్రబంధ లక్షణములకు నెలవు. శ్లేష, ఉపమ, రూపకము వంటి అలంకారాలరు స్థానం. ఇతని

కవిత్వంలో శబ్దసృష్టి, అర్థపుష్టి రససృష్టికి నిలయం. కల్పనల యందు, భావనల యందు ఈ కవిని మించిన వారు లేరు. ‘కుమారసంభవము’ సర్వ లక్షణ సంపన్నమైన కావ్యం.

తెలుగులో మార్గదేశి పదములను కవిత్య పరముగ వాడినకవి నన్నెచోడుడు. అదే విధముగా జానుతెనుగు. వస్తు కవిత అనే పదములను తెలుగులో తొలిసారిగా పేర్కొన్నవాడు కూడా ఈ కవే! వస్తు కవీశ్వరుల నూత్న రుచిర కావ్య పద్ధతి ఎలా ఉండాలో తనకు తానే చెప్పుకున్నాడు. కుమార సంభవములో ‘మృదురీతి సూక్తులం పొందవింప మేలేల్ల భావము నెలమి క్రీడావహముగ/మిఱుమిట్లు వోపంగఁగాఁతి సుధా సూతి కాంతిఁజెనయు...’ పద్యంలో ఈ కవి వస్తు కవిత, మృదుసూక్తులు, మేలిభావములు, మిఱుమిట్లు గొలుపు మెఱుగులు, మనోహర కాంతులు, వర్ణనకెక్కు వర్ణనలు, తళుకొత్త రసములు, అలంకారములు వంటివి గొప్పగా కనిపిస్తాయి. “ఎలుక మీఁది కోపమున నిల్లేర్చునట్లు” “బలిమిఁబట్టి కలిగి పాశుపతము దొడుగ నేఁటిక/గలిక ములుక కాయ కెత్తు గల్లు గొనఁగ నేల” వంటి సూక్తులు అందంగా కనిపిస్తాయి. ఈశ్వరుని నేత్రముల నుండి ప్రజ్వరిల్లిన కోపానలము సృష్టిని ఆక్రమించిన క్రమమును “వివిధాస్రానేక జాతా విరల బహుళ/ సద్విస్ఫులింగాగ్ని యుంద/ త్వవమానాహారవక్త్ర ప్రకటిత విషవిభ్రాజితో గ్రానలంబు” అనే పద్యము పదగాంభీర్యము, భావస్ఫూర్తి కూడా చక్కగా కనిపిస్తుంది. ప్రమథ గణములు దక్షుని యజ్ఞ వాటికను ధ్వంసం చేసిన సమయంలో దేవతలు తమతమ వాహనములను ఆధిరోహించ లేక పడిన ఇక్కట్లను అతిశయోక్తులతో చిత్రించిన విధానం అతని కవితకు చమత్కారం అద్దినట్టు కనిపిస్తుంది. “వాహనంబు నెక్కవచ్చి గరుడి నడుము మెడయు.....” “వేటఁకాఱు ముట్టి పెనుకొనగాఁ ఇక్కుముట్టి చక్కనెక్కంగ... ఉరుతరాభీశు ఁడయును.....” వంటి వాటిలో శబ్దార్థ, భావార్థ, రసవృష్టిని చూడవచ్చు. గంభీరమైన భావములు అలంకారయుత వర్ణనలు నన్నెచోడుని కవితలో కనిపిస్తాయి. ‘మునిమనుజుసరాహిసురముఖుల వీఁపులతోఁకు లెత్తఁగా లో ఓ సుదీర్ఘమైన సమాస పదాలు కనిపిస్తాయి. రసజ్ఞులకు విందు చేస్తాయి. నన్నెచోరుడు వస్తుకవీశ్వరుడు. అతనిది వస్తు కవిత. ఈ కుమార సంభవమునందు దక్షయజ్ఞ ఘట్టం వస్తు కవితను ప్రతిపాదించాడు.

3. గణనాథులతో గణపతి దక్షుని గర్వమును ఏ విధముగా అణిచెను?

జ. దక్షుడు తన కుమార్తెల కాపురములను చూచుటకు వెళ్ళాడు. అందరి దగ్గర ఎంతగానో గౌరవింపబడి, సత్కారములందుకొన్న దక్షుడు - తన అల్లుడైన శివుడు

మాత్రం తనను సత్కరించలేదు. ఇది దక్షునికి అవమానంగా తోచింది. శివుని తక్కువ చేసేందుకు అతనిని ఆహ్వానించకుండానే దక్షుడు యజ్ఞం చేయదలిచాడు. యజ్ఞ కార్యక్రమాలు ప్రారంభమయాయి. సమస్త దేవతలను, అష్టదిక్పాలకులను, ఋషులు, యక్ష కిన్నెర గంధర్వ కింపురుషాదులను వర్గాలను ఆహ్వానించాడు అల్లుడయిన శివుడు ఆహ్వానం పంపలేదు. శివుని అనుమతితో యజ్ఞశాలకు వెళ్ళిన దాక్షాయని తండ్రిని చూసింది. శివుడు యజ్ఞ ఆహ్వానానికి అనర్హుడా? శివుడు లేని యజ్ఞమా? ఇది తప్పని తండ్రికి చెప్పింది. అక్కడున్న బ్రహ్మ, విష్ణువు తదితరులు ఆమె చెప్పింది వాస్తవమని పలికారు. అందుకు ఇది దక్షునికి కోపం కలిగింది. దాక్షాయని ఎదుట ఆమె భర్త అయిన శివుని నిందించసాగాడు. తండ్రి మాటలు విని భరించలేని దాక్షాయని దుఃఖితరాలై ఆవేదనతో తనకు తానే అగ్నిని సృష్టించుకొని అందు ప్రవేశించి ఆత్మాహుతి చేసుకుంది అందరూ నిశ్చేష్టులైనారు. ఇదంతా చూసిన నారదుడు శివుని వద్దకు వెళ్ళి ఈ అంశాలన్నీ వివరించాడు. రుద్రుడు రౌద్రరూపుడయినాడు. తత్ ఫలితంగా కైలాసంలోనే కాక సమస్త భూవలయంలోనూ జరుగుతున్న విపరీతములకు ప్రమథ గణములు మిక్కిలి భయభ్రాంతులైనారు. ఏదో జరగబోతుందని, పుష్పదంతుడు, భృంగి, ఘంటాకర్ణ, మహాకర్ణ, వీరభోగ, వీరశంకర, వీరభద్ర వంటి రుద్ర గణాలు ఒకరితో ఒకరు చర్చించుకొంటున్నారు. వారి చర్చలు శంకరుని విలయ సృష్టికి కారణాలు వెతుక్కోనే విధంగా ఉన్నాయి. హరిని కాని బ్రహ్మను కాని సంహరిస్తాడా. ఇంద్రాది అష్టదిక్పాలను శిక్షిస్తాడా, త్రిలోకాల్లో ఉన్నా అధినాథులకు ఏ హాని జరగనుందో, శివుడు ఎవరిమీద అలిగినాడో చూడాలని అని ప్రమథ గణములు తమతో తాము చర్చించుకొంటూ శివుని రుద్ర ఆకారమును చూసిరి. భయపడిరి. ఆ సమయంలో శివుడు దక్షుని పై కోపగించుకొన్నాడనే విషయం వారికి తెలిసింది. వారిలో అంతవరకూ ఉన్న సందేహాలు తొలగిపోయాయి. బ్రహ్మాండమును సుజ్ఞగా చేస్తాం. కులగిరులను పిండిగా చేస్తాం. భూమీద సముద్రములను ఇంకింపజేస్తాం. ఈ సృష్టినంతటను ఇప్పుడే నాశనం చేస్తాం. బ్రహ్మతదితర దేవతలను పట్టి తెస్తాం. భూమీదనున్న రాజులునందరిని చంపివేస్తాం. అనుమతించండి స్వామి అంటూ మీ అలుకకు కారణమైన దక్షుడు అల్పుడు. అటువంటి వాడిని ఈ క్షణమే బంధించి మీ ముందుకు తెస్తాం. మమ్ము పంపుమని ప్రమథగణాలు ఎవరికివారే శివునితో ప్రార్థించారు.

ప్రమథగణాలు పలుకుతున్న మాటలను గణాధిపతి విని పరమేశ్వరునికి ఎదురుగా నిలిచి గొప్ప గర్జన వంటి శబ్దము వచ్చే విధంగా మాట్లాడటం ప్రారంభించాడు. 'అల్పమైన వానికోసం పాశుపతము ప్రయోగించటం ఎందుకు, ముల్లును తీయటంకోసం గొడ్డలిని వాడటం ఎందుకు? చిన్న చిట్టెలుక వంటి వాడిని వేటాడటం కోసం సాక్షాత్తు మహాశివుడే తరలి వెళ్ళటమా? నన్ను పంపు తండ్రి ఇప్పుడు జరిగిన అవమానం నా తల్లిది. కుమారుడుగా నా తల్లి అవమానానికి హేతువయిన వానిని సంహరించవలసిన బాధ్యత నాది కదా! ఆలస్యం చేయకుండా నన్ను పంపినచో ఆ దక్షున్ని పట్టి తెస్తానని అనగా అతని తండ్రి అయిన శివుడు కుమారుని శక్తి సామర్థ్యములు తెలిసినవాడై. దక్షుని పట్టుకొని ప్రాణములతో తన వద్దకు తీసుకు రమ్మని గణపతికి అనుజ్ఞ ఇస్తాడు.

శివుని అనుమతి పొందిన గణపతిని చూసిన ప్రమథగణములు ఆనందపడ్డాయి. శూలములు ధరించినవారు, నుదుటిని చతురాస్రకారముగా శివనామములు దిద్దుకొన్నవారు. భయంకరమైన కత్తులు ధరించినవారు భీకరమైన ఆకృతి దాల్చిన ప్రమథగణాలు తమ తమ పరివారములో గణపతి వద్దకు వచ్చి నిలుచున్నారు. ఆ సమయంలో దేవగణములకు అధీశ్వరి అయిన, ధాకీనీ, కుశ్మాండ యోగిని కూడా తన పరివారంతో అక్కడకు చేరుకున్నది. ఆ సమయంలో లోకములలో గల చీకటిని తన శరీరచ్ఛాయగా పులుముకొన్నదా అన్నట్లుగా ఆకాశము నుండి మహా కాళీ మహాభయంకరాకారముతో అక్కడకు వచ్చెను. ఈ విధంగా వచ్చిన తన పరివారమును వెంటబెట్టుకొని గణపతి దక్షుని యజ్ఞవాటిక చేరుకున్నాడు. ప్రజాపతి అయిన దక్షునిపైన విపరీతిమైన ఆగ్రహం కలిగింది. కోపంలో గణేశుడు తన పరివారమునకు సంజ్ఞ చేయగానే రెట్టించిన ఉత్సాహముతో ఆగ్రహంతో భూత, ప్రేత, పిశాచి, దేవతా గణాలు యజ్ఞ వాసులను ధ్వంసం చేయసాగాయి. క్రతువును రక్షిస్తున్న వారిని కనుగొని పట్టి సంహరించ సాగారు. ఆశ్రమ వాసాలను త్రోసివేసారు. యజ్ఞ వేదికలను కూల్చి వేసారు. అగ్ని గుండములను త్రవ్వి పారేశారు. ఋత్విగ్గణాన్ని హింసించసాగారు. యజ్ఞమును చూచుటకు వచ్చిన వారిని భయభ్రాంతులను చేసి పరుగులు పెట్టించారు. యజ్ఞమును పర్యవేక్షించే 'ఉపదర్శి'ని పట్టి మెడను నులిమి, త్రాడుతో బంధించారు. పరిచారకులను బంధించి హింసించారు. మంత్రాలు పఠించే వారి నాలుకలను రెండు ముక్కలు చేసారు. పరిజనులను నేలపాలు చేసారు. దక్షుని యజ్ఞ వాటికను నాశనం చేసారు. భయావహ

వాతావరణం సృష్టించారు. రాజులు, రాక్షసులు, దేవతల వంటి వారు వీరిని చూసిన మాత్రముననే కొందరికి పై ప్రాణాలు పైనే పోయాయనుకున్నారు. కొందరు వారితో పోరాడ దలచి, ఓడిపోయారు. అందరిని చుట్టుముట్టి భయం కలిగించారు. ఇలా అందరిని భయకంపితులు చేస్తూ, యజ్ఞవాటికను నాశనం చేసిన ఆ ప్రమధ గణముల ధాటికి, వీర విహారానికి అందరూ కకావికలమైపోయారు. చివరకు దేవతలు సహితం దిక్కులు మరచి పరుగెత్తసాగారు. హంసను వాహనంగా చేసుకొని వచ్చిన బ్రహ్మ తన వాహనమును అధిష్టించడం మరచిపోయాడు. హంసే బ్రహ్మను నోటి కరుచుకొని ఎఱ్ఱని కలువను నోట తీసుకుపోతున్న విధంగా బ్రహ్మను తీసుకు పోసాగింది. గరుడు వాహనదారి అయిన విష్ణువు తన వాహనమైన అధిరోహించ మరచిపోగా, గరుత్మంతుడే విష్ణువును తీసుకు పోసాగాడు. విష్ణువు నడుమును పట్టి తీసుకుపోతున్న సమయంలో అతని శరీరచ్ఛాయ హరివిల్లు ఆకాశలో పొడసూపినట్లుగా ఉంది. అతని శరీరము నుంచి భూమిపై పడుతున్న చెమట నీరు వర్షపు చినుకులుగా ఉందని కవి వర్ణన. వేటగాడు తరుముతున్న విధంగా పరుగులు పెడుతున్న ఐరావతము మీదకు ఇంద్రుడు ఎక్కడం కాకుండా ఎగబ్రాకుతు పోయాడు. ప్రమధ గణములు సృష్టించిన బీభత్సమునకు జడిచిపోయిన యముడు తన వాహనమైన దున్నపోతు మీద అడ్డంగా పడి పారిపోయాడు. సముద్రములకు రాజయిన వరుణుడు భయం చేత నోట నీరు లేక ఎండిన నోటితో ఎండిపోయిన వాగులాగ భయముతో అక్కడనుండి మాయమైపోయాడు. తనను వాహనంగా తీసుకు వెళ్ళవలసిన 'మనిషి' ని తానే వాహనమైన తీసుకు వెళుతున్నాడు భయంతో కుబేరుడు, ఇటువంటి భీతావహ వాతావరణమును చూసిన దక్షుడు భయంతో యాగశాల పారిపోయాడు. అతడిని పట్టుకోవాలని ప్రమదగణాధీశులు అన్ని ప్రాంతాలను జల్లెడ వేసిన విధంగా వెతకసాగాడు. కాందీశీకుల వలె అతని కోసం అన్వేషణను కొనసాగిస్తున్నారు. దేవతలు, రాక్షసులు కోలహలముగా నున్న వాతావరణమది. ప్రమద గణాధీశులు ఎవరిని లెక్క చేయటం లేదు. దక్షుడి ఆచూకి చెప్పని వారికి తోలు వలుస్తున్నారు. ఎక్కడి వారక్కడే భయంతో కంపించసాగారు. ఒకరికొకరు కళ్ళతోనే సౌంజ్ఞలు చేసుకుంటూ తప్పించుకోసాగారు. దక్షుడు సహితం మిక్కిలి భయము కలిగినవాడై తన గురించి ఎవరికీ చెప్పవద్దని తనవారిని, తనవారుకాని వారిని కూడా కాళ్ళా వేళ్ళా పడి బ్రతిమాలుతున్నాడు. శివద్రోహం చేసిన దక్షున్ని రక్షించి ఎందుకు తమ ప్రాణాల

మీదకు తెచ్చుకోవటమని కొంతమంది దేవతలు, ఋషులు గుసగుసలు ఆడసాగారు. కను చూపులతో ఒకరినొకరు హెచ్చరించుకోసాగారు. అటువంటి సమయంలో ప్రమథ గణములకు గోమేధికములతో చేసిన భవనములో దాక్కొన్న దక్షుడు దొరికాడు. వీడే ఆ దుర్మార్గుడు పట్టుకొండి శివదూషణ చేసిన ఇతని నాలుకను కోయండి. ఉప్పు నిప్పండి. ఉపద్రవమును ఒంటినిండా పూయండి. లోహమును కరిగించి నోట్లో పోయండి. ఆ దుర్మార్గుడి చర్మం ఒలిచి, కన్నులు పెకిలించండి అని అనేక విధములుగా నిందిస్తూ దక్షుని పట్టుకొన్నారు.

తనకు దొరికిన దక్షుడి కాళ్ళు చేతులను తాళ్ళతో బంధించి వేశారు. వేటగాళ్ళు మృగమును వేటాడి తెచ్చిన విధముగా దక్షుని శివుని ఎదుటకు తీసుకు వచ్చారు ప్రమథ గణాలతో గణపతి. ఆ సమయంలో కన్నీటి సముద్రమో అన్నట్టుగా శరీరం నిండా చెమటలు పట్టి, దీనమైన ముఖంతో, రాజసం నశించి, ఓటమి భారంతో తలదించుకొని ఉన్న దక్షుని చూసి అతని ధర్మపత్ని పరుగున వచ్చి శివుని పాదాలపై పడి తనకు పతిభిక్ష పెట్టమని వేడుకుంది.

2.9 సంగ్రహ ప్రశ్నలు

1. యజ్ఞ వాటికలో జరిగిన పరిణామాలలో బ్రహ్మ, విష్ణుల పరిస్థితి వివరించండి?

జ. దేవతలు సహితం దిక్కులు మరచి పరుగెత్తసాగారు. హంసను వాహనంగా చేసుకొని వచ్చిన బ్రహ్మ తన వాహనమును అధిష్టించడం మరచిపోయాడు. హంసే బ్రహ్మను నోటి కరుచుకొని ఎఱ్ఱని కలువను నోటితో తీసుకుపోతున్న విధంగా బ్రహ్మను తీసుకు పోసాగింది. గరుడ వాహనుడైన విష్ణువు తన వాహనమును అధిరోహించ మరచిపోగా, గరుత్మంతుడే విష్ణువును తీసుకు పోసాగాడు. విష్ణువు నడుమును పట్టి తీసుకుపోతున్న సమయంలో అతని శరీరచ్ఛాయ హరివిల్లు ఆకాశలో పొడసూపినట్టుగా ఉంది. అతని శరీరము నుంచి భూమిపై పడుతున్న చెమట వర్షపు చినుకులుగా ఉందని కవి వర్ణన.

2. దక్షయజ్ఞ వాటిక భీతావహమైన వేళ, ఇంద్ర, కుబేరుల స్థితి తెలపండి.

జ. వేటగాడు తరముతున్న విధంగా పరుగులు పెడుతున్న ఐరావతము మీదకు ఇంద్రుడు ఎక్కడం కాకుండా ఎగబ్రాకుతు పోయాడు. ప్రమథ గణములు సృష్టించిన భీభత్సానికి

జడిసిపోయిన యముడు తన వాహనమైన దున్నపోతు మీద అడ్డంగా పడి పారిపోయాడు. సముద్రములకు రాజయిన వరుణుడు భయం చేత నోట నీరు లేక ఎండిన నోటితో ఎండిపోయిన వాగులాగా భయముతో అక్కడనుండి మాయమైపోయాడు. తనను వాహనంగా తీసుకు వెళ్ళవలసిన 'మనిషి' ని తానే వాహనమైన తీసుకు వెళుతున్నాడు భయంతో కుబేరుడు .

3. దక్షయజ్ఞ పాఠ్యభాగ నేపథ్యమును వ్రాయుము.

జ. దక్షుడు తన కుమార్తెల కాపురములను చూచుటకు వెళ్ళాడు. అందరి దగ్గర ఎంతగానో గౌరవింపబడి, సత్కారములందుకొన్న దక్షుడు - తన అల్లుడైన శివుడు మాత్రం తనను సత్కరించలేదు. ఇది దక్షునికి అవమానంగా తోచింది. శివుని తక్కువ చేసేందుకు అతనిని ఆహ్వానించకుండానే దక్షుడు యజ్ఞం చేయదలిచాడు. యజ్ఞ కార్యక్రమాలు ప్రారంభమయాయి. సమస్త దేవతలను, అష్టదిక్పాలకులను, ఋషులు, యక్ష కిన్నెర గంధర్వ కింపురుషాదులను వర్గాలను ఆహ్వానించాడు అల్లుడయిన శివుడు ఆహ్వానం పంపలేదు. అతను చిరునవ్వుతోనే మిన్నకుండిపోయాడు. కాని.... పార్వతి తన పుట్టింటి వారు చేస్తున్న యజ్ఞమునకు వెళ్ళ దలచుకుంది. పిలువని పేరంటం అవమానకరమని రుద్రుడు తన భార్య అయిన దాక్షాయనిని హెచ్చరించాడు. అయినా ఆమె వెళ్ళాలనే వాంఛను కనబరిచింది. శివుడు కాదనలేకపోయాడు. తరువాత జరిగే పర్యవసనాలు దక్షయజ్ఞం పాఠ్యభాగం నేపథ్యం.

2.10 అభ్యాసం

వ్యాస రూప ప్రశ్న

1. దాక్షాయని ఆత్మాహుతి అనంతర పరిణామాలను వివరించండి?

సంగ్రహ ప్రశ్నలు

1. కవి నన్నెచోడుడును గూర్చి వ్రాయుము.
2. దాక్షాయని అగ్ని ప్రవేశమునకు గల కారణములను విశ్లేషించండి.

ఈ క్రింది పద్యమునకు ప్రతి పదార్థం తాత్పర్యములు వ్రాయుము.

వీండే ఖలుండు దక్షుడను వీటిడి పాటుండు వీడు సర్వప -----

యుండు దురాత్ముచర్మపట మొల్పుండు గన్నులు మీటుం దుక్కాన్

క్రింది సందర్భ సహిత వ్యాఖ్యలు వ్రాయుము.

1. వప్నీ జిహ్వ రెండు వ్రయ్యలుగాఁగోసి
2. ప్రాఁకిపాతెఁ బ్రమథ రాజియార్ప
3. కులముల నా గణము ముంచికొని వచ్చి వడిన్

క్రింది పదములకు సంధి నామములు వ్రాయుము.

1. ముఖాగారములు
2. ఉద్రోదేకము,
3. కోపానలము,
4. జగమెల్ల,
5. దోర్బలము,
6. వీధిజొచ్చె
7. తనయెక్కక, తదవసరము,
9. మున్నెలుకమే.

క్రింది పదములకు సమాసములను గుర్తించి విగ్రహ వాక్యములను వ్రాయుము.

1. కపవప్నీ,
2. మహేశ్వరవృషభేంభం
3. జననీపరాభవము,
4. చతుర్భుజుడు,
5. సహస్రాక్షుడు.

విశేషాంశములు :

జ “ ఎలుకతోడి కోపమున ని లేర్చునట్లు”

ఇందు ఉపమాలంకారము కలదు.

జ “బలిమిఁ బిట్ట కలిగి పాశుపతము దొడుగ నేటి”

ఇందు అలంకారము దృష్టాంతము. మొదటి మూడు పాదములందును మూడు దృష్టాంతములు కలవు.

ఈ పద్యము “ ఉత్సాహ వృత్తము”. ఇందు నాలుగు పాదములుండును. ఒక్కొక్క పాదము ఏడు సూర్య గణములు, ఒక గురువు ఉండును. మొదటి గణము మొదటి అక్షరమునకు, ఐదవ గణము మొదటి అక్షరమునకు యతిమైత్రి. ప్రాసనియమము కలదు.

జ “ ఇక్కు మట్టి చక్కి నెక్కంగ మఱచి”

ఇందు అలంకారము ఉపమ మరియు స్వభావోక్తి అలంకారములు కలవు.

విద్యార్థులకు సూచనలు :

పాఠ్యాంశ పద్యములలో అలంకారములను గుర్తించవలెను.

ఛందస్సు అంశములను మీ పాఠ్యభాగమునుండి గ్రహించవలెను.

నక్షత్ర మార్కుగల పద్యములను కంఠస్థము చేయవలెను.

యూనిట్ - 3

ధౌమ్య ధర్మోపదేశం

తిక్కన

3.1 ఉద్దేశం

ఉన్నతులుగా జీవించిన వారు కూడా విధివశాత్తు ఇంకొకరి వద్ద ఊడిగం చేయవలసి వచ్చినపుడు ఎలా తమ జీవనాన్ని సాగించాలో ఈ పాఠ్యాంశంలో గమనించవచ్చు.

3.2 పరిచయం

తెలుగులో భారతాన్ని ఆంధ్రీకరించిన 'కవిత్రయం' లో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి మనుమసిద్ధికి మంత్రిగా, అస్థానకవిగా వ్యవహరించేవాడు. తల్లి అన్నమ్మ. తండ్రి కొమ్మన ఇతని శిష్యుడైన మూలఘటిక కేతన రచించిన 'దశకుమార చరిత్ర' లో తిక్కను గూర్చిన ఎన్నో వివరాలు తెలియజేసినాడు. తిక్కన 'నిర్వచనోత్తరరామాయణం' లభ్యం. 'విజయసేనం', 'కవిదిగ్భంధన' అనే ఛందో గ్రంథాన్ని, 'కృష్ణ శతకం' అనే రచనలు చేసాడు. ఇవి అలభ్యాలు. నన్నయకు రెండువందల సంవత్సరాల తరువాత తిక్కన 'విరాటపర్వం' మొదలుకొని ఆఖరది అయిన 'స్వర్గోరోహణ పర్వం' వరకు ఏకబిగిని రచించాడు. 'కవిబ్రహ్మ' 'ఉభయ కవిమిత్రుడు' అనేవి ఇతని బిరుదములు. ఈయన భారతరచనలో అలతి అలతి తేట తెలుగు పదాలు కోకొల్లలు. నాటకీయత, రసపోషణ, వర్ణనానైపుణ్యం, పాత్రపోషణ, వీరి రచనలో ప్రధానమైనవి. తెలుగుదనపు నుడికారాలు, జాతీయాలు వంటివి తిక్కన కవితా లక్షణాలుగా చెప్పుకోవచ్చు.

3.3 పాఠ్యభాగము

క. ఎఱిగెడు వారికి నైనను

గఱపక తక్కు రుచిత ప్రకారము శుభముం

గొఱలుహితు; లట్లగుటనం

దఱకును జెప్పంగ వలయుండగియెడు బుద్ధుల్ 116

వ. అదియునుం గాక 117

తే. కౌరవాన్వయజాతులైగారవమునఁ

బెరిగినట్టి మీ రొండొక నరునిఁగొలిచి

మనలి వర్తిల్లిమానావమానములకు

నోర్చి, యడఁకువతోడన యునికియరిది 118

క. వాలివివిధాస్త్రవిద్యా

జ్ఞాుల వెలుఁగొందు పాండవజ్ఞులనం బా

భీలత మండం దొడరినఁ

గాల విరోధంబు మఱిచికార్యము ఁదప్పున్ 119

వ. కావున మీకు నప్రమాదార్థంబుగా నా నేర్చిన విధంబుననుపదేశం బవశ్య
కర్తవ్యంబు; రాజులంఁగొలిచి యెమ్మెయి నయిననుబ్రదుకు జనంబులు
గీడునుం బొరయకుండునట్టి సాధారణనీతి సంక్షేప రూపంబున నెఱింగించెద
సావధానులరయి వినుండు 120

క. తగఁజొచ్చి తనకు నర్హం.

బగు నెడఁగూర్చుండి రూపమవికృతవేషం

బుగ సమయ మెఱింగి కొలచిన

జగతీవల్లభున కతడు సమ్మాన్యఁడగున్ 121

క. 'నరనాథుఁ గొలిచియలవడఁ

దిరిగితి నా కేమి ' యనుచుఁ దేఁకువలేమిన్

మరియాద దప్పుమెలఁగినఁ

బురుషార్థంబునకు హాని పుట్టుకయున్నే? 122

- ఉ. రాజగృహంబుకంటె నభిరామముగా నిలుగట్టంగూడ, దే
యోజ నృపాలుండాకృతికి నొప్పుగు వేషము లాచరించు, నే
యోజ విహరముల్ సలుపనుల్లమునం గడువేడ్చుసేయు, నే
యోజ విదగ్ధుండై పలుకు, నొడ్డులకుం దగదట్లుసేయంగన్ 123
- క. పుత్రులు పౌత్రులు భ్రాతలు
మిత్రులనరు రాజు లాజ్ఞ మిగిలిన చోటన్
శత్రులకా దమయలుకకు
బాత్రము సేయుదురు నిజశుభాస్థితి పొంటెన్ 124
- క. చనువాని చేయుకార్యం
బునకడ్డము సొచ్చి నేరువున మెలంగుచుండా
నును బయి బూసికొనటదన
మును మెలంగిన మెలకువకును ముప్పుగుం బిదపన్ 125
- అ. రాజునొడ్డం బలువురకు సంకటంబుగా
దిరుగు పనుల నెంత తేజమయిన
వాని బుద్ధి గలుగు వారొల్ల; రవి మీదం
జేటు తెచ్చుటెట్లు సిద్ధమగుట 126
- క. ఊరకయుండక, పలువుర
తో రవమెనంగంగం బలుకక దొడరకయు, మదిం
జేరువ గల నాగరికులు
దారుంగలసి పలుకవలయు ధరణీశుకడన్ 127
- క. వేతాక తెఱంగున నొరులకు
మాతాడక యునికి లెస్సమనుజేంద్రుకడం;
దీఱమి గల చోటులండా
మీతి కడంగి వచ్చి పంపుమెయికొన వలయున్ 128

- చ. ధరణీపు చక్క గట్టెదరు దక్కి పిఱందును గానియట్లుగా
నిరుగెలనం దగం గొలిచి యే మనునో, యెటు సూచునొక్కో! యె
వ్వరి దెసనెప్పుడే తలంపు వచ్చునొ యీతని కంచు జూడ్కిను
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- క. నగళులలో పలి మాటలు
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డుగడం బుట్టినఁ బతివిన
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- క. అంతిపురము చుట్టతీకం
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పాంత చర కుబ్జ వామన
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- ఆ. ఉత్తమాసనములు, నుత్కృష్ట వాహనం
బులును గరుణఁ దమకు భూమిపాలుఁ
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- క. మన్నన కుబ్జక, యవమతి
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మున్నున్న యట్ల మెలఁగిన
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- క. జనపతియెవ్వరినైనను
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గిన యేనిఁ దానువెలిపు
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- ఉ. ఎండకు వానకోర్చి, తన యిల్లు ప్రవాసపుఁజోటునాక, యీ
కొండు, నలంగుదున్, నిదురకుందఱిదప్పెడు, డప్పిపుట్టె, నొ
క్కండన యెట్లాకో యనక కార్యము ముట్టిన చోట నేలినా
తం దొక చాయ చూపినను దత్పరతంబనిసేయు టొప్పుగున్ 135

- క. తానెంత యావుడైన మ
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నూనిన భయమునఁ బొరయక
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- అ. ఆవులింత, తుమ్ము, హాసంబు, నిష్ఠీవ
నంబు గుప్తవర్తనములు గాగఁ
జలుప వలయు నృపతి కొలువున్న యెడల, బా
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- క. వైరుల దూతలు, నెరవగు
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- అ. వసుమతీశు పాలవనియించు నేనుంగు
తోడనైన, దోమతోడనైన
వైరమగు తెఱంగు వలవదు; తానెంత
పూజ్యుడైన జనులు పొందులెన్న 139
- క. కలిమికి భోగముల కదా
ఫలమని తను మెఱసి బయలుపడఁ బెల్లుగ వి
చ్చలవిడి భోగింపక వే
డ్డులు సలుపఁగ వలయు భటుఁడడంకువ తోడన్ 140
- వ. అని యిట్లు పురోహితుడు సేవా ధర్మంబు లెఱింగించిన ధర్మజ భీమార్జునకుల
సహదేవులు ప్రసన్న చిత్తులై యిట్లనిరి 141
- క. తల్లియు దండ్రీయు దైవము
నెల్ల సుహృజ్ఞనము మీర; యిట్లు గొలిచి వ
ర్తిల్లెడు తెఱంగు లెంతయుఁ
దెల్లము సేసితిరి; బ్రతికితిమి మీ కరుణన్ 142

- అ. అనిన ధౌమ్యుడిట్టలనియె; నీ వత్సర
మొకడు నెట్టలయిన నుడిగి మడిగి
సంకటముల కోర్చి చరియించి యాపద
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- క. అనవుడు నట్టుల చేసెద
మని వారలు భక్తియుక్తినతనికి నభివం
దన మొనరించినఁ దగుదీ
వనలిచ్చెనతండు గాఢవాత్సల్యమునన్ 144
- క. భూదేవోత్తమునాశీ
ర్వాదంబులఁ బ్రీతిఁ బొంది వారలు ప్రస్థా
నాదరపరుల గుటయున
మౌడావహ పుణ్యకర్మముల కుద్యుతుడై 145
- ఆ. అతడు నియతితోడనగ్ని సముజ్జ్వలం
బుగనొనర్చి కామ్యపూజ దీర్చి
యాన సమయ మంగళార్థంబులగు మంత్ర
సంచయములు దగ జపించుచుండె 146

3.4 పాఠ్యభాగ పరిచయం

పాండవులు అరణ్యవాసం ముగిసింది. అజ్ఞాతవాసం ప్రారంభంకానున్నది. మత్స్యదేశాన్ని పాలిస్తున్న రాజు విరటుడు. ఈయన కొలువునే తమ అజ్ఞాత కాల ఆవాసంగా ధర్మరాజు నిర్ణయించాడు. భీముడు, అర్జునుడు, నకుల సహదేవులు, ద్రౌపదీలతో ఎవరెవరు ఏయే విధంగా కొలువులో ఉండి అజ్ఞాతంగా ఉండాలో నిర్ణయించాడు. తమ వెనుక వచ్చిన ఆత్మీయ పరివారాలను వారికి తగిన విధంగా చెప్పి వెనకకు పంపించివేసాడు.. గురుతుల్యుడైన ధౌమ్యుని అగ్నిహోత్రుని వలె గౌరవిస్తూ ప్రదక్షిణ సమస్కారాలు చేసి సెలవు తీసుకొని అజ్ఞాతవాసానికి వెళ్ళే సందర్భములో ధౌమ్యుడు పాండవులకు సేవా ధర్మము తెలియ జేయడమే ఈ పాఠ్యాంశము.

‘ధౌమ్యధర్మోపదేశము’ అనే ఈ పాఠ్యభాగము తిక్కన రచించిన ఆంధ్రమహాభారతంలోని ‘విరాటపర్వం’ ప్రథమాశ్వాసం నుంచి గ్రహించబడినది.

3.5 కఠిన పదాలకు అర్థాలు

హితులు	=	స్నేహితులు
కఱుపక తక్కురు	=	ఉపదేశం చేయకుండా వదిలిపెట్టరు
అట్లు + అగుటన్	=	అందుచేత
ఒండొక	=	మరొక
మనలివర్తిల్లి	=	అణగిమణిగి నడుచుకొని
కొలిచి	=	సేవించి
ఓర్చి	=	నహించి
అడఁకువ + తోడన్	=	వినయంతో
అరిది	=	కష్టం
వాలి	=	విజృంభించి
అభీలతన్	=	భయంకరంగా
మండన్ + తొడరినన్	=	మండటం మొదలు పెట్టితే
అప్రమాద + అర్థంబు	=	ఏమరపాటు కలుగకుండా
ఉపదేశంబు	=	హితవు చెప్పటం
అవశ్య కర్తవ్యంబు	=	తప్పక చేయదగినపని
సావధానులరు + అయి	=	ఏకాగ్రతచిత్తం కలవారై
అర్హంబు + అగు + ఎడన్	=	తగినచోటు
అవికృతవేషంబుగన్	=	వికారంకాని వేషం కలిగి ఉండేటట్లు
జగతివల్లభునకున్	=	రాజు
సమ్మాన్యుడు + అగున్	=	గౌరవించదగిన వాడవుతాడు.
తేఁకువలేమిన్	=	జంకుగొంకు లేకుండా
పురుషార్థంబునకున్	=	పురుష ప్రయోజనానికి

హాని + పుట్టుక + ఉన్నే	=	కీడు కలగకుండా ఉంటుందా?
ఇలు	=	ఇల్లు
నృపాలుడు	=	రాజు
చలువన్	=	చేయడానికి
ఉల్లమునన్	=	మనస్సులో
కడువేడ్డు + చేయున్	=	బాగా ఇష్టపడతాడు
ఏ + ఓజన్	=	ఏ విధంగా
అభిరామముగాన్	=	అందంగా
ఒండులకున్	=	ఇతరులకు
విదగ్ధుడు + ఐ	=	నేర్పరియై
పౌత్రులు	=	మనుమళ్ళు
బ్రాతలు	=	సొదరులు
అనరు	=	అని భావించరు
కోరువునన్	=	నేర్పుతో
మెలంగుచున్	=	ప్రవర్తిస్తూ
పయిన్ + పూనుకొనుటన్	=	తగుదమ్మా అంటూ ఏ పనిని మీద వేసుకోవటం
మెలంకువకును	=	జాగురూకతతో
ముప్పు + అగున్	=	ముప్పే అవుతుంది
రాజున్ + ఒద్దన్	=	రాజు దగ్గర
సంకటంబు + కాన్	=	ఇబ్బంది కలిగేటట్లు
తేజము + అయినన్	=	ఎంతతేజస్సు ఉన్నా
చేటు తెచ్చుట	=	ఇబ్బంది కలిగించటం
రవము + ఎసంగంగన్	=	ఆర్భాటాలు ప్రకటిస్తూ
పలుకన్ + తొడరకయున్	=	మాటలాడటం మొదలుపెట్టక
చేరువ	=	సాన్నిహిత్యం
తారున్	=	తామును

వేరొక తెలుగునన్	=	ఇంకొక పద్ధతిలో
మాటు + ఆరక + ఉనికి	=	సమాధానం చెప్పకుండా ఉండటం
లెస్స	=	మంచిది
తీఱమి	=	అక్కర
కలచోటులన్	=	ఉన్నచోటులలో
పంపు	=	పంపుట (రాజాజ్ఞ)
మెయికొనవలయున్	=	అంగీకరించాలి
చక్కన్	=	సమక్షం
పిఱుందును	=	వెనుకవైపున
ఇరు+కెలగన్	=	రెండు ప్రక్కలా
నగకుల లోపలి	=	అంతఃపురాలలోని

1. రాజగృహంబుకంటె నభిరామముగా నిలుగట్టంగూడ, దే
యోజ నృపాలుండాకృతికి నొప్పుగు వేషము లాచరించు, నే
యోజ విహరముల్ సలుపనుల్లమునం గడువేడ్కసేయు, నే
యోజ విదగ్ధుండై పలుకు, నొడ్డులకుం దగుదట్టుసేయంగన్

ఈ పద్యం తిక్కనచే రచించబడిన భాష్యధర్మోపదేశం నుండి గ్రహింపబడినది. ఈ పాఠ్యాంశము ఆంధ్ర మహా భారతమందలి విరాటపర్వం ప్రథమాశ్వాసం నుండి స్వీకరింపబడినది.

3.6 ప్రతిపదార్థ - తాత్పర్యాలు

రాజగృహంబుకంటెన్	=	రాజుగారి ఇంటి కన్నా
అభిరామముగాన్	=	అందముగా
ఇలు	=	ఇల్లు
కట్టన్+ కూడదు	=	కట్టకూడదు
నృపాలుడు	=	రాజు
ఏ+ ఓజన్	=	ఏ రకంగా
అకృతికిన్	=	అకారానికి

ఒప్పు + అగు	=	తగిన
వేషములన్	=	వేషధారణలు
ఆచరించున్	=	ఆచరిస్తాడో
ఏ + ఓజస్	=	ఏ విధంగా
విసరముల్	=	విహారాలను
నలుపన్	=	చేయడానికి
ఉల్లమునన్	=	మనస్సులో
కడువేడ్క + చేయున్	=	బాగా ఇష్టపడతాడో
విదగ్ధుడు + ఐ	=	నేర్పరియై
పలుకున్	=	మాట్లాడతాడో
అట్లు చేయంగన్	=	ఆ విధంగా చేయటం
తగదు	=	తగదు

తాత్పర్యం: రాజు గారి ఇంటి కన్నా అందంగా ఇల్లు కట్టు కొనకూడదు. రాజు గారి వేషధారణ పద్ధతిలో తాను దుస్తులు తొడుగుకొనకూడదు. రాజు చేసే విహారం పఠే తానూ విహరించ కూడదు. రాజు మాట్లాడే పద్ధతిలో తాను మాట్లాడటం తగదు.

విశేషం: రాజులు అందరికంటే అధికంగా ఉండాలనుకుంటారు. రాజసం వారి లక్షణం. అందుచేత సేవకులు రాజు కంటే ఎందులోనూ అధికంగా ఉండరాదు.

సంధులు :

వేడ్కసేయు	=	వేడుక + చేయు	=	గసగదవా దేశ సంధి
అట్లు సేయగన్	=	అట్లు + చేయగ	=	గసగదవా దేశ సంధి
నృపాలుడాకృతి	=	నృపాలుడు + ఆకృతి	=	ఉత్వసంధి
వేషములాచరించు	=	వేషములు + ఆచరించు	=	ఉత్వసంధి

సహసములు :

రాజగృహము = రాజు యొక్క గృహము = షష్ఠీతత్పురుష

ఛందస్సు = ఈ పద్యము ఉత్పలమాల - వృత్తము నకు చెందినవి.

ఇందు ' భ ర న భ భ ర వ ' అనే గణములు వస్తాయి.

అక్షరములు సంఖ్య = 20

యతి 1- 10 అక్షరముములు

2. ధరణిపు చక్క గట్టెదరు దక్కి పిఱందును గానియట్లుగా
నిరుగెలనం దగం గొలిచి యే మనునో, యెటు సూచునొక్కో! యె
వ్వరి దెననెప్పుడే తలచు వచ్చునొ యీతని కంచు జూడ్కిగు
స్థిరముగదన్ముఖుంబునన చేర్చుచు నుండుట నీతి కొల్వునన్

ఈ పద్యం తిక్కనచే రచించబడిన ధౌమ్యధర్మపదేశం నుండి గ్రహింపబడినది. ఈ పాఠ్యాంశము ఆంధ్ర మహా భారతమందలి విరాటపర్వం ప్రథమాశ్వాసం నుండి స్వీకరింపబడినది.

ప్రతిపదార్థం :

ధరణిపు	=	రాజు యొక్క
చక్కన్	=	సమక్షంలో
కడు + ఎదురు + తక్కి	=	ఎట్టెదుట ఉండటాన్ని వదిలిపెట్టి (ఎదురుగా నిలబడకుండా)
పిఱందున్	=	వెనుకవైపున
కాని + అట్లుగాన్	=	కాని విధంగా
ఇరు + కెలన్	=	రెండు పక్కలా
తగన్	=	తగునట్లు
కొలిచి	=	సేవించి
ఏమి + అనున్	=	ఏమి అంటాడో
ఎటుచూచున్ + ఒక్క	=	ఎటువైపు చూస్తాడో
ఈతనికిన్	=	ఇతనికి (రాజుకు)
ఎవ్వరిదెనన్	=	ఎవరి పట్ల
ఏ తలపు	=	ఎటువంటి అభిప్రాయం
వచ్చునో	=	వస్తుందో (కలుగుతుందో)

అంచున్	=	అంటూ
చూడ్చి	=	చూపు
సుస్థిరముగన్	=	నిశ్చలంగా
తత్+ ముఖంబునన్	=	ఆరాజు ముఖం మీదనే
చేర్చుచున్	=	ఉంచుతూ
కొల్వునన్	=	సభలో
ఉండుట	=	ఉండడం
నీతి	=	న్యాయం

తాత్పర్యం : కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. అట్లాగని వెనుక వైపు ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో, ఎటు చూస్తాడో ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో - మొదలైన భావాలను మనసులో ఉంచుకొని రాజు ముఖం మీదనే దృష్టి సారించి సభలో మెలగాలి.

సంధులు :

తన్ముఖంబున్	=	తత్+ ముఖము	=	అనునాసిక సంధి
కట్టెదుట	=	కడు + ఎదుట	=	ద్విరుక్తటకార సంధి
ఈతనికంచు	=	ఈతనికి + అంచు	=	ఇకార సంధి
అతండొక	=	అతండు+ ఒక	=	ఉత్వసంధి
వానకోర్చి	=	వానకు + ఓర్చి	=	ఉత్వసంధి
ప్రవాసపుచోటు	=	ప్రవాసము + చోటు	=	పుంప్వాదేశ సంధి

సమాసములు :

తన యిల్లు	=	తన యొక్క యిల్లు	=	షష్ఠీ తత్పురుష

ఛందస్సు : ఈ పద్యము చంపకమాల వృత్తముకు చెందినది

ఇందు న జ భ జ జ జ ర అను గణములు ఉంటాయి

అక్షరాల మొత్తం 21

1-11 అక్షరాలకు యతి వర్తిస్తుంది.

3. ఎండకు వానకోర్చి, తన యిల్లు ప్రవాసపుఁజోటునాక, యా
కొండు, నలంగుదున్, నిదురకుందతిదప్పెడు, డప్పిపుట్టె, నొ
క్కండన యెట్లాకో యనక కార్యము ముట్టిన చోట నేలినా
తం డొక చాయ చూపినను దత్తురతంబనిసేయు టొప్పుగున్

ఈ పద్యం తిక్కనచే రచించబడిన ధౌమ్యధర్మపదేశం నుండి గ్రహింపబడినది. ఈ పాఠ్యాంశము ఆంధ్ర మహా భారతమందలి విరాటపర్వం ప్రథమాశ్వాసం నుండి స్వీకరింపబడినది.

ప్రతిపదార్థం :

ఎండకున్	=	ఎండకూ
వానకున్	=	వానకూ
ఓర్చి	=	ఓర్చుకొని
తన ఇల్లు, ప్రవాసము+చోటు నాక	=	ఇది తన యిల్లు, ఇది పరాయి చోటు అనుకొనకుండా
ఆ కొండున్	=	ఆకలిగొందును;
నలంగుదున్	=	నలిగి (అలసి) పోతాను;
నిదురకున్ + తతి తప్పెడన్	=	నిద్రకు సమయం మించిపోతుంది.
డప్పి+ పుట్టెన్	=	దాహం వేస్తున్నది;
ఒక్కండన + ఎట్లు + ఒకో	=	ఒక్కడినే ఎట్లాగో;
అనక	=	అని తలపక;
కార్యము	=	పని;
ముట్టినచోటన్	=	కలిగినచోట;
ఏలిన + అతండు	=	రాజు;
ఒక చాయ	=	ఒక రీతి;
చూపినను	=	చూపిస్తే కూడా;
తత్తురతన్	=	నిష్ఠతో, ఏకాగ్రతతో

పనిచేయుట = పనిచేయడం;
ఒప్పు+ అగున్ = ఉచితమౌతుంది.

సమాసములు :

ఎండకు వానకు = ఎండకును, వానకున్ = ద్వంద్వ సమాసము
తన యిల్లు = తన యొక్క యిల్లు = షష్ఠీ తత్పురుష సమాసము

తాత్పర్యం:

ఎండకూ, వానకూ సహించాలి. తన యిల్లనీ, పొరుగుచోటనీ అనుకొనరాదు. ఆకలివేస్తుంది. అలసిపోతాను. నిద్రకు సమయం మించిపోతుంది. దాహం వేస్తున్నది. ఒక్కడినే ఎట్లా? అనే ఆలోచనలకు అవకాశం ఎప్పుడూ ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో, భక్తితో చెయ్యాలి.

3.7 సందర్భ సహిత వ్యాఖ్యలు

1. కాల విరోధంబు మఱచి కార్యముచేడప్పున్

కవి పరిచయం : భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. మనుమసిద్ధికి మంత్రిగా, ఆస్థానకవిగా వ్యవహరించేవాడు. తిక్కన ' నిర్వచనోత్తరరామాయణం', అనే గ్రంథాన్ని రచించెను. ఈయనకు 'కవిబ్రహ్మ' ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం 'ధౌమ్య ధర్మోపదేశము ' అనే పాఠ్యాంశములోనిది.

సందర్భం : పాండవులకు గురుతుల్యుడైన ధౌమ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మనలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : కాల విరోధాన్ని మరచి పోకూడదు. కాదాని పరాక్రమాదులను ప్రదర్శిస్తే అజ్ఞాతవాసం భంగమవుతుంది. కార్యం చెడిపోతుంది.

2. పురుషార్థంబునకు హాని పుట్టుకయున్నే

కవి పరిచయం : భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. మనుమసిద్ధికి మంత్రిగా, ఆస్థానకవిగా వ్యవహరించేవాడు. తిక్కన ' నిర్వచనోత్తరరామాయణం', అనే గ్రంథాన్ని రచించెను.

ఈయనకు 'కవిబ్రహ్మ' ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం 'ధౌమ్మ్య ధర్మోపదేశము' అనే పాఠ్యాంశములోనిది.

సందర్భం : పాండవులకు గురుతుల్యుడైన ధౌమ్మ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మసలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : మర్యాదను అతిక్రమించి నడుచుకుంటే మొదటికే మోసం వస్తుంది అని భావన.

3. కాంతాదులతోడి పొందు కలిమి భటునకున్

కవి పరిచయం : భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. మనుమసిద్ధికి మంత్రిగా, అస్థానకవిగా వ్యవహరించేవాడు. తిక్కన 'నిర్వచనోత్తర రామాయణం', అనే గ్రంథాన్ని రచించెను. ఈయనకు 'కవిబ్రహ్మ' ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం 'ధౌమ్మ్య ధర్మోపదేశము' అనే పాఠ్యాంశములోనిది.

సందర్భం : పాండవులకు గురుతుల్యుడైన ధౌమ్మ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మసలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : భటుడికి అంతఃపురంలో సంబంధం మంచిదికాదు. అక్కడ స్త్రీలలో గూనివారు, వామనులు వంటివారు ఉండురు. వారి పొందు కీడు కలిగిస్తుందని భావం.

4. పూజ్యుడైన జనుల పొందు లెస్స

కవి పరిచయం : భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. మనుమసిద్ధికి మంత్రిగా, అస్థానకవిగా వ్యవహరించేవాడు. తిక్కన 'నిర్వచనోత్తర రామాయణం', అనే గ్రంథాన్ని రచించెను. ఈయనకు 'కవిబ్రహ్మ' ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం 'ధౌమ్మ్య ధర్మోపదేశము' అనే పాఠ్యాంశములోనిది.

సందర్భం : పాండవులకు గురుతుల్యుడైన ధౌమ్మ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మసలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : భటుడు తానెంత పూజనీయుడయినా రాజు కొలువుకు సంబంధించిన జనులతో స్నేహంతో మెలిగి ఉండటం మేలు.

5. జేటు తెచ్చుటెట్లు సిద్ధమగుట

కవి పరిచయం: భారతాన్ని ఆంధ్రీకరించిన కవులలో తిక్కన రెండవవాడు. 13 వ శతాబ్దపు కవి. తల్లి అన్నమ్మ. తండ్రి కొమ్మన. .. మనుమసిద్ధికి మంత్రిగా, ఆస్థానకవిగా వ్యవహరించేవాడు. తిక్కన ‘ నిర్వచనోత్తర రామాయణం’,అనే గ్రంథాన్ని రచించెను. ఈయనకు ‘కవిబ్రహ్మ’ ఉభయ కవిమిత్రుడు అనే బిరుదులు కలవు. ఈ వాక్యం విరాటపర్వం - ప్రథమాశ్వాసం ‘ధౌమ్య ధర్మోపదేశము ’ అనే పాఠ్యాంశములోనిది.

సందర్భం: పాండవులకు గురుశుశ్రూషైన ధౌమ్యుడు పాండవులకు అజ్ఞాతవాస కాలంలో మనలుకోవలసిన ధర్మములను గూర్చి వివరించిన సందర్భం.

భావం : రాజుతో చనువుగా ఉన్న మర్యాదను అతిక్రమించరాదు. మర్యాదను అతిక్రమిస్తే చేటు కలుగుతుంది.

3.8 పాఠ్యభాగ సారాంశము

పాండవుల అరణ్యవాసం ముగిసిన పిదప అజ్ఞాతవాసం ప్రారంభంకానున్నది. ధర్మరాజు తన సోదరులతో చర్చించి అజ్ఞాత వాసానికి తగిన ఆవాసం మత్సదేశమని నిర్ణయించాడు. మత్సదేశ రాజు విరాటుడు. పాండవులు అందరూ ఎవరెవరు ఏయే పనులు చేయాలో నిర్ణయించుకున్నారు. అందుకు తగిన వేషధారణను గూర్చి చర్చించుకున్నారు. ధర్మరాజు తన వెంట ఉన్న పరివారాన్ని వెనక్కి పంపివేశాడు. ధౌమ్యుని అడ్వివోత్రుడు వలె గౌరవిస్తూ ప్రదక్షిణ నమస్కారాలు చేసి సెలవు తీసుకుంటున్న సందర్భంలో ధర్మరాజు యొక్క ఔచిత్యవర్తనానికి తగిన విధంగా వివిధ సేవా ధర్మాలను గురించి ధౌమ్యుడు బోధ చేసిన సందర్భం.

ధౌమ్యుడు పాండవులకు సేవా ధర్మంబులును తెలుపుట : ఓ రాజా! కురువంశంలో పుట్టినవారు. గౌరవంగా పెరిగినవారు. మీ వంటి వారు మరొక సామాన్య మానవులముడిని (రాజుని) సేవిస్తూ మానావమానాలు సహిస్తూ అణిగమణిగి సవినయంగా ఉండటం వీలు కాదు. వివిధాస్త్రాలు మంటలు వంటివి. వాటిని ధరించిన పాండవులు అగ్నులు వంటివారు. కాల విరోధాన్ని మరచి పోకూడదు. మరచి మండిపడితే, పరాక్రమాదులను ప్రదర్శిస్తే తమ ఉనికి బహిర్గతం అవుతుంది. అజ్ఞాతవాసం భంగమవుతుంది. మీకు ఎటువంటి ప్రమాదం కలుగకుండా ఉండాలని నా కోరిక. అందుచేత నాకు చేతనయిన విధంగా ఉపదేశం చేస్తాను. రాజులను సేవించవలసిన వారు జాగ్రత్తగా ఉండాలి. రాజసేవలో ఇబ్బందులకు లోనుగాకుండే విధంగా సాధారణ నీతిని సంగ్రహంగా మీకు చెబుతాను. శ్రద్ధగా వినండి.

తగిన పద్ధతిలో సభలోనికి అడుగుపెట్టాలి. తనకిచ్చిన స్థానంలో కూర్చోవాలి. తన రూపం, వేషం వికృతంగా ఉండకుండా జాగ్రత్త వహించాలి. సమయం తెలిసికొని, మసలుకొంటూ సేవించాలి. ఆ విధంగా చేయగల వ్యక్తి రాజులకు గౌరవ పాత్రుడవుతాడు. రాజు కొలువులో ఉన్నానని, రాజుతో చనువుగా తిరుగుతున్నానని, 'నాకేమిటి' అనే విధంగా నిర్భయంగా, మర్యాదను అతిక్రమించే విధంగా నడుచుకోరాదు. అలా చేస్తే మొదటికే మోసం వస్తుందని గ్రహించాలి. రాజుగారి ఇంటికన్నా అందంగా ఇల్లు కొట్టుకొనకూడదు. రాజుగారి వేషధారణ పద్ధతిలో తాను దుస్తులు ధరించరాదు. రాజు చేసే విహారం వలె తాను విహారం చేయకూడదు. రాజు మాట్లాడే విధంగా మాట్లాడటం మంచిదికాదు. తమ ఆజ్ఞ మీరినవారు కొడుకులైన, బంధువులైన, స్నేహితులైన, మనుమలు అయిన రాజులు క్షమించరు. భద్రత కొరకు అటువంటివారిని శత్రువులుగా చూస్తారు. కోపం పెంచుకుంటారు. వారి అంతు చూస్తారు. ఏదయినా సరే రాజు సమర్థుడు చేస్తున్న పనికి అడ్డు వెళ్ళకూడదు. అట్లా చేస్తే మొదటికే ముప్పు తప్పదని గ్రహించు కోవాలి. రాజుతో సన్నిహితంగా ఉండటం తప్పుకాదు. కాని, అతని వద్ద ఉండే చాలామందికి కష్టం కలిగించే పనులలో మాత్రం జోక్యం పనికిరాదు. అటువంటి పనుల వలన సేవకుడి శక్తి బహిర్గతం కావచ్చు. కాని, ఆ తరువాత హాని కలుగుటం మాత్రం తథ్యం. తెలివిగలవారు అటువంటి పనులకు దూరంగా ఉంటారు.

రాజు దగ్గర మౌనంగా ఉండకూడదు. పదిమందితో ఆర్భాటంగా మాట్లాడటం పనికిరాదు. తనకు దగ్గర వారైన కొలువుకాండ్రతో కలసి తాను రాజుతో మాట్లాడటం సబబు. తాను రాజు దగ్గర ఉన్నప్పుడు వ్యతిరేకత తోచే విధంగా ఇతరులకు సమాధానం చెప్పకూడదు. అవసరం ఏర్పడితే మాత్రం తనంతట తానే ముందుకు వచ్చి రాజాజ్ఞను నిర్వర్తించాలి. కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. వెనుక వైపునా ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో ఎటు చూస్తాడో, ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో మొదలయిన భావాలను మనసులో ఉంచుకొని రాజు ముఖంమీదనే దృష్టి సారించి సభలో మెలగాలి.

అంతఃపుర వార్తలను ఎప్పుడీకీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది. రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజునుగ్రహం

లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

రాజు ఎవరినైనా రక్షించాలన్నా, శిక్షించాలన్నా అటువంటి విషయాలు తెలిసినా సేవకుడు తనంతట తాను బయట పెట్టరాదు. అలా చేసేవాడు మూర్ఖుడు. ఎండకు, వానకు సహించాలి. ఆకలి, అలసట, నిద్ర, దాహం, ఒంటరితనం వంటి ఆలోచనలకు అవకాశం ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో భక్తితో చేయాలి. రాజుకు తాను ఎంత ఆప్తుడయినా రాజు ధనాన్ని పాము వలె భావించాలి. వాటిని సంగ్రహించే గుణం మానితే గాని మానము, ప్రాణము నిలువవు. రాజు కొలువు తీరినప్పుడు సేవకులు ఆవులించకూడదు. తుమ్మటం మంచిదికాదు. ఉమ్మటం, నవ్వుటం వంటివి తప్పని గ్రహించుకోవాలి. శత్రువుల యొక్క దూతలు వద్ద గాని, రాజు అగ్రహానికి గురైన వారి వద్ద గాని, పాపాత్ములు వద్ద గాని మీరు ఉండకుండా చూసుకోవాలి. లేకుంటే చివరకు కీడు, నిందా వస్తాయి. భటుడు తానెంత పూజనీయుడైనా, రాజు కొలువుకు సంబంధించిన వ్యక్తులతో స్నేహం మంచిది. భోగాల కొరకే సంపదలని సేవకుడు విచ్చలవిడిగా భావించరాదు. రాజునకు కంటగింపు కలుగకుండా నమ్రతతో మసలుకోవాలి. అని ధౌమ్యుడు సేవా ధర్మములను పాండవులకు విశదపరచినాడు.

పాండవుల సమాధానం : ధౌమ్యుడు చెప్పిన సేవా ధర్మములకు సంతోషించిన పాండవులు ఓ! మునిశ్రేష్ఠా! మాకు తలైన, తండైనా, దైవమైనా, మిత్ర సమూహమైనా అన్నీ మీరే. మేము కొలువు చేసేటప్పుడు పాటించవలసిన పద్ధతులను మీరు ఎంతో స్పష్టముగా తెలియజేసారు. నిజంగా మీ దయ వలన మేము ధన్యులమని చెప్పారు. అంతట ధౌమ్యుడు వారితో ‘ ఈ ఒక్క సంవత్సరకాలం ఎట్లాగయినా అణగమణిగి ఉండాలి. కష్టాలకు ఓర్చుకోవాలి. ఆపదలనుండి గట్టిక్కి బయటపడాలి.’ అని వక్కాణించెను. పాండవులు ధౌమ్యునితో అట్లాగే నడుచుకుంటామని మాట యిచ్చి నమస్కరించారు. అతిశయించిన వాత్సల్యంతో ధౌమ్యుడు పాండవులకు దీవెనలు ఇచ్చాడు. పాండవులు ఎంతగానో ఆనందించారు ఆయన ఆశీస్సులతో మత్స్యదేశానికి ప్రయాణమయ్యారు.

3.9 ప్రశ్నలు -సమాధానములు

1. ధౌమ్యు ధర్మోపదేశము పాఠ్యాంశ ఆధారంగా తిక్కన వివరించిన సేవా ధర్మములను వివరింపుము. లేదా

ధౌమ్యుడు పాండవులకు ఉపదేశించిన సేవా ధర్మములను వ్రాయుము.

జ. పాండవుల అరణ్యవాసం ముగిసిన పిదప అజ్ఞాతవాసం ప్రారంభంకానున్నది. ధర్మరాజు తన సోదరులతో చర్చించి అజ్ఞాత వాసానికి తగిన ఆవాసం మత్సదేశమని నిర్ణయించాడు. మత్సదేశ రాజు విరాటుడు. పాండవులు అందరూ ఎవరెవరు ఏయే వసులు చేయాలో నిర్ణయించుకున్నారు. అందుకు తగిన వేషధారణను గూర్చి చర్చించుకున్నారు. ధర్మరాజు తన వెంట ఉన్న పరివారాన్ని వెనక్కి పంపివేశాడు. ధౌమ్యుని అడ్మినిస్ట్రేటరు వలె గౌరవిస్తూ ప్రదక్షిణ నమస్కారాలు చేసి సెలవు తీసుకుంటున్న సందర్భంలో ధర్మరాజు యొక్క జెచిత్యవర్తనానికి తగిన విధంగా వివిధ సేవా ధర్మాలను గురించి ధౌమ్యుడు బోధ చేసిన సందర్భం.

ధౌమ్యుడు పాండవులకు సేవా ధర్మములను తెలుపుట: ఓ రాజా! కురువంశంలో పుట్టినవారు. గౌరవంగా పెరిగినవారు. మీ వంటి వారు మరొక సామాన్య మానవులవ్వడమి (రాజుని) సేవిస్తూ మానావమానాలు సహిస్తూ అణిగమణిగి సవినయంగా ఉండటం వీలు కాదు. వివిధాస్త్రాలు మంటలు వంటివి. వాటిని ధరించిన పాండవులు అగ్నులు వంటివారు. కాల విరోధాన్ని మరచి పోకూడదు. మరచి మండిపడితే, పరాక్రమాదులను ప్రదర్శిస్తే తమ ఉనికి బహిర్గతం అవుతుంది. అజ్ఞాతవాసం భంగమవుతుంది. మీకు ఎటువంటి ప్రమాదం కలుగకుండా ఉండాలని నా కోరిక. అందుచేత నాకు చేతనయిన విధంగా ఉపదేశం చేస్తాను. రాజులను సేవించవలసిన వారు జాగ్రత్తగా ఉండాలి. రాజసేవలో ఇబ్బందులకు లోనుగాకుండా విధంగా సాధారణ నీతిని సంగ్రహంగా మీకు చెబుతాను. శ్రద్ధగా వినండి.

తగిన పద్ధతిలో సభలోనికి అడుగుపెట్టాలి. తనకిచ్చిన స్థానంలో కూర్చోవాలి. తన రూపం, వేషం వికృతంగా ఉండకుండా జాగ్రత్త వహించాలి. సమయం తెలిసికొని, మసలుకొంటూ సేవించాలి. ఆ విధంగా చేయగల వ్యక్తి రాజులకు గౌరవ పాత్రుడవుతాడు. రాజు కొలువులో ఉన్నానని, రాజుతో చనువుగా తిరుగుతున్నానని, 'నాకేమిటి' అనే విధంగా నిర్భయంగా, మర్యాదను అతిక్రమించే విధంగా నడుచుకోరాదు. అలా చేస్తే మొదటికే మోసం వస్తుందని గ్రహించాలి. రాజుగారి ఇంటికన్నా అందంగా ఇల్లు

కొట్టుకొనకూడదు. రాజుగారి వేషధారణ పద్ధతిలో తాను దుస్తులు ధరించరాదు. రాజు చేసే విహారం వలె తాను విహారం చేయకూడదు. రాజు మాట్లాడే విధంగా మాట్లాడటం మంచిదికాదు. తమ ఆజ్ఞ మీరినవారు కొడుకులైన, బంధువులైన, స్నేహితులైన, మనుమలు అయిన రాజులు క్షమించరు. భద్రత కొరకు అటువంటివారిని శత్రువులుగా చూస్తారు. కోపం పెంచుకుంటారు. వారి అంతు చూస్తారు. ఏదయినా సరే రాజు సమర్థుడు చేస్తున్న పనికి అడ్డు వెళ్ళకూడదు. అట్లా చేస్తే మొదటికే ముప్పు తప్పదని గ్రహించు కోవాలి. రాజుతో సన్నిహితంగా ఉండటం తప్పుకాదు. కాని, అతని వద్ద ఉండే చాలామందికి కష్టం కలిగించే పనులలో మాత్రం జోక్యం పనికిరాదు. అటువంటి పనుల వలన సేవకుడి శక్తి బహిర్గతం కావచ్చు. కాని, ఆ తరువాత హాని కలుగటం మాత్రం తథ్యం. తెలివిగలవారు అటువంటి పనులకు దూరంగా ఉంటారు.

రాజు దగ్గర మౌనంగా ఉండకూడదు. పదిమందితో ఆర్భాటంగా మాట్లాడటం పనికిరాదు. తనకు దగ్గరి వాడైన కొలువుకాండ్రతో కలసి తాను రాజుతో మాట్లాడటం సబబు. తాను రాజు దగ్గర ఉన్నప్పుడు వ్యతిరేకత తోచే విధంగా ఇతరులకు సమాధానం చెప్పకూడదు. అవసరం ఏర్పడితే మాత్రం తనంతట తానే ముందుకు వచ్చి రాజాజ్ఞను నిర్వర్తించాలి. కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. వెనుక వైపునా ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో ఎటు చూస్తాడో, ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో మొదలయిన భావాలను మనసులో ఉంచుకొని రాజు ముఖంమీదనే దృష్టి సారించి సభలో మెలగాలి.

అంతఃపుర వార్తలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది. రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజానుగ్రహం లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

రాజు ఎవరినైనా రక్షించాలన్నా, శిక్షించాలన్నా అటువంటి విషయాలు తెలిసినా సేవకుడు తనంతట తాను బయట పెట్టరాదు. అలా చేసేవాడు మూర్ఖుడు.

ఎందకు, వానకు సహించాలి. ఆకలి, అలసట, నిద్ర, దాహం, ఒంటరితనం వంటి ఆలోచనలకు అవకాశం ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో భక్తితో చేయాలి. రాజుకు తాను ఎంత అప్పుడయినా రాజు ధనాన్ని పాము వలె భావించాలి. వాటిని సంగ్రహించే గుణం మానితే గాని మానము, ప్రాణము నిలువవు. రాజు కొలువు తీరినప్పుడు సేవకులు అవులించకూడదు. తుమ్మటం మంచిదికాదు. ఉమ్మటం, నవ్వుటం వంటివి తప్పని గ్రహించుకోవాలి. శత్రువుల యొక్క దూతలు వద్ద గాని, రాజు అగ్రహానికి గురైన వారి వద్ద గాని, పాపాత్ములు వద్ద గాని మీరు ఉండకుండా చూసుకోవాలి. లేకుంటే చివరకు కీడు, నిందా వస్తాయి. భటుడు తానెంత పూజనీయుడైనా, రాజు కొలువుకు సంబంధించిన వ్యక్తులతో స్నేహం మంచిది. భోగాల కొరకే సంపదలని సేవకుడు విచ్చలవిడిగా భావించరాదు. రాజునకు కంటగింపు కలుగకుండా నమ్రతతో మసలుకోవాలి. అని ధౌమ్మ్యుడు సేవా ధర్మములను పాండవులకు విశదపరచినాడు.

2. తిక్కన కవితా లక్షణములు వివరింపుము

జ. తెలుగు భారతాన్ని రచించిన కవిత్రయంలో తిక్కన రెండవవాడు. క్రీ.శ. 13 వ శతాబ్దం కవి. మనుమసిద్ధి ఆస్థానకవిగా, మంత్రిగా పనిచేసాడు. తల్లి అన్నమ్మ తండ్రి కొమ్మన తిక్కనను గూర్చిన మరెన్నో విషయాలు అతని శిష్యుడైన మూలఘటిక కేతన రచించిన 'దశకుమార చరిత్ర' లో ఉన్నాయి. తిక్కన 'నిర్వచనోత్తర రామాయణం' అనే కావ్యమును రాసి మనుమసిద్ధికి అంకితమిచ్చాడు. ఇవి కాక 'విజయసేనం' 'కవిదిగ్బంధం', అనే ఛంధో గ్రంథమును 'కృష్ణశతకము'ను రచించినా ప్రస్తుతం ఇవి అలభ్యములు. నన్నయ్య పూర్తి చేయని అరణ్యపర్వాన్ని వదలి 'విరాటపర్వం' మొదలుకొని ఆఖరుది అయిన స్వర్గారోహణ పర్వం వరకూ ఏకబిగిని అంధ్రీకరించారు. నన్నయకు రెండ వందల సంవత్సరాల తరువాతి వాడు తిక్కన. ఈయన భారత రచనకు ఉపక్రమించాడు. 'కవిబ్రహ్మ' అని కీర్తి పొందాడు. మహా భారత రచన కోసం 'దీక్ష' ను చేపట్టి, అందుకోసం మొదట 'సోమయాగం' చేసాడు. ఇందువలన తిక్కన సోమయాజిగా ప్రసిద్ధుడయ్యాడు.

తిక్కన తాను రచించిన భారత భాగాన్ని హరిహరనాథునికి అంకితం చేసాడు. హరి అనగా విష్ణువు. హరుడు అనగా శివుడు. “విష్ణు రూపాయ నమశ్శివాయ” అని శివుడికి విష్ణువుకి మధ్య బేధం లేదని ప్రకటించాడు. దీనితో వీరవైష్ణవం, వీరశైవం అనే మత భేదాలతో అశాంతితో అట్టుడికి పోయే సమకాలీక సమాజానికి అద్వైతమనే సందేశాన్ని అందించిన కవి తిక్కన.

కవితారీతులు : తిక్కన ఆంధ్రావళి మోదం కోసం మహాకవిత్వ దీక్షను చేపట్టి భవ్య కవితావేశంతో భారతాన్ని రచిస్తున్నానని చెప్పాడు. తన ‘నిర్వచనోత్తర రామాయణం’లో అమలోదాత మనీషనేను భయకావ్య ప్రౌఢి బాటించి శిల్పమునబారగుడ కళావిదుడ అని చెప్పుకున్నాడు. సంస్కృత, ఆంధ్రభాషలలో గొప్ప కవిత్వాన్ని సృష్టించిన తిక్కన ఉ భయకవి మిత్రుడుగా కీర్తి పొందాడు.

శైలి : తిక్కన రచనలో అలతి అలతి తేటతెలుగు పదాలు కనిపిస్తాయి. ఈయన శైలిలో నాటకీయత ప్రధానమైనది. ఈ పాఠ్యాంశములో ‘పుత్రులు పౌత్రులు భాత్రులు మిత్రులనరు రాజు లాజ్ఞ మిగిలిన చోటన్ శత్రులకాఁ దమయలు”.

అనే పద్యములో ఎంతో తేలికైన పదాలతో భావాన్ని సులభంగా అర్థం చేసుకొనే విధంగా అతని శైలి కాన వస్తుంది. తన వ్యతిరేకులైన వారు ఎవరైనా వారు రాజుకు శత్రువులే! వారి వివిధాస్త్ర విద్యా..... అనే పద్యమును రూపకాలంకారములో అస్త్రాలు మంటలు వంటి వని చెబుతూనే వాటి అండతో పరాక్రమాదులు చూపితే కార్యం చెడుతుందని ఎంతో నాటకీయంగా పాండవులు అస్త్రాలను దాచి పెట్టుకోవాలని ధ్వని మాత్రంగా చెప్పటం కనిపిస్తుంది.

తిక్కన అలంకారాలలో ఉపమను ఎక్కువుగా ఉపయోగించియున్నాడు.. జీవితంలో గమనించిన ఉపమనాలను ఉపయోగిస్తాడు. విరాటపర్వంలో ఇందుకు ఎన్నెన్నో ఉదాహరణలున్నాయి. ‘నివులు గనిసిన మెఱయని నిప్పువోవె’ మంటల్లో మిడతలు సొచ్చినట్లయిన’ ఏనుంగునకు సిళ్ళు చూపినట్లు’ ఇలా ఎన్నో ఉన్నాయి.

తిక్కన కవిత్వంలో రసపోషణ, వర్ణనా నైపుణ్య, పాత్ర పోషణ తెలుగుదనం ఉట్టి పడే నుడికారాలు, జాతీయాలు, వ్యంగ్య సంభాషణలు ఇలా గొప్ప అర్థ వివరణతో కూడిన లక్షణాలు కనిపిస్తాయి.

3 ధౌమ్యుడు పాండవులకు వివరించిన ధర్మోపదేశములను వివరింపుము?

జ. పాండవుల అరణ్యవాసం ముగిసిన పిదప అజ్ఞాతవాసం ప్రారంభంకానున్నది. ధర్మరాజు తన సోదరులతో చర్చించి అజ్ఞాత వాసానికి తగిన ఆవాసం మత్సదేశమని నిర్ణయించాడు. మత్సదేశ రాజు విరాటుడు. పాండవులు అందరూ ఎవరెవరు ఏయే పనులు చేయాలో నిర్ణయించుకున్నారు. అందుకు తగిన వేషధారణను గూర్చి చర్చించుకున్నారు. ధర్మరాజు తన వెంట ఉన్న పరివారాన్ని వెనక్కి పంపివేశాడు. ధౌమ్యుని అడ్మినిస్ట్రేటరు వలె గౌరవిస్తూ ప్రదక్షిణ నమస్కారాలు చేసి సెలవు తీసుకుంటున్న సందర్భంలో ధర్మరాజు యొక్క జిచిత్యవర్తనానికి తగిన విధంగా వివిధ సేవా ధర్మాలను గురించి ధౌమ్యుడు బోధ చేసిన సందర్భం.

ధౌమ్యుడు పాండవులకు వివరించిన ధర్మోపదేశములు : ఓ రాజా! కురువంశంలో పుట్టినవారు. గౌరవంగా పెరిగినవారు. మీ వంటి వారు మరొక సామాన్య మానమపుత్రుడిని (రాజుని) సేవిస్తూ మానావమానాలు సహిస్తూ అణిగమణిగి సవినయంగా ఉండటం వీలు కాదు. వివిధాస్త్రాలు మంటలు వంటివి. వాటిని ధరించిన పాండవులు అగ్నులు వంటివారు. కాల విరోధాన్ని మరచి పోకూడదు. మరచి మండిపడితే, పరాక్రమాదులను ప్రదర్శిస్తే తమ ఉనికి బహిర్గతం అవుతుంది. అజ్ఞాతవాసం భంగమవుతుంది. మీకు ఎటువంటి ప్రమాదం కలుగకుండా ఉండాలని నా కోరిక. అందుచేత నాకు చేతనయిన విధంగా ఉపదేశం చేస్తాను. రాజులను సేవించవలసిన వారు జాగ్రత్తగా ఉండాలి. రాజసేవలో ఇబ్బందులకు లోనుగాకుండా విధంగా సాధారణ నీతిని సంగ్రహంగా మీకు చెబుతాను. శ్రద్ధగా వినండి.

తగిన పద్ధతిలో సభలోనికి అడుగుపెట్టాలి. తనకిచ్చిన స్థానంలో కూర్చోవాలి. తన రూపం, వేషం వికృతంగా ఉండకుండా జాగ్రత్త వహించాలి. సమయం తెలిసికొని, మసలుకొంటూ సేవించాలి. ఆ విధంగా చేయగల వ్యక్తి రాజులకు గౌరవ పాత్రుడవుతాడు. రాజు కొలువులో ఉన్నానని, రాజుతో చనువుగా తిరుగుతున్నానని, 'నాకేమిటి' అనే విధంగా నిర్భయంగా, మర్యాదను అతిక్రమించే విధంగా నడుచుకోరాదు. అలా చేస్తే మొదటికే మోసం వస్తుందని గ్రహించాలి. రాజుగారి ఇంటికన్నా అందంగా ఇల్లు కొట్టుకొనకూడదు. రాజుగారి వేషధారణ పద్ధతిలో తాను దుస్తులు ధరించరాదు. రాజు చేసే విహారం వలె తాను విహారం చేయకూడదు. రాజు మాట్లాడే విధంగా మాట్లాడటం మంచిదికాదు. తమ ఆజ్ఞ మీరినవారు కొడుకులైన, బంధువులైన, స్నేహితులైన, మనుషులు

అయిన రాజులు క్షమించరు. భద్రత కొరకు అటువంటివారిని శత్రువులుగా చూస్తారు. కోపం పెంచుకుంటారు. వారి అంతు చూస్తారు. ఏదయినా సరే సాధించుకోనగలిగిన సమర్థుడు చేస్తున్న పనికి అడ్డు వెళ్ళకూడదు. అట్లా చేస్తే మొదటికే ముప్పు తప్పదని గ్రహించు కోవాలి. రాజుతో సన్నిహితంగా ఉండటం తప్పుకాదు. కాని, అతని వద్ద ఉండే చాలామందికి కష్టం కలిగించే పనులలో మాత్రం జోక్యం పనికిరాదు. అటువంటి పనుల వలన సేవకుడి శక్తి బహిర్గతం కావచ్చు. కాని, ఆ తరువాత హాని కలుగటం మాత్రం తథ్యం. తెలివిగలవారు అటువంటి పనులకు దూరంగా ఉంటారు.

రాజు దగ్గర మౌనంగా ఉండకూడదు. పదిమందితో ఆర్భాటంగా మాట్లాడటం పనికిరాదు. తనకు దగ్గరి వారైన కొలువుకాండ్రతో కలసి తాను రాజుతో మాట్లాడటం సబబు. తాను రాజు దగ్గర ఉన్నప్పుడు వ్యతిరేకత తోచే విధంగా ఇతరులకు సమాధానం చెప్పకూడదు. అవసరం ఏర్పడితే మాత్రం తనంతట తానే ముందుకు వచ్చి రాజాజ్ఞను నిర్వర్తించాలి. కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. వెనుక వైపునా ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో ఎటు చూస్తాడో, ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో మొదలయిన భావాలను మనసులో ఉంచుకొని రాజు ముఖంమీదనే దృష్టి సారించి సభలో మెలగాలి.

అంతః పురాలలో మాటలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది. రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజునుగ్రహం లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఎంతగా రాజు గౌరవం పొందినా సరే ఇటువంటి కార్యములు మంచివికావు. రాజు గౌరవిస్తే పొంగిపోవటం, అవమానిస్తే కృంగిపోవటం మంచిదికాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

రాజు ఎవరినైనా రక్షించాలన్నకున్నా, శిక్షించాలనుకొన్నా అటువంటి విషయాలు తెలిసినా సేవకుడు తనంతట తాను బయట పెట్టరాదు. అలా చేసేవాడు మూర్ఖుడు. ఎండకు, వానకు సహించాలి. ఆకలి, అలసట, నిద్ర, దాహం, ఒంటరితనం వంటి

అలోచనలకు అవకాశం ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో భక్తితో చేయాలి. రాజుకు తాను ఎంత ఆప్తుడయినా రాజు ధనాన్ని పాము వలె భావించాలి. వాటిని పరికించాలి. వాటిని సంగ్రహించే గుణం మానితే గాని మానము, ప్రాణము నిలువవు. రాజు కొలువు తీరినప్పుడు సేవకులు ఆవులించకూడదు. తుమ్మటం మంచిదికాదు. ఉమ్మటం, నవ్వుటం వంటివి తప్పని గ్రహించుకోవాలి. శత్రువుల యొక్క దూతలు వద్ద గాని, రాజు ఆగ్రహానికి గురైన వారి వద్ద గాని, పాపాత్ములు వద్ద గాని ఉండకుండా చూసుకోవాలి. లేకుంటే చివరకు కీడు, నిందా వస్తాయి. భటుడు తానెంత పూజనీయుడైనా, రాజు కొలువుకు సంబంధించిన వ్యక్తులతో స్నేహం మంచిది. భోగాల కొరకే సంపదలని సేవకుడు విచ్చలవిడిగా భావించరాదు. రాజునకు కంటగింపు కలుగకుండా నమ్రతతో మసలుకోవాలి. అని ధౌమ్మడు సేవా ధర్మములను పాండవులకు విశదపరచినాడు.

3.10 సంగ్రహ ప్రశ్నలు

1. రాజు కొలువులో ఉన్న ఉద్యోగులు గోప్యముగా ఉంచవలసిన అంశములేవి?

జ. అంతఃపురాలలో మాటలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. రాజు ఎవరినైనా రక్షించాలన్నకున్నా, శిక్షించాలనుకున్నా అటువంటి విషయాలు తెలిసినా సేవకుడు తనంతట తానుగా బయట పెట్టరాదు.

2. రాజసేవకుని లక్షణములను వ్రాయుము.

జ. ఎండకు, వానకు సహించాలి. విధి నిర్వహణలో తన యిల్లు, పొరుగుయిల్లు అని అనుకోరాదు. ఆకలి, అలసట, నిద్ర, దాహం, ఒంటరితనం వంటి ఆలోచనలకు అవకాశం ఇవ్వకూడదు. అనుకోకుండా రాజు ఒక పనిని సూచించినట్లయితే ఆ పనిని శ్రద్ధతో భక్తితో చేయాలి. రాజుకు తాను ఎంత ఆప్తుడయినా రాజు ధనాన్ని పాము వలె భావించాలి. వాటిని సంగ్రహించే గుణం మానితే గాని మానము, ప్రాణము నిలువవు. రాజు కొలువు తీరినప్పుడు సేవకులు ఆవులించకూడదు. తుమ్మటం మంచిదికాదు. ఉమ్మటం, నవ్వుటం వంటివి తప్పని గ్రహించుకోవాలి. వాటిని గోప్యంగా చేసుకోవాలి. శత్రువుల దూతలు గాని, రాజు ఆగ్రహానికి పాత్రులై నిరాకరించబడినవారుగాని, పాపాత్ములు గాని తమకు దగ్గరగా ఉండకుండా చూసుకోవాలి. లేకుంటే చివరకు కీడు, నిందా వస్తాయి.

3. తిక్కనను గూర్చి వ్రాయుము.

జ. తెలుగు భారతాన్ని రచించిన కవిత్వంలో తిక్కన రెండవవాడు. క్రీ.శ. 13 వ శతాబ్దం కవి. మనుమసిద్ధి ఆస్థానకవిగా, మంత్రిగా పనిచేసాడు. తల్లి అన్నమ్మ తండ్రి కొమ్మన తిక్కనను గూర్చిన మరెన్నో విషయాలు అతని శిష్యుడైన మూలఘటిక కేతన రచించిన 'దశకుమార చరిత్ర' లో ఉన్నాయి. తిక్కన 'నిర్వచనోత్తర రామాయణం' అనే కావ్యమును రాసి మనుమసిద్ధికి అంకితమిచ్చాడు. ఇవి కాక 'విజయసేనం' 'కవిదిగ్బంధం' అనే ఛంధో గ్రంథమును 'కృష్ణశతకము'ను రచించినా ప్రస్తుతం ఇవి అలభ్యములు. నన్నయ్య పూర్తి చేయని అరణ్యపర్వాన్ని వదలి 'విరాటపర్వం' మొదలుకొని ఆఖరుది అయిన స్వర్ణారోహణ పర్వం వరకూ ఏకబిగిని ఆంధ్రీకరించాడు. నన్నయకు రెండ వందల సంవత్సరాల తరువాత తిక్కన భారత రచనకు ఉపక్రమించాడు. 'కవిబ్రహ్మ' అని కీర్తి పొందాడు. మహా భారత రచన కోసం 'దీక్ష' ను చేపట్టి, అందుకోసం మొదట 'సోమయాగం' చేసాడు. ఇందువలన తిక్కన సోమయాజిగా ప్రసిద్ధుడయ్యాడు.

4. రాజు దగ్గర సేవకుడు ఏ విధంగా ఉండాలి?

జ. రాజు దగ్గర మౌనంగా ఉండకూడదు. పదిమందితో ఆర్భాటంగా మాట్లాడటం పనికిరాదు. తనకు దగ్గరి వారైన కొలువుకాండ్రతో కలసి తాను రాజుతో మాట్లాడటం సబబు. తాను రాజు దగ్గర ఉన్నప్పుడు వ్యతిరేకత తోచే విధంగా ఇతరులకు సమాధానం చెప్పకూడదు. అవసరం ఏర్పడితే మాత్రం తనంతట తానే ముందుకు వచ్చి రాజాజ్ఞను నిర్వర్తించాలి. కొలువులో రాజుకు మరీ ఎట్ట ఎదురుగా ఉండకూడదు. వెనుక వైపునా ఉండకూడదు. ఏదో ఒక ప్రక్కన నిలబడి సేవించాలి. ఏమంటాడో ఎటు చూస్తాడో, ఎవరిని చూస్తే ఎటువంటి ఆలోచన కలుగుతుందో మొదలయిన భావాలను మనసులో ఉంచుకొని రాజు ముఖంమీదనే దృష్టి సారించి మెలగాలి.

5. అంతఃపుర మర్యాదచేవి?

జ. అంతః పురాలలో మాటలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది.

రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజానుగ్రహం లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఎంతగా రాజు గౌరవం పొందినా సరే ఇటువంటి కార్యములు మంచివికావు. రాజు గౌరవిస్తే పొంగిపోవటం, అవమానిస్తే కృంగిపోవటం మంచిదికాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

6. భాష్యభర్తృపదేశం పాఠ్యభాగ నేపథ్యమును వివరింపుము.

జ. అంతః పురాలలో మాటలను ఎప్పటికీ బయట పెట్టరాదు. ఇతరత్రా మరెక్కడయినా రాజుకు సంబంధించిన మాటలు వింటే ముందు ఆలోచించాలి. ఆ తరువాత రాజు వినదగినవయితే చెప్పాలి. భటుడికి అంతఃపురంతో సంబంధం మంచిదికాదు. అక్కడ తిరిగే గూనివారు, వామనులు, పరిచారికలు మొదలైన వారితో స్నేహం కీడు కలిగిస్తుంది. రాజు అనుగ్రహిస్తేనే ఆసనాలు అధిరోపించాలి. అట్లాగే వాహనాలు కూడా. రాజానుగ్రహం లేకుండా శ్రేష్ఠమైన ఆసనాలు వాహనాలను తమంతట తామే ఎన్నుకోరాదు. ఎంతగా రాజు గౌరవం పొందినా సరే ఇటువంటి కార్యములు మంచివికావు. రాజు గౌరవిస్తే పొంగిపోవటం, అవమానిస్తే కృంగిపోవటం మంచిదికాదు. ఆ రెండింటిని లెక్కచేయక వెనుకటి వలెనే రాజు దగ్గర ప్రవర్తించే సేవకులకు మంచి జరుగుతుంది. ఆపదలు తొలగిపోతాయి.

3.11 అభ్యాసం

1. ఈ క్రింది ప్రశ్నలకు సమాధానములు వ్రాయుము.

1. ఎట్టివానిని మూఢుడు అంటారు.
2. రాజు అనుగ్రహంతో చేయవలసిన పనులు ఏవి?

2. క్రింది పద్యమునకు ప్రతిపదార్థ తాత్పర్యములు వ్రాయుము.

- 1 ' ఎండకు వాన కోర్చి..... దత్తుర తంబని సేయుటొప్పుగున్

3. క్రింది వాటికి సందర్భ సహిత వ్యాఖ్యలు వ్రాయుము.

1. బురుషార్థంబునకు హాని పుట్టుకయున్నే?
2. మన్నన, గలుగువారికైనఁ గార్యమగునె?
3. మానినఁగాకేల కలుగు మానముబ్రదుకున్

4. క్రింది పదములను విడదీసి సంధినామములను వ్రాయుము.

1. కౌరవాన్వయము
2. పురుషార్థములు
3. వేషములాచరించు,
4. వేడక్కసేయు,
5. అట్లుసేయు,
6. అడ్డముసొచ్చి,
7. ఊరకయుండక,
8. ధారణీశుడు
9. మనుజేంద్రుడు,
10. కట్టెదుర,
11. అన్నరునకు.

5. క్రింది పదములకు సమాస నామములు, విగ్రహ వాక్యములు వ్రాయుము.

1. మానావమానములు,
2. అంతిపురము,
3. ఉత్తమాసనములు,
4. భూమిపాలుడు,
5. తనయిల్లు,
6. వైరుల దూతలు.

విద్యార్థులకు సూచనలు

నక్షత్రము గుర్తున్న పద్యములు కంఠస్తమ చేయవలెను.

పద్యముల నందలి అలంకారములు, ఛందస్సును గుర్తించవలెను.

యూనిట్ - 4

పలనాటి బెబ్బులి

శ్రీనాథుడు

4.1 ఉద్దేశం

ప్రజారక్షణ కోసం చేస్తున్న ప్రచున్న యుద్ధంలో బలపరాక్రమాదులు ఎలా ప్రదర్శించాలో వీరులకు ఎటువంటి లక్షణాలు ఉండాలో ఈ పాఠ్యాంశం తెలియజేస్తుంది.

4.2 పరిచయం

శ్రీనాథుడు 1385-1475 క్రీ.శ. కాలపు అగ్రగణ్యుడు. అనేక గ్రంథములను రచించిన మహాకవి. మారయ, భీమాంబలు ఈతని తల్లిదండ్రులు. తాత కమలనాభామాత్యుడు కాల్వట్టణాధీశ్వరుడు. శ్రీనాథుడు బాల్యమునుండి కవి పండితుడుగా ప్రఖ్యాతి పొందాడు. సకల విద్యాసనాథుడు, కవి సార్వభౌముడు, బ్రాహ్మీదత్త వరప్రసాదుడు, ఈశ్వరార్చన కళాశీలుడు. తెలుగులో శ్రీనాథుడంతటి ప్రజ్ఞావంతుడైన పండితకవి మరొకడు కానరాదు. వివిధ భాషా పండితులతో పాండిత్య గోష్టి జరిపినాడు. నానారాజు సందర్శనం గావించినాడు. విద్యాధికారిగా, బహు గ్రంథకర్తగా, విద్వత్కవిగా విఖ్యాతుడు. ఇతని రచనలు - 'మరుత్తరాట్పురిత్ర' 'శాలివాహన సప్తశతి', 'పండితారాధ్య చరిత్ర', 'భీమేశ్వర పురాణము', 'క్రీడాభిరామం, కాశీకాండము', 'శివరాత్రి మాహాత్మ్యము', 'శృంగార నైషధము' మొదలగునవి. పల్నాటి వీరచరిత్ర తెలుగులో మొదటి వీరగాథా కావ్యము. ఇది 'మంజరి ద్విపద' అనే దేశీయ ఛందస్సులో వ్రాయబడినది.

4.3 పాఠ్యభాగము

మణికట్లదునుమాడి మస్తకవితతి
ధరమీదనారంగంగ దట్టించినరకి
మో చేతు లెడచేసి ముక్కులు చెక్కి
ఫాలంబులంజింపి ప్రక్కలగోసి
దౌడలూగమాకి దండముల్ ద్రుంచి
కనుగ్రుడ్లు పగులంగ కర్ణముల్ వ్రాల
బలువైన రొమ్ములు పరియలుగాగ
తొడలెల్ల తునుకలై తూగాడుచుండ

తానువులూడంగ జంఘలువిరుగ
చీలలుపట్టేది చీకాకునొంద
ఈరీతి గొంతసే పీష్పిత మడర
అనుజులతో గూడ నని చేసిపిదప
దంతావళంబుల దట్టంబుచూచి

బాలుడుకోపంబు ప్రకటంబుగాగ
కొదమసింహము భంగి కుప్పించి యెగిరి
బలిమిమై కుంభముల్ పగులుగమోది
తొండముల్ తోకలు తునకలు సేసి
మావంతులనుగొట్టి మరణమెందించి

పైనున్నదొరలను పడిపోవపొడచి
దంతముల్ ముక్కులై ధరవ్రాలజిదిమి
చెవులను కత్తితో చీలికల్ చేసి
పిల్లదంతంబుల బెకలిచివైచి
ఘనపదంబుల దున్నికంఠముల్ నరికి

కొంతనేపిమ్మాడ్కి గురుశౌర్యమలర
 సమరంబు గావించి జవనాశ్వువితతి
 చక్కాడపైబడి సాహసగరిమ
 ఖడ్గకుంతంబులు కరములుబట్టి
 పైనున్న రాహుత్త పటలిని చంపి
 తొడిగినజోడంగి తుక్కుగజేసి
 సింగిణివిండ్లను చిదుకలొనర్చి
 బాణతూణీరముల్ భగ్గుముచేసి
 ఖడ్గఖేటకములు ఖండించిమించి
 మెడలురెండుగజేసి మేనులుచించి

యెదురు రొమ్ములలెన్న యీటెలగ్రుచ్చి
 కొంకులు తెగగొట్టి ఖరములుచెక్కి
 చాలసేపీగతి సమరంబొనర్చె
 బలమెల్లనీలాగు భంగంబునొంది
 కంఠముల్ దెగిపడ గ్రక్కుననురికి

సలగామరాజు సైన్యము కలతఁనొందుట

పడితన్ని కొనిచచ్చు బలసమూహంబు
 మస్తకంబులుపోయి మహిమీదమడిసి
 కన్నులు తెరచుచు గంతలువైచి
 ప్రాణముల్విడిచెడు వారునుమరియు
 పాదముల్ విరుగగ బవరంబుచేయ

పండ్లు గీటుచు నేలపై గూలువారు
 కరములుతునిసిన గత్తులు వదలి
 బాలునిగనివచ్చు భయదోగ్రభటులు
 ప్రేవులువెడలిన పెడచేతనెత్తి
 కడిమిచెబల్లెంబు గట్టిగా బట్టి

అహమహమికతోడ అరుదెంచగడిగి
సంచలింపనిదీర్ఘ సాహసఘనులు
మూల్గుచుచచ్చెడు మదియోధవరులు
బాలునికనుగొని భయమంది బెగడి
పారిపోయెడుపంద భట సమూహంబు

పారిపోవగలేక బ్రతుకుపైనాశ
బ్రతిమాలుచుండెడు బలనిచయంబు
లిటువంటి జగడంబు లెన్నడెరుంగ
మేలాగుపోదు మన్నేడ్చేడువారు

ఆలుబిడ్డలబాసి అన్నంబుకొరకు
వచ్చితిమీనేల వ్రాసెనుమృత్యు
పనిదుఃఖమొందుచు నసురుసురంచు
వేగమెప్రాణముల్ విడిచెడువారు
బహుదినంబులు మేము పాలేరుచేసి
మునికోల్లలెల్లను ముంజూర్లదోపి

పణతులుదిట్టిన పడకలేక వచ్చి
చచ్చుచునుంటమీ సమరరంగమున
పారిపోనిచ్చిన బ్రతుకుదుమయ్య
అని మ్రొక్కుచుండెడు అతిదీనభటులు
బోయవారము మేము పూర్వంబునందు
బుజముల కాయలు పూనికన్నొనుడి
పగవారుమముగని పారిపోవుదురు
మీకేమిభయమని మెలతనాగమ్మ
బాగుగా నమ్మించి పంపవచ్చితిమి
జీవముల్ దక్కిన చిన్నలగలిసి

బలుసాకుదినియైన బ్రతుకగగలము
 మీరుపిల్చినవేళ మేమరుదెంచు
 మనియంజలియొనర్చి యవమాన మొంది
 మగసిరి విడిచిన మానహీనులను
 వీలు చిక్కినరణ వీరులవదలి
 పోయెడునట్టి దుర్బుద్ధియుక్తులను
 చచ్చినవిధమున సమరోర్ధియందు
 పలుకకయూరక వ్రాలెడువారు
 చనలేకభయమున చచ్చిన వారి
 మీదద్రోసుక యుండి మెదలనివారు

చచ్చినగజముల చాటునడాగి
 పందతనంబున పడియుండువారు
 పెండ్లాలదలచుక బిట్టేడ్చువారు
 వల్మీకముల మీద వసియించువారు
 గడ్డిలోజొరబడి కదలనివారు
 వ్రేళ్ళుచీకెడువారు వెన్నిచ్చువారు
 వెండ్రుకల్ విప్పుక విదిలించువారు
 నీ వారమని పల్కి నిల్చుండవారు
 ఆయుధాల్ పడవైచి యలికెడువారు
 పడలేకచతికిలబడి యుండువారు

బవరంబులోగూలి ప్రాణజాలంబు
 విడిచియు ఖడ్గముల్ విడువనివారు
 భయదమైయిబ్బంగి పరికింపరాక
 సమరరంగము భయజనకమైయుండె

బాలచంద్రుడు శాత్రవబలంబులఁ జక్కాడుట

కొందరు విలుకాండ్రు గుంపులు గూడి
బహుబాణములు మీద బరపెడువేళ
తమ్ములనందర తగనిల్వజేసి
పరిఘమొక్కటిచేత పట్టుకతూరి
తనువునబాణముల్ దాకకుండంగ
భ్రమణనైపుణ్యంబు బల్విడిజూపి

పరతెంచువిశిఖముల్ పాయగొట్టుచును
ఖడ్గమాడించుచు గర్జలోనర్చి
అట్టహాసంబున నావిలుకాండ్ర
పైకేగిధనువుల భంగంబు చేసి
శింజనులెల్లను జిదురుపల్ చేసి

తూణముల్ శరములు తుమురుగా గొట్టి
చుట్టు పేరెమువారిశూరతమెరయ
పండతరిగినట్లు వడిమేను లెల్ల
ఖండించియము జేర గ్రక్కుననంపె
చొక్కచువ్వల వారు శూరత హెచ్చ

వంచుకపైకుర్కి వచ్చుటసూచి
బాలుడు వెసనార్చి పకపకనవ్వి
కమ్ములతోడు రాదంటయైతొడరి
కుప్పించిపైబడి గొడ్డండ్ల తోడ
చెరకులునరికిన చెలువుఘట్టిల్ల
అలుగులనీటెల నన్నింటిదునిమి

శూలంబులంబొడ్చి సురియల గ్రుమ్మి
గండ్రగొడ్డండ్రతో గనెలుగాగొట్టి
బాకులకొమ్ములు పరియలుచేసి
గదలచేశిరముల గడునుగ్గొనర్చి

బాధించిపొట్టల పటిమచేజించి
కత్తుల మేనులు కండలుడుచ్చి
పంపించెజముజూడ బలములనెల్ల
సంగ్రామ మీరితి జరిగిన వేళ
పారిరి మిగిలిన బంటులు గూడి
ఆవేశ నరసింగు అధిక కోపమున

పారిపోవుచున్న సైన్యమునకు నరసింహ భూపతి ధైర్యవాక్యములు చెప్పుట

పారెడువారికి బలుకంగసాగె
విరిగిపోవుట యిట్లువీరధర్మంబె
బాలురకనుగొని పరువిడనేల
మిమ్ముగాచీనవారి మేలెత్తజింప

బలిమిమీనరములఁ బారురక్తంబు
రాజాన్నవర్ధిత రక్తంబుగాదె
ధూర్తులైన్యపునకు ద్రోహంబొనర్చి
నమ్మినరాజును నట్టేటముంచీ
పోవుటయేనీతి పుణ్యాత్ములారా

తనువులస్థిరములు ధనములుకల్ల
కీర్తియొక్కటి భువిఖిలముగాకుండు
ధైర్యహీనత వీరధర్మంబుమాని
భంగురంబై మలభాండమైనట్టి
దేహంబుకొరకు సత్కీర్తిపోనాడి
విరిగిపోయెడునట్టి వెల్లులుగలరె

వీరసింహములకు వినుతినిగాంచు
సమరరంగంబులే సంచారవనులు
చచ్చినబ్రతికిన సౌఖ్యమచ్చటనే

బుద్ధులుచెడి పాఠిపోవుదురేని
భుక్తియుక్తులు రెండుపొవునుదొలంగి
ననుబాసిపోవుట న్యాయంబుగాదు
తప్పునామరణంబు తలచెడిపార
మృత్యుదేవతవచ్చి మేనులనిల్చె
బంటుపంతంబులే పారిపోవుటలు

పరికింపపెండ్లికి వచ్చుటలేదు
సమరకార్యమునకై చనుదెంచి నాము
వచ్చినకార్యంబు వరదలోగలివి
బంధులుమిత్రులు పగవారునవ్వ
పోవుట నీచతపుట్టదన్నంబు
పోవద్దురాజాన పోయితిరేని
అనియిట్లుపల్కిన ఆబలంబెల్ల
పారిపోవకరోష భరితమై నిల్చె
బాలచంద్రుండంత భ్రాతలగూడి

నలగామ రాజు సైన్యంబు బాలచంద్రునిపైఁ గవయుట

అట్టహాసముచేసె అరిసేనలపుడు
జడిసిగుండెలు వ్రీల చలనంబునొంది
ధైర్యంబువహించి దర్పముల్మీర
కదలుచక్రంబులు గండ్రగొడ్డండ్లు
పెద్దవిసురియలు భిండివాలములు
బల్లెముల్కుంతముల్ పరుశూలచయము
కొనికరంబుల తీవ్రకోపులై వచ్చి

మిడుతలుమంటపై మిడిపివడ్డట్లు
బాలునిదాకిరి భయధూరులగుచు
విక్రమాటోపత వెలసిబాలుండు

జలధిలోమందర శైలంబుతిరిగి
కలకనొందించిన కైవడిమీరి
కాలాగ్నిలోకముల్ కాచించినట్లు
దవవప్పివిపినంబు దారొన్నభంగి
మనుజులలోమారి మరిగినరీతి
శత్రుపైన్యంబుపై చయ్యనగదిసి

వారుప్రయోగించు వరశస్త్రవితతి
బహువిధంబులద్రుంచె భంగముగాక
ఒకబంటునొకకాలు నొయ్యనబట్టి
యొకబంటుతొడవట్టి హుంకరించుచును
ఇద్దరముగ్గుర నేకకాలమున

కుంతంబులంజిమ్మి కూలజేయుచును
బాణంబులంగ్రుచ్చి పట్టియెత్తుచును
కత్తులతోతలల్ గట్టిగానరకి
ప్రయ్యలైతనువులు వసుధపైబడగ
కడిదేశములయందు కత్తులవేయ

తునకలైభూస్థలి దొరుగుచునుండె
కుంతంబులెడ గ్రుమ్మికూల్చెడువేళ
నెత్తురుభూమిపై నిండుగపారె
ఎదురులేక సమరమీగతిచెల్ల
కనుగొనినరసింగు కంపంబుగదుర
తలయూచిశ్రీహరి దలచినెమ్మదిని
వ్రేలిడిముక్కుపై వెరగందికుంది.

4.4 పాఠ్యభాగ పరిచయం

తెలుగులో మొట్టమొదటి వీరగాథా కావ్యము పల్నాటి వీరచరిత్ర. అందరూ చదువుకొనేందుకుగాను పల్నాటి వీర చరిత్రలోని 'కల్లు ప్రతిష్ఠ, బాలచంద్రుని యుద్ధము అనే భాగాలను మంజరీద్వీపంలో రచించాడు. భారతకథకు పల్నాటి యుద్ధ కథకు పెక్కు పోలికలుండుటచే దీనిని పల్నాటి భారతము అని కూడా వ్యవహరించడం కద్దు. ఆర్యులకు భారతమెట్టిదో ఆంధ్రులకు పల్నాటి వీరచరిత్ర అట్టిది. బాలచంద్రుని కథను భారతము నందలి అభిమన్యుని కథతో పోలుస్తారు. బాలచంద్రుని తండ్రి బ్రహ్మనాయుడు. తల్లి ఐతాంబ ఈ దంపతులకు లేకలేక కలిగిన సంతానం బాలచంద్రుడు. ఇతని భార్య మాంచాలా, ఈమె వీరనారి.

యుద్ధ రంగంలో బాలచంద్రుని యొక్క పరాక్రమాన్ని వర్ణించడం ఈ పాఠంలో వివరించబడింది.

4.5 కఠిన పదాలకు అర్థాలు

ధర	=	భూమి
ఒదగంగా	=	పడిపోయినట్లు
ఫాలంబు	=	నుదురు
త్రుంచి	=	ముక్కలు చేసి (నాశనం చేసి)
కర్ణములు	=	చెవులు
రీతి	=	విధము
దంతావళంబులు	=	పళ్ళభాగము (దంతములు గల ఏనుగులు)
ప్రకటించు	=	ప్రకటించే విధం - ప్రకటన
భంగి	=	విధము
బలిమి	=	బలం
మావంతులు	=	మావటులు (ఏనుగును నడిపేవారు)
ఖడ్గము	=	కత్తి
సమరంబు	=	యుద్ధం
కుంతంబులు	=	బల్లెములు

జవనాశ్వము	=	మేలైన పరుగెత్తగల గుఱ్ఱము
సింగిణీవిండ్ల	=	బాణములు
బాణతూణీరములు	=	అమ్ములతో కూడిన పొది
మేనులు	=	శరీరాలు
యీటెలు	=	ఈటెలు (ఒక రకమైన ఆయుధం)
ఖురములుచే	=	డెక్కలు
కంఠములు	=	కంఠములు (గొంతుభాగం)
సమూహంబు	=	గుంపులు
మహి	=	భూమి
కరములు	=	చేతులు
కడిమి	=	మిక్కిలి
అవమహమిక	=	నువ్వా? నేనా?
యోధవరులు	=	వీరులైన వారు
జగడంబు	=	యుద్ధం
సమరాంగణము	=	యుద్ధభూమి
జీవములు	=	ప్రాణములు
సమరోర్వియందు	=	యుద్ధ భూమియందు
దుర్బుద్ధి	=	చెడు ఆలోచన
యుక్తులు	=	ఉపాయాలు
చనలేక	=	వెళ్ళలేక
గజములు	=	ఏనుగులు
వల్మీకములు	=	పుట్టలు
చొరబడి	=	ప్రవేశించి
బవరంబు	=	యుద్ధభూమిలో
విడువని	=	వదలని

సమరము	=	యుద్ధం
భయదము + అయి + భంగి	=	భయం గొలిపేటట్లు
విలుకాండ్రు	=	విల్లు ధరించి పోరాడేవారు
ధనువు	=	ధనస్సు (విల్లు)
(శింజినులు + ఎల్లు)		
శింజినులెల్లు	=	వింటినారి
శరీరములు	=	బాణములు
తుమురు	=	ముక్కలు
శూరతము	=	పరాక్రమము
శిరములు	=	తలలు
సంగ్రామము	=	యుద్ధము
పారిరి	=	పారిపోయెరు
బంటులు	=	సేవకులు, భటులు
ధూర్తులు	=	దుర్మార్గులు
అస్థిరములు	=	స్థిరము కానిది
కల్ల	=	అబద్ధం, అశాశ్వతం
రాజాన్య వర్ధితం	=	రాజు వలన కలిగినది
మేలు + త్యజింప	=	మంచిన వదిలేసి
భంగురం	=	అశాశ్వతమైనది.
దైర్యహీనత	=	దైర్యం లేకపోవటం
దేహంబు	=	శరీరం
భాండము	=	కుండ(నిండినది)
(సత్ + కీర్తి) సత్కీర్తి	=	గొప్పదైన పేరు ఖ్యాతి

వెల్లులు	=	వెర్రివారు, మూర్ఖులు
సౌఖ్యము	=	సుఖము
భుక్తి	=	ఆహారం
ముక్తి	=	మోక్షం
బాసిపోవుట	=	వదిలివెళ్ళటం
బంటులు	=	సేవకులు
పంతంబు	=	పని కార్యము
నీచ	=	నీచమైన
ఆబలంబెల్ల	=	సైనికులు (బలగములు)
రోషభరితమై	=	కోపం కలిగినవారై
అరిసేనలు	=	శత్రు సైన్యం
ఖండివాలములు	=	సూది మొన కలిగిన ఈటె
కుంతముల్	=	బల్లెము
పరుశూలచయము	=	శూలములు
దావహిన్ని	=	అడవికార్చిచ్చు
విపినంబు	=	అడవి
భంగి	=	విధముగా
చయ్యనగదిపి	=	ఎదుర్కొని
ద్రుంచె	=	నాశనం చేసే
కుంతంబులం	=	బల్లెము
తునకులు	=	ముక్కలు
భూస్థలి	=	భూమిపై ప్రదేశము
సమరము	=	యుద్ధం

4.6 సందర్భ సహిత వ్యాఖ్యాలు

1. కనుగ్రుడ్లు పగులంగ కర్ణములు వ్రాల

కవిపరిచయం: ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగం నుండి స్వీకరింపబడింది.

సందర్భం: యుద్ధ రంగమున బాలచంద్రుడు చేస్తున్న వీర విహారమునకు శత్రువుల యొక్క శరీర భాగములు ముక్కలవుతున్న వని కవి వివరిస్తున్న సందర్భం.

భావం: కనుగ్రుడ్లు పగిలిపోయి చెవుల వరకు వ్రాలిపోయినవని భావం.

2. విరిగిపోవుట యిట్లు వీరధర్మంబె

కవిపరిచయం: ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగమునుండి స్వీకరింపబడినది.

సందర్భం: బాలచంద్రుని పోరాట పటిమకు భయమంది నరసింహ భూపతి సైన్యం పారిపోవటం చూసి తన సైన్యమునకు ధైర్యం కలిగెట్ట పౌరషపు పలుకులు పలుకుతున్న సందర్భం

భావం: పారిపోవటం వీర ధర్మం కాదు

3. 'మిమ్ము గాచిన వారి మేలెత్తజింప

కవిపరిచయం: ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగంనుండి స్వీకరింపబడింది.

సందర్భం: నరసింహభూపతి సమర భూమిని వీడి భయంతో పారిపోతున్న తన సైన్యమునకు ధైర్య వాక్యాలు చెబుతున్న సందర్భం.

భావం : 'మిమ్మల్ని పోషిస్తున్న వారి మేలును వదిలేసి' వెళ్ళడం ధర్మంకాదు అని భావం.

4. తనువుల స్థిరములు ధనములు కల్ల

కవిపరిచయం : ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగంనుండి స్వీకరింపబడింది.

సందర్భం : నరసింహభూపతి సమర భూమిని వీడి భయంతో పారిపోతున్న తన సైన్యమునకు ధైర్య వాక్యాలు చెబుతున్న సందర్భం.

భావం : శరీరములు స్థిరమైనవి కావు. ఏనాటికైనా నశించేవే. సిరిసంపదలు అశాశ్వతములే అని భావం.

5. ' కీర్తి యొక్కటి భవినిఖిలముగాకుండు

కవిపరిచయం : ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర ' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగంనుండి స్వీకరింపబడింది.

సందర్భం : బాలచంద్రుని యుద్ధ ధాటికి సమర రంగాన్ని వీడి వెనుతిరిగిపోతున్న సైన్యమును చూసి నరసింహభూపతి ధైర్య వనచనములు చెప్పు సందర్భం.

భావం : కీర్తి ఒక్కటే ఈ భూమి మీది శాశ్వతంగా నిలుస్తుంది. మిగిలినవన్నీ అశాశ్వతములేనని భావం.

6. పెండ్లాల దలచుక బిట్టేడ్చువారు

కవిపరిచయం : ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర ' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగంనుండి స్వీకరింపబడింది.

సందర్భం : బాలచంద్రుని యుద్ధ ధాటికి సమర రంగమును వీడి వెనుతిరిగిపోతున్న సైన్యమును చూసి నరసింహభూపతి ధైర్య వనచనములు చెప్పు సందర్భం.

భావం : వివాహితులు తన భార్యను తలచుకొని విచారిస్తున్నారని భావము

7. చచ్చిన బ్రతికిన సౌఖ్యమచ్చటనే

కవిపరిచయం : ఈ వాక్యం 15 వ శతాబ్దానికి చెందిన కవి సార్వభౌముడు 'శ్రీనాథ' మహాకవిచే రచింపబడిన 'పలనాటి వీరచరిత్ర ' అనే గ్రంథము నుండి గ్రహింపబడిన 'పలనాటి బెబ్బలి' అనే పాఠ్యభాగం నుండి స్వీకరింపబడింది.

సందర్భం : బాలచంద్రుని యుద్ధ ధాటికి సమర రంగాన్ని వీడి వెనుతిరిగిపోతున్న సైన్యమును చూసి నరసింహభూపతి ధైర్య వనచనములు చెప్పు సందర్భం.

భావం : నరసింహభూపతి, వీరులు.... చచ్చినా బ్రతికినా యుద్ధరంగమునే.....అని తన సైన్యమునకు ధైర్యము చెప్పుట.

4.7 పాఠ్యభాగం సారాంశం

బాలచంద్రుడు ఆంధ్ర అభిమన్యుడని పేరు గాంచిన గొప్ప వీరుడు. బ్రహ్మనాయుని కుమారుడు. భారత వీరులలో సుప్రసిద్ధమయిన అభిమన్యునితో పోల్చదగినవాడు.

పాఠ్యాంశమునకు ముందుగా కొంత పలనాటి వీరచరిత్రను రేఖామాత్రంగా తెలుసుకోవలసిన అవసరం ఉంది. ఈ కావ్య కథలో గురజాలను రాజధానిగా చేసుకొని అనుగురాజు పల్నాటి రాజ్యాన్ని పాలించేవాడు. ఇతనికి ముగ్గురు భార్యలు. వీరవిద్యాదేవి, భూరమాదేవి, మైలమాదేవి. ఇతనికి మొదటి భార్య అయిన వీరవిద్యాదేవి వలన పెదమల్లదేవుడు.. పినమల్లదేవుడు, బాలమల్లదేవుడు అను ముగ్గురును, రెండవ భార్య అయిన భూరమాదేవికి “కామరాజు. నరసింహరాజు, జెట్టిరాజు పెరుమాళ్ళరాజు” అను నలుగురును. మూడవ భార్య అయిన మైలమాదేవికి నలగామరాజును, బిడ్డలుగా జన్మించిరి. నలగాముడే అందరి కన్నా పెద్దవాడు. అనుగురాజు తన మరణ కాల సమయమున తన కుమారులు చిన్నవారగుటచే వెలమ వీరుడైన, శీలవంతుడయిన బ్రహ్మనాయుని కప్పగించి వారిని పెద్దవారిని చేయమని కోరినాడు. అంతవరకు మంత్రిగా ఉంటూ రాజ్యవ్యవహారములు పర్యవేక్షించమని వేడుకొన్నాడు. వీరందరిని కంటికి రెప్ప వలే చూసుకొంటూ బ్రహ్మనాయుడు రాజ్యపాలనము చేయసాగెను. అతనిని పలనాటి ప్రజలు పలనాటి కృష్ణుడని కొనియాడేవారు. అభ్యుదయ భావాలతో బ్రహ్మనాయుడు ‘చాపకూడు’, దళితులకు ఆలయ ప్రవేశము కల్పించుట వంటి సంఘ సంస్కరణ కార్యక్రమాలు చేపట్టినాడు. మతావలంబులైనవారు అతని ధోరణి నచ్చక కొందరు దాయాదులతో కలసి నాగాంబ అను ఆమె సహాయమును కోరెను. ఆమె తన రాజకీయ తంత్రములతో కొన్నాళ్ళకు గురజాలకు మంత్రిణిగా విచ్చేసినది. ఆనాటి నుంచి బ్రహ్మనాయుడు, నాగాంబుల మధ్య రాజకీయ ప్రచ్ఛనయుద్ధము కొనసాగింది. బ్రహ్మనాయుని భార్య ఐతాంబకు కలిగిన ఏకైక సంతానము బాలచంద్రుడు. ఒకానొక సందర్భములో నాగాంబ ఏర్పాటు చేసిన కోడి పందెములు వలన బ్రహ్మనాయుని కోడిపుంజు ఓడిపోయినది. ఈ కారణంగా దాయాదుల మధ్య యుద్ధం అనివార్య మయెను. యుద్ధములో భాగంగా బాలచంద్రుడు యుద్ధ భూమిలో ప్రవేశించినాడు. కొద్దికాలము క్రితమే వీరమాంచాలతో వివాహితుడైనందున బాలచంద్రుడు యుద్ధభూమికి వెళ్ళకుండా ఉండేందుకు తల్లిదండ్రులు ప్రయత్నము చేసి విఫలమయిరి.

బాలుడైన బాలచంద్రుడు యుద్ధ రంగమున ప్రవేశించి శత్రు సైన్యము పాలిట యముని లాగా విజృంభించినాడు. అతని పరాక్రమానికి నరసింహ భూపతి సైన్యము

భయపడి పారిపోసాగింది. చేత మణికట్లను నరికివేసి భూమీద్ద పడేటట్లుగా, మోచేతులు మడచి ముక్కలు ముక్కలుగా చేస్తూ, నుదుటి భాగాలు కత్తివేటకు వికృతంగా మారిపోతూ కనుగ్రుడ్లు వెలుపలకు వచ్చి చెవుల వరకు వ్రేలాడుతూ ఉన్నాయి. బరువయిన రొమ్ములు చిద్రం అవుతున్నాయి. తొడలు ముక్కలు అవుతున్నాయి. నడుములు విరుగుతున్నాయి. ఈ విధంగా భీకరమైన వాతావరణం నెలకొని ఉంది. ఆ సమయంలో అనుచరులతో వచ్చిన బాలచంద్రుడు కొదమ సింహంలాగా కుప్పించి ఎగిరి ఏనుగుల కుంభ స్థలములను నాశనం చేస్తున్నాడు. తోకలు, తొండములను ముక్కలు చేస్తున్నాడు. ఏనుగులను నడుపుతున్న మావటలను సంహరించుచూ, ఏనుగులనధిరోహించిన దొరలు క్రింద పడగానే వారి కంఠాలను కత్తిరిస్తున్నాడు. ఈ విధంగా కొంతసేపు, గొప్ప శౌర్యముతో, తను అధిరోహించిన మేలు జాతి అశ్వపు గొప్పదైన పరుగుతో శత్రువుల యొక్క వీరత్వాన్ని నాశనం చేసాడు. శత్రువుల కత్తులను, బాణములను, శరీరములను తుత్తునియులుగా చేసాడు. కత్తులను ముక్కలు చేస్తూ, శత్రువుల మెడలను రెండుగా విరిచేస్తూ రొమ్ములో యీటిలను గ్రుచ్చి, శత్రు బలగం యొక్క బలాన్ని భగ్నం చేసి తనదైన రీతిలో యుద్ధం చేస్తున్నాడు.

నలగామ రాజు సైన్యం కలత చెందడం : బలవంతులైనవారు తన సైనికులు బాలచంద్రునితో తలపడలేక గుంపులుగా చనిపోతూ భూమీద్ద పడిపోతున్నారు. కన్నులు తెరిచే మరణించిన వారు కొందరు. పాదములు విరిగి నేలపై పడిపోతున్నారు. చేతులు తెగిపడినవారు. కొందరు నువ్వా నేనా అను విధంగా యుద్ధము చేస్తున్నటువంటి సాహసవంతులున్నారు. చలించని వీరత్వముతో యుద్ధం చేస్తున్న వయసు మళ్ళినవారు బాలుడి యొక్క సాహసమునకు ఆశ్చర్యపోతున్నారు. కొందరు భటులు భయపడిపారిపోసాగారు. బ్రతుకపై ఆశతో పారిపోలేక కొందరు తమను విడువమని బ్రతిమాలు కోసాగారు. ఇటువంటి యుద్ధం ఎన్నడూ చూడలేదని కొందరు విస్మయం పొందుతున్నారు. ఆలుబిడ్డలను వదిలేసి అన్నం కోసం వచ్చిన జీతగాళ్ళు తమకు మృత్యువు దాపురించిందని విచారించసాగారు. ఎంతోకాలంగా పాలేరు పనిచేస్తున్నవారు తమ ఆడువారు చెప్పిన మాటలు విని యుద్ధమునకు వచ్చామని అవకాశమిస్తే పారిపోతామని వేడుకోసాగారు. భుజబలంతో ఉన్న మిమ్ములను చూసి శత్రువులు భయంతో పారిపోతారని నాగమ్మ చెప్పిన మాటలు విని యుద్ధానికి వచ్చామని కొందరు బాధపడసాగారు. ప్రాణాలు దక్కితే చాలని వేడుకున్నారు. బ్రతికుంటే బలుసాకు తిని బ్రతుకుతామని, మీరు ఎప్పుడు పిలిస్తే అప్పుడు వచ్చి మీకు సహాయం చేయగలమని కొందరు చేతులు జోడించి ప్రార్థించసాగారు. పౌరుషం విడిచిన మానహీనులు, భయంతో చచ్చినవారి లాగా

పడియుండినవారు, అదుగు ముందుకు వేయలేక బిక్కచచ్చినవారు, చనిపోయిన వారి శరీరాలను మీద వేసుకొని ప్రాణాలను నిలుపుకొనే ప్రయత్నం చేస్తూ కొందరు, చచ్చిన ఏనుగుల మాటున దాగినవారు కొందరు, అవివాహిత యువత ఆవేదనను తమలోనే దాచుకొని వేదన చెందుతున్నారు. పుట్టల ప్రక్కన దాక్కున్నవారు కొందరు, గడ్డివాములోని దూరి కొందరు ప్రాణములను రక్షించుకోసాగారు. వ్రేళ్ళు చీకెడివారు, వెన్ను చూపిన వారు కొందరు. ప్రాణములు విడిచినా కూడా చేత కత్తిని విడువని వారు ఇంకొందరు. ఇలా భయానకమైన యుద్ధ రంగమును చూచి నలగాముడు కలతచెంద సాగాడు.

బాలచంద్రుడు తన యుద్ధ సైన్యమును ప్రదర్శించుట : బాలచంద్రుడు తన దగ్గర ఉన్న అస్త్రములతో యుద్ధ రంగమున తన యొక్క వీరత్వమును ప్రదర్శించెను. కొంతమంది విల్లంబులు ధరించినవారు అతనిపై శరములు వేస్తుండుగా వాటిని తన వద్దనున్న వాడియైన కత్తితో నాశనం చేస్తూనే, వారి తూజీరములను నాశనం చేసాడు. భ్రమణ సైన్యంతో కత్తి యుద్ధం చేస్తున్నాడు. గర్జన చేస్తూ, తలలను త్రుంచి వేసాడు. ధనుస్సులు విరిగేటట్లు చేసాడు. అందరూ తనను కేంద్రంగా చేసుకొని తన పైకి వస్తున్న శత్రు భటుల యొక్క తలలను నరుకుతున్నాడు. తనపై బాణాలు వేస్తున్న వారిని శూలముతో పొడిచాడు. గండ్రగొడ్డలితో వారిని ముక్కలు చేస్తున్నాడు. బాకులను రొమ్ములలో గ్రుచ్చుతున్నాడు. గదతో శిరములను విరగ్గడుతున్నాడు. కత్తులతో వారి శరీరాలను మ్రుక్కలు చేస్తున్నాడు. వారిని యమపురికి పంపిస్తున్నాడు. ఇలా భీకరంగా యుద్ధం చేస్తున్న బాలచంద్రుని నిపుణతకు, ఉగ్రరూపానికి భయపడిపారిపోతున్న భటులను సమీపించి నరసింహభూపతి వారికి ధైర్య వచనాలు చెప్పసాగాడు.

నరసింహభూపతి ధైర్య వాక్యములు చెప్పడం: పారిపోతున్న సైన్యమును నిలువరించి “ ఈ బాలుని చూసి ఇలా పారిపోవడం వీర ధర్మమేనా? మిమ్ము నమ్మిన వారి మేలును వదిలి వేస్తారా? మీ బలము, మీ నరాల్లో ప్రవహించే రక్తం రాజు యిచ్చిన ఆహారముతో కలిగింది కదా! యుద్ధానికి భయపడి రాజుకు ద్రోహం చేస్తారా? నమ్మిన రాజును నట్టేట ముంచి పారిపోవటం ఏ రకమైన నీతి. ఓ సైనికులారా! జీవితం అశాశ్వతం. సంపద భ్రమ. కీర్తి ఒక్కటే భూమ్మీద కలకాలం నిలిచి ఉంటుంది. పిరికితనంతో వీరధర్మమును వదలి, మలినమైన ఈ శరీరం కొరకు తపన ఎందుకు? ఇందుకోసం సత్కీర్తిని వదులుకుంటారా? వీరులైన వారికి యుద్ధరంగమే చక్కని వేదిక. చచ్చినా, బ్రతికినా అక్కడే ! భయపడి పారిపోయిన్నంత మాత్రమున మరణం తప్పిపోతుందా? పిరికివారి లక్షణమే పారిపోవటం. మనమంతా పెళ్ళికి రాలేదు. యుద్ధ రంగానికి వచ్చాము. వెన్నుచూపి పారిపోతే బంధువులు, శత్రువులు కూడా నవ్విపోతారు. ఇటువంటి నీచపు

పుట్టుక వ్యర్థం. పారిపోవద్దు. ఇది రాజాజ్ఞ సుమీ! అనే పరుష వాక్యాలు తన సైనికుల్లో పొరుషాన్ని నింపాయి. వారు బాలచంద్రునిపై రెట్టించిన పరామ్రుకమముతో విరుచుకుపడి యుద్ధం చేశారు.

నలగామరాజు సైన్యం బాలచంద్రునిపై పడుట : అట్టహాసంగా శత్రుసైన్యం ఎదుటవారి గుండెలు అదురునట్లుగా, మిక్కిలి ధైర్యముతో గండ్రగొడ్డలు, పెద్ద శూలములు, బల్లెములు, కత్తులు, పరుశువులతో మిడుతల దండు వచ్చినట్లుగా, భయము వదలి బాలుడైన బాలచంద్రునిపై పడి సముద్రంలో మంధర పర్వతం తిరిగిన విధంగా, కాలాగ్ని లోకములను కాల్చినట్లుగా యుద్ధ రంగమున అగ్నిజ్వాల ప్రజ్వరిల్లినట్లు శత్రుసైన్యంబుపై బాలచంద్రుడు పడి వారు ప్రయోగించిన అస్త్ర, శస్త్రములను వివిధ రీతులో నాశనం చేయిసాగాడు. ఒక బంటు కాలు పట్టుకొని, మరొక బంటును తొడవట్టి హంకరించుచు, ఇద్దరు ముగ్గురిని ఏకకాలమున చంపివేస్తూ, బాణంబులు గ్రుచ్చి, కత్తితో తలలు నరికి, ముక్కలైన వారి శరీరములు భూమీద్ద పడేటట్లు చేస్తున్నాడు. నెత్తురు భూమిపై ఏరుల వలే ప్రవహించింది. ఎదురు లేకుండా సాగుతున్న యుద్ధము నరసింహునిలో భయాన్ని కలిగించింది.

4.8 వ్యాసరూప ప్రశ్నలు

1 పలనాటి బెబ్బలి కథా సారాంశాన్ని వివరించండి.

జ. బాలచంద్రుడు ఆంధ్ర అభిమన్యుడని పేరు గాంచిన గొప్ప వీరుడు. బ్రహ్మనాయుని కుమారుడు. భారత వీరులలో సుప్రసిద్ధమయిన అభిమన్యునితో పోల్చదగినవాడు.

పాఠ్యాంశమునకు ముందుగా కొంత పలనాటి వీరచరిత్రను రేఖామాత్రంగా తెలుసుకోవలసిన అవసరం ఉంది. ఈ కావ్య కథలో గురజాలను రాజధానిగా చేసుకొని అనుగురాజు పల్నాటి రాజ్యాన్ని పాలించసాగెను. ఇతనికి ముగ్గురు భార్యలు. వీరవిద్యాదేవి, భూరమాదేవి, మైలమాదేవి. ఇతనికి మొదటి భార్య అయిన వీరవిద్యాదేవి వలన పెదమల్లదేవుడు.. పినమల్లదేవుడు, బాలమల్లదేవుడు అను ముగ్గురును, రెండవ భార్య అయిన భూరమాదేవికి “కామరాజు. నరసింహరాజు, జెట్టిరాజు పెరుమాళ్ళరాజు” అను నలుగురును. మూడవ భార్య అయిన మైలమాదేవికి నలగామరాజును, బిడ్డలుగా జన్మించిరి. నలగాముడే అందరి కన్నా పెద్దవాడు. అనుగురాజు తన మరణ కాల సమయమున తన కుమారులు చిన్నవారగుటచే వెలమ వీరుడైన, శీలవంతుడయిన బ్రహ్మనాయుని కప్పగించి వారిని పెద్దవారిని చేయమని కోరినాడు. అంతవరకు మంత్రిగా ఉంటూ రాజ్యవ్యవహారములు పర్యవేక్షించమని వేడుకొన్నాడు. వీరందరిని కంటికి రెప్ప వలే చూసుకొంటూ బ్రహ్మనాయుడు రాజ్యపాలనము చేయసాగెను. అతనిని పలనాటి

ప్రజలు వలనాటి కృష్ణుడని కొనియాడేవారు. అభ్యుదయ భావాలతో బ్రహ్మనాయుడు 'చాపకూడు', దళితులకు ఆలయ ప్రవేశము కల్పించుట వంటి సంఘ సంస్కరణ కార్యక్రమాలు చేపట్టినాడు. మతావలంబులైనవారు అతని ధోరణి నచ్చక కొందరు దాయాదులతో కలసి నాగాంబ అను ఆమె సహాయం కోరింది. ఆమె తన రాజకీయ తంత్రములతో కొన్నాళ్ళకు గురజాలకు మంత్రిణిగా విచ్చేసింది. ఆనాటి నుంచి బ్రహ్మనాయుడు, నాగాంబుల మధ్య రాజకీయ ప్రచ్ఛనయుద్ధము కొనసాగింది. బ్రహ్మనాయుని భార్య ఐతాంబకు కలిగిన ఏకైక సంతానము బాలచంద్రుడు. ఒకానొక సందర్భములో నాగాంబ ఏర్పాటు చేసిన కోడి పందెములు వలన బ్రహ్మనాయుని కోడిపుంజు ఓడిపోయింది. ఈ కారణంగా దాయాదుల మధ్య యుద్ధం అనివార్య మైంది. యుద్ధములో భాగంగా బాలచంద్రుడు యుద్ధ భూమిలో ప్రవేశించినాడు. కొద్దికాలము క్రితమే వీరమాంచాలతో వివాహితుడైనందున బాలచంద్రుడు యుద్ధభూమికి వెళ్ళకుండా ఉండేందుకు తల్లిదండ్రులు ప్రయత్నం చేసి విఫలమైనారు.

బాలుడైనా బాలచంద్రుడు యుద్ధ రంగమున ప్రవేశించి శత్రు సైన్యము పాలిట కాలుడు వలే విజృంభించినాడు. అతని పరాక్రమునకు నరసింహ భూపతి సైన్యము భయపడి పారిపోసాగెను. చేత మణికట్లను నరికివేసి భూమీద్ పడేటట్లుగా, మోచేతులు మడచి ముక్కలు ముక్కలుగా చేస్తూ, నుదుటి భాగాలు కత్తివేటకు వికృతంగా మారిపోతున్నాయి. కనుగ్రుడ్లు వెలువలకు వచ్చి చెవుల వరకు వ్రేలాడుతున్నాయి. బరువయిన రొమ్మలు చిద్రం అవుతున్నాయి. నడుములు విరుగుతున్నాయి. ఈ విధంగా భీకరమైన వాతావరణం నెలకొని ఉంది. ఆ సమయంలో అనుచరులతో వచ్చిన బాలచంద్రుడు కొదమ సింహంలాగా కుప్పించి ఎగిరి ఏనుగుల కుంభ స్థలాలను నాశనం చేస్తున్నాడు. తోకలు, తొండాలను ముక్కలు చేస్తున్నాడు. ఏనుగులను నడుపుతున్న మావటులను సంహరిస్తూ, ఏనుగులనధిరోహించిన దొరలు క్రింద పడగానే వారి కంఠాలను కత్తిరిస్తున్నాడు. ఈ విధంగా కొంతసేపు, గొప్ప శౌర్యముతో, తను అధిరోహించిన మేలు జాతి అశ్వపు గొప్పదైన పరుగుతో శత్రువుల యొక్క వీరత్వాన్ని నాశనం చేసాడు. శత్రువుల కత్తులను, బాణాలను, శరీరాలను తుత్తునియులుగా చేసాడు. కత్తులను ముక్కలు చేస్తూ, శత్రువుల మెడలను రెండుగా విరిచేస్తూ, రొమ్ములో ఈటలను గ్రుచ్చి, శత్రు బలగం యొక్క బలాన్ని భగ్నం చేసి తనదైన రీతిలో యుద్ధం చేస్తున్నాడు.

నలగామ రాజు సైన్యం కలత చెందుట : బలవంతులైనవారు తన సైనికులు బాలచంద్రునితో తలపడలేక గుంపులుగా చనిపోతూ భూమీద్ పడిపోతున్నారు. కన్నులు

తెరిచే మరణించిన వారు కొందరు. కాళ్ళువిరిగి నేలపై పడిపోతున్నారు. చేతులు తెగిపడినవారు. కొందరు నువ్వా నేనా అనే విధంగా యుద్ధము చేస్తున్నటువంటి సాహసవంతులున్నారు. చలించని వీరత్వముతో యుద్ధం చేస్తున్న వయసు మళ్ళినవారు బాలుడి యొక్క సాహసమునకు ఆశ్చర్యపోతున్నారు. కొందరు భటులు భయపడిపారిపోసాగారు. బ్రతుకపై ఆశతో పారిపోలేక కొందరు తమను విడువమని బ్రతిమాలు కోసాగారు. ఇటువంటి యుద్ధం ఎన్నడూ చూడలేదని కొందరు విస్మయం పొందుతున్నారు. అలుబిడ్డలను వదిలేసి అన్నం కోసం వచ్చిన జీతగాళ్ళు తమకు మృత్యువు దాపురించిందని విచారించసాగారు. ఎంతోకాలంగా పాలేరు పనిచేస్తున్నవారు తమ అడువారు చెప్పిన మాటలు విని యుద్ధమునకు వచ్చామని, అవకాశమిస్తే పారిపోతామని వేడుకోసాగారు. భుజబలంతో ఉన్న మిమ్ములను చూసి శత్రువులు భయంతో పారిపోతారని నాగమ్మ చెప్పిన మాటలు విని యుద్ధానికి వచ్చామని కొందరు బాధపడసాగారు. ప్రాణాలు దక్కితే చాలని వేడుకున్నారు. బ్రతికుంటే బలుసాకు తిని బ్రతుకుతామని, మీరు ఎప్పుడు పిలిస్తే అప్పుడు వచ్చి మీకు సహాయం చేయగలమని కొందరు చేతులు జోడించి ప్రార్థించసాగారు. పౌరుషం విడిచిన మానహీనులు, భయంతో చచ్చినవారు వలె పడియుండినవారు, అడుగు ముందుకు వేయలేక బిక్కచచ్చినవారు, చనిపోయిన వారి దేహములను మీద వేసుకొని ప్రాణములును నిలుపుకొనే ప్రయత్నం చేస్తున్నా కొందరు, చచ్చిన ఏనుగుల మాటున దాగినవారు కొందరు, అవివాహిత యువత ఆవేదనను తమలోనే దాచుకొని వేదన చెందుతున్నారు. పుట్టల ప్రక్కన దాక్కున్నవారు కొందరు, గడ్డివాములోని దూరి కొందరు ప్రాణములను రక్షించుకోసాగారు. వెన్ను చూపిన వారు కొందరు. ప్రాణములు విడిచినా కూడా చేత కత్తిని విడువని వారు ఇంకొందరు. ఇలా భయానకమైన యుద్ధ రంగమును చూచి నలగాముడు కలతచెంద సాగాడు.

బాలచంద్రుడు తన యుద్ధ నైపుణ్యమును ప్రదర్శించుట : బాలచంద్రుడు తన దగ్గర ఉన్న అస్త్రములతో యుద్ధ రంగంలో తన యొక్క వీరత్వమును ప్రదర్శించాడు. కొంతమంది విల్లంబులు ధరించినవారు అతనిపై బాణాలు వేస్తుండుగా వాటిని తన వద్దనున్న పదునైన కత్తితో నాశనం చేస్తూనే, వాటిని నాశనం చేసాడు. భ్రమణ నైపుణ్యంతో కత్తి యుద్ధం చేస్తున్నాడు. గర్జన చేస్తూ, తలలను త్రుంచి వేసాడు. ధనుస్సులు విరిగేటట్లు చేసాడు. అందరూ తనను కేంద్రంగా చేసుకొని తన పైకి వస్తున్న శత్రు భటుల యొక్క తలలను నరుకుతున్నాడు. తనపై బాణాలు వేస్తున్న వారిని శూలంతో పొడిచాడు. గండ్రగొడ్డలితో వారిని ముక్కలు చేస్తున్నాడు. బాకులను రొమ్ముల్లో గ్రుచ్చుతున్నాడు. గదతో తలలను

కొడుతున్నాడు. కత్తులతో వారి శరీరాలను మ్రుక్కలు చేస్తున్నాడు. వారిని యమపురికి పంపిస్తున్నాడు. ఇలా భీకరంగా యుద్ధం చేస్తున్న బాలచంద్రుని నిపుణతకు, ఉగ్రరూపానికి భయపడిపారిపోతున్న భటులను సమీపించి నరసింహభూపతి వారికి ఇలా ధైర్య వచనాలు పలికాడు.

నరసింహభూపతి ధైర్య వాక్యములు చెప్పడం: పారిపోతున్న సైన్యమును నిలువరించి “ఈ బాలుని చూసి ఇలా పారిపోవడం వీర ధర్మమేనా? మిమ్ము నమ్మిన వారి మేలును వదిలి వేస్తారా? మీ బలము, మీ నరములలో ప్రవహించే రక్తం రాజు యిచ్చిన ఆహారముతో కలిగినది కదా! యుద్ధానికి భయపడి రాజుకు ద్రోహం చేస్తారా? నమ్మిన రాజును నట్టేట ముంచి పారిపోవటం ఏ రకమైన నీతి. ఓ సైనికులారా! జీవితం అశాశ్వతం. సంపద భ్రమ. కీర్తి ఒక్కటే భూమ్మీద కలకాలం నిలిచి ఉంటుంది. పిరికితనంతో వీరధర్మమును వదలి, మలినమైన ఈ శరీరం కొరకు తపన ఎందుకు? ఇందుకోసం సత్పీఠిని వదులుకుంటారా? వీరులైన వారికి యుద్ధరంగమే చక్కని వేదిక. చచ్చినా, బ్రతికినా అక్కడే ! భయపడి పారిపోయిన్నంత మాత్రమున మరణం తప్పిపోతుందా? పిరికివారి లక్షణమే పారిపోవటం. మనమంతా పెళ్ళికి రాలేదు. యుద్ధ రంగానికి వచ్చాము. వెన్నుచూపి పారిపోతే బంధువులు, శత్రువులు కూడా నవ్విపోతారు. ఇటువంటి నీచపు పుట్టుక వ్యర్థం. పారిపోవద్దు. ఇది రాజాజ్ఞ సుమీ! అనే పరుష వాక్యాలు తన సైనికుల్లో పౌరుషాన్ని నింపాయి. వారు బాలచంద్రునిపై రెట్టించిన పరామ్రుకమముతో విరుచుకుపడి యుద్ధం చేసినారు.

నలగామరాజు సైన్యం బాలచంద్రునిపై పడుట : అట్టహాసంగా శత్రుసైన్యం ఎదుటవారి గుండెలు అదిరేటట్లుగా, మిక్కిలి ధైర్యంతో గండ్రగొడ్డకట్టు, పెద్ద చూలాలు, బల్లెములు, కత్తులు, పరుశువులతో మిడుతల దండు వచ్చినట్లుగా, భయము వదలి బాలుడైన బాలచంద్రునిపై పడి సముద్రమున మంధర పర్వతము తిరుగు విధంగా, కాలాగ్ని లోకములను కాల్చినట్లుగా యుద్ధ రంగమున అగ్నిజ్వాల ప్రజ్వలిల్లైనా అన్నట్లుగా శత్రుసైన్యంపై బాలచంద్రుడు పడి, వారు ప్రయోగించిన అస్త్ర, శస్త్రములను వివిధ రీతులో నాశనం చేయిసాగాడు. ఒక బంటు కాలు పట్టుకొని, మరొక బంటును తొడపట్టి హంకరించుచు, ఇద్దరు ముగ్గురిని ఏకకాలమున చంపివేస్తూ, బాణంబులు గ్రుచ్చి, కత్తితో తలలు నరికి, ముక్కలైన వారి శరీరములు భూమ్మీద పడేటట్లు చేస్తున్నాడు. నెత్తురు భూమిపై ఏరుల వలే ప్రవహించింది. ఎదురు లేకుండా సాగుతున్న యుద్ధము నరసింహునిలో భయాన్ని కలిగించింది.

2. బాలచంద్రుని పరాక్రమమును వివరింపుము?

జ. బాలుడైనా బాలచంద్రుడు యుద్ధ రంగమున శత్రు సైన్యము పాలిట యమునిలాగా విజృంభించాడు. అతని పరాక్రమానికి నరసింహ భూపతి సైన్యం భయపడి పారిపోసాగింది. చేత మణికట్లను నరికివేసి భూమీద పడేటట్లుగా, మోచేతులు మడచి ముక్కులు ముక్కులుగా చేస్తూ, నుదిటి భాగాలు కత్తివేటకు వికృతంగా మారిపోతున్నాయి. కనుగ్రుడ్లు వెలుపలకు వచ్చి చెవుల వరకు వ్రేలాడుతున్నాయి. బరువయిన రొమ్ములు చిద్రం అవుతున్నాయి. నడుములు విరుగుతున్నాయి. ఈ విధంగా భీకరమైన వాతావరణం నెలకొని ఉంది. ఆ సమయంలో అనుచరులతో వచ్చిన బాలచంద్రుడు కొదమ సింహంలాగా కుప్పించి ఎగిరి ఏనుగుల కుంభ స్థలములను నాశనం చేస్తున్నాడు. తోకలు, తొండములను ముక్కులు చేస్తున్నాడు. ఏనుగులను నడుపుతున్న మావటులను సంహరించుచూ, ఏనుగులనధిరోహించిన దొరలు క్రింద పడగానే వారి కంఠాలను కత్తిరిస్తున్నాడు. ఈ విధంగా కొంతసేపు, గొప్ప శౌర్యంతో, తను అధిరోహించిన మేలు జాతి అశ్వపు గొప్పదైన పరుగుతో శత్రువుల యొక్క వీరత్వాన్ని నాశనం చేశాడు. శత్రువుల కత్తులను, బాణాలను, శరీరాలను తుత్తునియులుగా చేసాడు. కత్తులను ముక్కులు చేస్తూ, శత్రువుల మెడలను రెండుగా విరిచేస్తూ రొమ్ములో ఈటెలను గ్రుచ్చి, శత్రు బలగం యొక్క బలాన్ని భంగం చేసి తనదైన రీతిలో యుద్ధం చేస్తున్నాడు.

3. నలగామరాజు ధైర్యమును తెలియజేయండి.

జ. బాలచంద్రుడు అరవీర పరాక్రమంతో యుద్ధరంగంలో చెలరేగాడు. నలగాముని సైన్యం అతని పరాక్రమము ధాటికి తట్టుకోలేక పారిపోసాగింది. ఆ సందర్భంలో నలగామ రాజు, అతని సైన్యం కలత చెందింది. నలగాముని యొక్క ధైర్యమును కవి ఈ సందర్భంగా ఇలా వివరించాడు. బలవంతులైనవారు తన సైనికులు బాలచంద్రునితో తలపడలేక గుంపులుగా చనిపోతూ భూమీద పడిపోతున్నారు. కన్నులు తెరిచే మరణించిన వారు కొందరు, పాదములు విరిగి నేలపై పడిపోతున్నారు. చేతులు తెగిపడినవారు, కొందరు నువ్వా నేనా అను విధంగా యుద్ధము చేస్తున్నటువంటి సాహసవంతులున్నారు. చలించని వీరత్వంతో యుద్ధం చేస్తున్న వయసు మళ్ళినవారు బాలుడి యొక్క సాహసానికి ఆశ్చర్యపోతున్నారు. కొందరు భటులు భయపడిపారిపోసాగారు. బ్రతుకపై ఆశతో పారిపోలేక కొందరు తమను విడిచిపెట్టమని బ్రతిమాలు కోసాగారు. ఇటువంటి యుద్ధం ఎన్నడూ చూడలేదని కొందరు విస్మయం పొందుతున్నారు. ఆలుబిడ్డలను వదిలేసి అన్నం కోసం వచ్చిన జీతగాళ్ళు తమకు మృత్యువు దాపురించిందని విచారించసాగారు.

ఎంతోకాలంగా పాలేరు పనిచేస్తున్నవారు తమ భార్యలు చెప్పిన మాటలు విని యుద్ధమునకు వచ్చామని, అవకాశమిస్తే పారిపోతామని వేడుకోసాగారు. భుజబలంతో ఉన్న మమ్ములను చూసి శత్రువులు భయంతో పారిపోతారని నాగమ్మ చెప్పిన మాటలు విని యుద్ధానికి వచ్చామని కొందరు బాధపడసాగారు. ప్రాణాలు దక్కితే చాలని వేడుకున్నారు. బ్రతికుంటే బలుసాకు తిని బ్రతుకుతామని, మీరు ఎప్పుడు పిలిస్తే అప్పుడు వచ్చి మీకు సహాయం చేయగలమని కొందరు చేతులు జోడించి ప్రార్థించసాగారు. పౌరుషం విడిచిన మానహీనులు, భయంతో చచ్చినవారిలాగా పడిపోయినవారు, అడుగు ముందుకు వేయలేక బిక్కుచచ్చినవారు, చనిపోయిన వారి శరారాలను మీద వేసుకొని ప్రాణములను నిలుపుకొనే ప్రయత్నం చేస్తున్నా కొందరు, చచ్చిన ఏనుగుల మాటున దాగినవారు కొందరు, అవివాహిత యువత ఆవేదనను తమలోనే దాచుకొని వేదన చెందుతున్నారు. పుట్టల ప్రక్కన దాక్కొన్నవారు కొందరు, గడ్డివాములోని దూరి కొందరు ప్రాణములను రక్షించుకోసాగారు. వెన్ను చూపిన వారు కొందరు. ప్రాణములు విడిచినా కూడా చేత కత్తిని విడువని వారు ఇంకొందరు. ఇలా భయానకమైన యుద్ధ రంగమును చూచి నలగాముడు కలతచెంద సాగాడు.

4.9 సంగ్రహ ప్రశ్నలు

1. శ్రీనాథుని గూర్చి రాయండి.

జ. శ్రీనాథుడు 1385-1475 క్రీ.శ. కాలపు ఆగర్భకవి. మారయ, భీమాంబలు ఇతని తల్లిదండ్రులు. తాత కమలనాభామాత్యుడు కాల్పట్టణాధీశ్వరుడు. శ్రీనాథుడు బాల్యమునే కవి పండితుడుగా ప్రఖ్యాతి పొందాడు. సకల విద్యాసనాధుడు. కవిసార్వభౌముడు. బ్రాహ్మదత్త వరప్రసాదుడు. ఈశ్వరార్చన కళాశీలుడు. తెలుగులో శ్రీనాథుడంతటి ప్రజ్ఞావంతుడైన పండితకవి మరొకడు కానరాదు. ఈ కవి వివిధ భాషా పండితులతో పాండిత్య గోష్టి జరిపినాడు. వివిధ ప్రాంతాలను దర్శించాడు. విద్యాధికారిగా, బహు గ్రంథకర్తగా, విద్వత్కవిగా ఇతడు ప్రసిద్ధి. ఇతని రచనలు - మరుత్తరాట్మరిత్ర, శాలివాహన సప్తశతి, పండితారాధ్య చరిత్ర, భీమేశ్వర పురాణము, క్రీడాభిరామం కాశీఖండము, శివరాత్రి మహాత్మ్యము, శృంగార నైషధము, పల్నాటి వీరచరిత్ర. తెలుగులో మొదటి వీరగాథాకావ్యము. పలనాటి వీరచరిత్ర మంజరి ద్విపదలో వ్రాయబడినది.

2. నలగామరాజు ఎందుకు కలత చెందాడు?

జ. బలవంతులైనవారు తన సైనికులు బాలచంద్రునితో తలపడలేక గుంపులుగా చనిపోతూ భూమీద్ధ పడిపోతున్నారు. కన్నులు తెరిచే మరణించిన వారు కొందరు.

పాదములు విరిగి నేలపై పడిపోతున్నారు. చేతులు తెగిపడినవారు. కొందరు నువ్వా నేనా అను విధంగా యుద్ధము చేస్తున్నటువంటి సాహసవంతులున్నారు. చలించని వీరత్వముతో యుద్ధం చేస్తున్న వయసు మళ్ళినవారు బాలుడి యొక్క సాహసానికి ఆశ్చర్యపోతున్నారు. కొందరు భటులు భయపడిపారిపోసాగారు. బ్రతుకపై ఆశతో పారిపోలేక కొందరు తమను విడువమని బ్రతిమాలు కోసాగారు. ఇటువంటి యుద్ధం ఎన్నడూ చూడలేదని కొందరు విస్మయం పొందుతున్నారు. అలుబిడ్డలను వదిలేసి అన్నం కోసం వచ్చిన జీతగాళ్ళు తమకు మృత్యువు దాపురించిందని విచారించసాగారు. ఎంతోకాలంగా పాలేరు పనిచేస్తున్నవారు తమ ఆడువారు చెప్పిన మాటలు విని యుద్ధమునకు వచ్చామని అవకాశమిస్తే పారిపోతామని వేడుకోసాగారు. భుజబలంతో ఉన్న మమ్ములను చూసి శత్రువులు భయంతో పారిపోతారని నాగమ్మ చెప్పిన మాటలు విని యుద్ధానికి వచ్చామని కొందరు బాధపడసాగారు. ప్రాణాలు దక్కితే చాలని వేడుకున్నారు. బ్రతికుంటే బలుసాకు తిని బ్రతుకుతామని, మీరు ఎప్పుడు పిలిస్తే అప్పుడు వచ్చి మీకు సహాయం చేయగలమని కొందరు చేతులు జోడించి ప్రార్థించసాగారు. పౌరుషం విడిచిన మానహీనులు, భయంతో చచ్చినవారు వలె పడియుండినవారు, అడుగు ముందుకు వేయలేక బిక్కచచ్చినవారు, చనిపోయిన వారి దేహములను మీద వేసుకొని ప్రాణములను నిలుపుకొనే ప్రయత్నం చేస్తున్నా కొందరు, చచ్చిన ఏనుగుల మాటున దాగినవారు కొందరు, అవివాహిత యువత ఆవేదనను తమలోనే దాచుకొని వేదన చెందుతున్నారు. పుట్టల ప్రక్కన దాక్కొన్నవారు కొందరు, గడ్డివాములోని దూరి కొందరు ప్రాణములను రక్షించుకోసాగారు. వ్రేళ్ళు చీకెడివారు, వెన్న చూపిన వారు కొందరు. ప్రాణములు విడిచినా కూడా చేతి కత్తిని విడువని వారు ఇంకొందరు. ఇలా భయానకమైన యుద్ధ రంగాన్ని చూసి నలగాముడు కలతచెంద సాగాడు.

3. నరసింహభూపతి సైన్యమునకు చెప్పిన ధైర్య వచనములు ఏవి?

జ. పారిపోతున్న సైన్యాన్ని ఆపి “ఈ బాలుని చూసి ఇలా పారిపోవడం వీర ధర్మమేనా? మిమ్ము నమ్మిన వారి మేలును వదిలి వేస్తారా? మీ బలము, మీ నరములలో ప్రవహించు రక్తము రాజు యిచ్చిన ఆహారముతో కలిగినది కదా! యుద్ధానికి భయపడి రాజుకు ద్రోహం చేస్తారా? నమ్మిన రాజును నట్టేట ముంచి పారిపోవటం ఏ రకమైన నీతి. ఓ సైనికులారా! జీవితం అశాశ్వతం. సంపద భ్రమ. కీర్తి ఒక్కటే భూమీద కలకాలం నిలిచి ఉంటుంది. పిరికితనంతో వీరధర్మమును వదలి, మలినమైన ఈ శరీరం కొరకు తపన ఎందుకు? ఇందుకోసం సతీర్థిని వదులుకుంటారా? వీరులైన వారికి యుద్ధరంగమే

చక్కని వేదిక. చచ్చినా, బ్రతికినా అక్కడే ! భయపడి పారిపోయిన్నంత మాత్రమున మరణం తప్పిపోతుందా? పిరికివారి లక్షణమే పారిపోవటం. మనమంతా పెళ్ళికి రాలేదు. యుద్ధ రంగానికి వచ్చాము. వెన్నుచూపి పారిపోతే బంధువులు, శత్రువులు కూడా నవ్విపోతారు. ఇటువంటి నీచపు పుట్టుక వ్యర్థం. పారిపోవద్దు. ఇది రాజాజ్ఞ సుమీ! అనే పరుష వాక్యాలు తన సైనికుల్లో పౌరుషాన్ని నింపాయి. వారు బాలచంద్రునిపై రెట్టించిన పరాక్రమముతో విరుచుకుపడి యుద్ధం చేసినారు.

4. బాలచంద్రుని తల్లిదండ్రులెవరు? వారిని గూర్చి వ్రాయుము.

జ. బ్రహ్మనాయుని భార్య ఐతాంబకు కలిగిన ఏకైక సంతానము బాలచంద్రుడు. ఒకానొక సందర్భములో నాగాంబ ఏర్పాటు చేసిన కోడి పండేల వల్ల బ్రహ్మనాయుని కోడిపుంజు ఓడిపోయినది. ఈ కారణంగా దాయాదుల మధ్య యుద్ధం అనివార్య మయెను. యుద్ధములో భాగంగా బాలచంద్రుడు యుద్ధ భూమిలో ప్రవేశించినాడు. కొద్దికాలము క్రితమే వీరమాంచాలతో వివాహితుడైనందున బాలచంద్రుడు యుద్ధభూమికి వెళ్ళకుండా ఉండేందుకు తల్లిదండ్రులు ప్రయత్నము చేసి విఫలమయిరి.

5. పలనాటి బెబ్బులి పాత్రభాగ సారాంశాన్ని సంక్షిప్తంగా రాయండి.

జ. శ్రీనాథుడు తన పలనాటి వీరచరిత్రలో బాలచంద్రుని యొక్క వీర పరాక్రమమును అద్భుతంగా వర్ణించిన ఘట్టము “పలనాటి బెబ్బులి” పాత్రభాగం. బాలచంద్రుడు ఆంధ్ర అభిమన్యుడని పేరుగాంచిన గొప్ప వీరుడు. ఇతడు బ్రహ్మ నాయుని కుమారుడు. భారత వీరులలో సుప్రసిద్ధమైన అభిమన్యునితో పోల్చదగ్గవాడు. యుద్ధరంగంలో బాలచంద్రుని పోరాట పటిమను, పరాక్రమ స్ఫూర్తి ఈ పాఠ్యాంశములో కనిపిస్తుంది.

4.10 అభ్యాసం

సంగ్రహరూప ప్రశ్నలు

1. శ్రీనాథుని ఇతర రచనలు ఏవి?
2. నలగామరాజు ఎందుకు విచారించెను.

సందర్భ సహిత వ్యాక్యాలు

1. కన్నులు తెరుచుచు గంతులు వైచి

యూనిట్ - 5

సీతారావణ సంవాదం

- మొల్ల

5.0 ఉద్దేశం

దుర్మార్గునికి- సన్మార్గునికి గల తేడాను ఈ పాఠ్యాంశం ద్వారా నేర్చుకుంటారు.

5.1 కవియిత్రి పరిచయం

‘తేనె సోక నోరు తీయనగురీతి, తోడనర్థమెల్ల’ తోచునట్లు తేట తెలుగు మాటలతో రామాయణాన్ని వ్రాసి, కీర్తి గడించిన మొదటి తెలుగు కవియిత్రి మొల్ల. ఆతుకూరి కేసన కుమార్తె. గోపవరపు శ్రీకంఠమల్లేశు వరము చేత కవిత్వం చెప్పడం నేర్చుకుంది. 16 వ శతాబ్దానికి చెందిన ఏకావ్రునాథుడు ‘సిద్ధేశ్వర చరిత్ర’ అనే తన గ్రంథంలో ఈమెను గురించిన ప్రస్తావన చేసాడు. ఈమె రామభక్తురాలు. తన జీవితాన్ని రామాంకింతం చేసింది. ఈమె కవిత్వంలో దేశీయపదాలు, తెలుగు పదాలు, తత్సమ పదాలతో కూడి రసభావచమత్కారాలతో అలరారుతూ రసస్ఫూర్తిని కలిగిస్తాయి.

5.2 పాఠ్యభాగము

వ. ఆ రాముం జూచి, శ్రీరామచంద్రుని దేవినిగాఁ దలంపుచు, నగ్గోపురంబునుండి
డిగ్గి, సూక్ష్మరూపంబుఁ గైకొని, శింశుపా వృక్షం బారోహించి యందు 40
సీ. పతిఁ బాసినట్టి యాపదల కంటెఁ బలుమాఱు
వివిధ మాయల చేత వేఁగి వేఁగి
వీరదానవ కోటి వికృత వేషంబులు
కనుగొని చిత్తంబు క్రాంగి క్రాంగి
తన దిక్కు లేమికి! దలపోసి తలపోసి
లోలోన మిక్కిలి లోఁగి లోఁగి

కర్ణ కఠోరంబుగా నాడు మాటలఁ

దొరఁగెడి కన్నీటఁ దోఁగి తోఁగి

ఆ. రాముఁ దలఁచు కొంచు, రామునిఁ బేర్పొంచు,

రామ!రామ! యనుచు రమణి పలుకఁ

గపివరుండు సూచి కామినీ రత్నంబు

సీతయనుచు బొంగెఁ జిత్తమందు

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వ. అట్టి సమయంబున రావణాసురుండు సీతాపహృత హృదయుండై పన్నీట మజ్జనంబాడి, దివ్యాంబరంబులు గట్టుకొని, కర్పూర సమ్మిళితంబైన శ్రీగంధంబునెఱి పూత పూసి, పారిజాత పుష్పంబులు ముడిచి, మవ్వంపు దాని నివ్వటిలైదు జవ్వాది మెత్తి దశశిరంబులయందును రత్న మకుటుంబులు ధరించి, మణిమండి తంబులగు కుండలములు పూని, భాను ప్రభా విలసితంబులగు పతకంబులను, ముక్తాహారంబులను, భుజకీర్తులను, బాహు పురులను, నంగుళీయంబులును, నవరత్న స్థగితంబగునొడ్డాణం బునునమరించి, చంద్రహాసహస్తంబై, కందర్పవిలాస సుందరుండగుచు, గిన్నర కింపురుష గంధర్వామ రోరగ సిద్ధ విద్యాధరాంగనలుభయ పార్శ్వంబుల నాలవట్టంబులు పట్టి, మౌక్తికచ్ఛత్రంబులను, దాళవృంతంబులను, వింజామరంబులును ధరించి రాఁగొందఱు కరదీపికా సహస్రంబులు గైకొని, ముందఱఁ బిఱుందనేతేర, నశో కారామంబునకుఁ జనుదెంచె, నప్పుడు గంధ వాతూలంబునం దూలు పుష్పలతయునుం బోలె వడవడ వడంకుచు, దన సుందరాంగంబులు, హస్తోరు వస్త్రకేశంబుల, మాటియుఁ, గప్పియు, నడంచియు, నివురు గప్పిన నిప్పుచందంబున, ధూళి ధూసరంబగు రత్నంబుకైవడి, మేఘచ్ఛన్నంబగు చంద్ర బింబంబు డంబున, నిత్తడి పొదిగిన కుందనంపు శలాక లాగున, మాటుపడియున్న జానకిని గదిసి

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రావణుడు మదనాతురుండై సీతను బ్రార్థించుట

క. సీతను గనుకొని రావణుఁ

డాతత నయ వాక్య ఫణితి నతి కుతుకమునన్

తేజోభవ నిశి తాంబక

పాతంబులఁ జాల నొచ్చి పలుకఁగ జొచ్చెన్.

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లయగ్రాహి తోయజ దళాక్షి! వలరాయండిటు లేచిపటు
 సాయకము లేర్చి యిపు డేయంగ దొడంగెన్
 దోయద పథంబున నమేయ రుచితోడ నుడు
 రాయండును మంచి వడం గాయంగం గడంగెన్
 గోయిలలుం గీరములుం గూయగ నళి ప్రజము
 లే యెడలం జూచినను మ్రోయుచుం జెలంగెన్
 నాయెడం గృపా రసము సేయ కవి వేకమున
 నీ యెడల నుండు టిది న్యాయమె లతాంగీ!

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వ. అని మఱియును

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సీ. అల కేశ్వరుం డుపాయనముగా నిచ్చిన
 యంచిత చీనిచీనాంబరములు
 దివిజాధినాథుండు దిన దినంబును నిచ్చు
 పారిజా తోల్ల సత్ప్రసవములును
 దక్షిణాధీశుండు తగం గాన్మలంపిన
 సురభి కర్పూరాది పరిమళములుం
 బాతాళముననుండి ఫణి సార్వభౌముండు
 పుత్తైంచినటువంటి భూషణములు

తే. గలవు నాయుంటనే ప్రొద్దుం గడమ లేక,
 దేహ పరితృప్తి గావించి మోహ మలరం
 గాము కేళి సుఖంబులం గలయుటొప్పు
 విడువు మడియాస రామ భూవిభుని మీద

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సీ. ఎవ్వని వీటికి నేడు వారాసులు
 పెట్టని కోటలై పెచ్చు పెరుగు
 లెవ్వని సేవింతు రింద్రాది దేవత
 లనుచర బలు లయి యను దినంబు,
 నెవ్వని చెఱసాల నే ప్రొద్దు నుందురు
 గంధర్వ సురయక్ష గరుడ కాంత,
 లెవ్వని భండార మిరవొంద విలసిల్లు
 నవ విధానంబుల వివిధ భంగి

తే. సకల లోకంబులును మహాత్మాహ వృత్తి
నెవ్వనికి జెల్లు బుప్పుకమ్మెక్కి తిరుగ,
నాకె తక్కుంగ గలదె యే నాటనైన?
మద్భుజా శక్తి ప్రతి పోల్ప నద్భుతంబు 47

సీ. శ్వసనుండు లోగిలి సమ్మార్జనము జేయ
నట్టి నాథుడు కలయంపి సల్లం
బావకుం డారుదెంచి పాకంబు లొనరింప
శమనుండు వెసం బరిచర్యజేయ
బాకారి కల్పక ప్రకరంబు లర్పింప
దనుజేశ్వరుండు కైదండ యిడంగ
నరవాహనుండు తా నగరి వెచ్చము వెట్ట
నీశానుండు విభూతి నెలమి నీయ

తే. గురుండు పంచాంగ మెప్పుడు సరవిం జెప్ప
నమర కిన్నర గంధర్వయక్ష భుజగ
సిద్ధకింపురు షాంగనల్ చేరి కొలువ
వైభవంబున జెలు వొందువాడం దరుణి! 48

ఉ. ఎత్తితి శంక రాచల మహీన బలంబున బంతి లాగునన్
మొత్తితి సర్వ దిక్పతుల మూంగిన గర్వము విచ్చి పాఱంగా
నొత్తితి శత్రు భూపతుల నుగ్రగ్రణంబున భూమిం ద్రెళ్ళంగా
మొత్తితి భోగి కంఠము లమోఘజవంబున మేటి కీర్తులన్ 49

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- చ. అని పవనాత్మజుండు దివిజారి పయిందెగ వేళగాదు, భూ
 తనయకు నాదురాక, వసుధా వరుమేలు నెఱుంగఁ జెప్పి మీ
 దను మఱి చూతమంచు నుచిత స్థితి సూరకయుండెనప్పుడా
 దనుజ విభుండు వోయె నిజ ధామముఁజేర సతీసమేతుండై 83
- వ. అప్పుడు యామీనీచర కామినులు రావణానుమతంబున ననేక విధంబులగు
 మధురా రాలాపంబుల మిథిలాధీశు కుమారిం గుఱించి బోధించి, కార్యంబు
 సాధింపనోపక, యలసి యుంటంజేసి యొక్కింతసేపు నిద్రించుచుండ, మేల్కొని
 త్రిజటయను నిశాచరి యిట్లనియె 84

త్రిజటా స్వప్న వృత్తాంతము

- మ. కలగంటిన్ వినుఁ డింతులార! మనలంకా ద్వీపమీయబ్ధిలో
పలవ్రాలన్, మన రావణేశ్వరుని శుంభద్రత్ను కోటీరముల్
కలనన్ గూల రఘూద్వహుండెలమితో గంధేభమున్నెక్కి
యుజ్జుల కాంతిన్ విలసిల్లు సీతఁగొనిపోవన్మిన్నకే నిప్పుడే 85
- క. శుదాత్ముడైన రాముడు
శుద్ధాంతపు దేవిఁగాన శుభసూచకముల్
సిద్ధ మయితోఁంచు చున్నవి
సిద్ధం బీమాట వేద సిద్ధాంతముగాన్ 86
- క. కావున నిక్కోమలి యెడఁ
గావలి యున్నట్టి మీరు కఠినోక్తులుగా
నేవియు నాడకుఁ డిక నీ
దేవియ రక్షింప మనకు దిక్కు గు మీఁదన్ 87

5.3 పాఠ్యభాగ పరిచయం

రావణునిచే సీతాపహరణ జరిగిన తరువాత సీతాన్వేషణలో రామలక్ష్మణులకు సుగ్రీవునితో స్నేహం ఏర్పడడం, వారి వధానంతరం సుగ్రీవుడు తన వానర సైన్యాన్ని నాలుగు దిక్కులకు పంపి సీత జాడ తెలుసుకొని రమ్మంటాడు. ఈ కార్యంలో భాగంగా లంకానగరంలో వెతకమని అంజనేయుని పంపిస్తాడు. అతడు లంకానగరం చేరి సీతను వెదుకుతాడు. ఒకచోట రామ నామస్మరణ వినిపిస్తుంది. అశోకవనంలో ఉన్న సీత చేస్తున్న స్మరణ అది. అక్కడకు చేరుకుంటాడు. సూక్ష్మరూపంలో ఒక వృక్ష శిఖరాగ్రమున దాక్కుంటాడు. ఇంతలో రావణుడు దాసదాసీ జనంతో వచ్చి సీతతో సంభాషించిన సందర్భంలో సీతారావణుల మధ్య జరిగిన సంవాదమే ఈ పాఠ్యభాగం.

ఈ పాఠ్యభాగము కవయిత్రి మొల్ల రచించిన మొల్ల రామాయణంలోని సుందరకాండ, ప్రథమాశ్వాసం నుండి గ్రహింపబడినది.

5.4 కఠిన పదాలకు అర్థాలు

శింశుపా వృక్షము	=	అశోక వృక్షము
సూక్ష్మరూపంబు	=	చిన్నదయిన రూపము
బాసినట్టి	=	విడిచిన దగ్గరనుంచి

వివిధ	=	అనేక
వేగివేగి	=	వేదనపడి
క్రాగి క్రాగి	=	మదనపడి
దానవకోటి	=	రాక్షసుల సమూహము
చిత్తంబు	=	మనసు
లేమి	=	లేకపోవుట
కర్ణకఠోరంబుగా	=	చెవికి వినసొంపుగా లేని
రమణి	=	స్త్రీ (సీత)
కపివరుండు	=	కోతి (హనుమ)
కామినీ రత్నంబు	=	స్త్రీలలో రత్నము వంటి (సీత)
దివ్యాంబరములు	=	దివ్యమయిన బట్టలు (దుస్తులు)
భాను ప్రభ	=	సూర్యకాంతి
మకుటము	=	కిరీటం
ముక్తాహారములు	=	ముత్యాలదండలు
అంగుళీయము	=	ఉంగరము
మౌక్షికములు	=	ముత్యాలు
ఛత్రము	=	గొడుగు
గైకొని	=	పట్టుకొని
చనుదెంచె	=	వెళ్ళెను
గంధవాతూలంబు	=	పెనుగాలి
నివురు	=	బూడిద
మేఘచ్ఛన్నంబు	=	మేఘములచే కప్పబడిన
నిశితాంబక	=	వాడి అయిన బాణము
పాతంబుల	=	కురియుట (వేయుట)
పలుకగ	=	పలికెను (చెప్పసాగెను)
వలరాయుడు	=	మన్మథుడు
ఉడురాయుడు	=	చంద్రుడు
కృపారసము	=	కరణరసం (దయ)
దివిజాధినాథుండు	=	ఇంద్రుడు

ఫణిసార్వభౌముడు	=	సర్పములకు రాజు - నాగరాజు
దేహము	=	శరీరం
రామభూవిభుడు	=	శ్రీరాముడు
అనుదినంబు	=	ప్రతీరోజు
బలులయి	=	సేవకులై
భండారము	=	కోశాగారము
లోకంబులు	=	లోకములు
అభినాథుడు	=	సముద్రుడు
శ్వసనుండు	=	వాయుదేవుడు (గాలి)
పావకుండు	=	అగ్ని
శమనుండు	=	గాలి (వాయువు)
నరవాహనుండు	=	కుబేరుడు (ఇతని వాహనం నరుడు)
వెచ్చములు	=	ఖర్బులు
అంగనల్	=	స్త్రీలు
తరుణి	=	స్త్రీ
శంకారచల	=	కైలాసం (శివుడు ఉండే పర్వతం)
భూపతులు	=	రాజులు
రణంబు	=	యుద్ధం
ఘోరదుర్గమ్ములు	=	భయంకరమైన అరణ్యాలు
జలధి	=	సముద్రం
త్రోవ	=	దారి
దానవులు	=	రాక్షసులు
జగతి	=	జగత్తు
నగధరుడో	=	కృష్ణుడు (కొండను చిటికెను వ్రేలుపై ఎత్తినవాడు)
నగధన్యుడో	=	శివుడు (కొండను ధనువుగా కలిగినవాడు)

ప్రతిపదార్థ తాత్పర్యములు

- 1 వీరాలాపము లాదనేల వినుమీ, విశ్వప్రకాశంబుగాఁ
బారావారముఁగట్టి, రాఘవుడు కోపస్ఫూర్తిదీపింపఁగా
ఘోరాజిన్ ననుదాసి, లావు కలిమిన్ గోటీర యుక్తంబుగాఁ
గ్రూరాస్తంబుల మస్తముల్ దునిమి, భుక్తుల్ పెటు భూతాళికిన్

కవిపరిచయం : ఈ పద్యం కవయిత్రి మొల్ల రచించిన మొల్ల రామాయణం సుందరకాండ ప్రథమాశ్వాసం నుండి గ్రహింపబడినది.

ప్రతిపదార్థం :

వీరాలాపములు	=	వీరోచితపు పలుకులు (వ్యంగ్యంగా)
ఆడనేల	=	పలకడం ఎందుకు
వినుమీ	=	వినుము
విశ్వప్రకాశంబుగా	=	విశ్వమంతా తెలిసే విధంగా
పారావారము	=	సముద్రాన్ని
కట్టి	=	బంధించి
రాఘవుడు	=	శ్రీరాముడు
కోపస్ఫూర్తి	=	కోపముతో
దీపింపంగా	=	కనబడేటట్లుగా
ఘోరాజిన్	=	మహాసంగ్రామం (యుద్ధం) లో
నిను	=	నిన్ను
డాసి	=	చంపి
లావుకలిమిన్	=	బలముతో (పరాక్రమ)
కోటీరయుక్తంబుగా	=	రాజ చిహ్నములతో (కిరీటిము)
క్రూరాస్త్రంబుల్	=	గొప్పవయిన అస్త్రములు
మస్తముల్	=	తలలు
దునిమి	=	త్రుంచి
భూతావళికి	=	భూతములకు
భుక్తులు పెట్టు	=	ఆహారంగా పెడతాడు

తాత్పర్యం : వ్యర్థమైన ప్రలాపములు ఎందుకు విను. శ్రీరాముడు లోకము మెచ్చునట్లుగా సముద్రమును చుట్టి వచ్చి మహా వీరత్వముతో మహాసంగ్రామంలో నీ తల కాయను కోసి భూతములకు ఆహారముగా పెట్టగలరు.

సంఘటనలు :

వీరాలాపములు	=	వీర + ఆలాపములు	=	సవర్ణదీర్ఘసంధి
పారావారము	=	పార + ఆవారము	=	సవర్ణదీర్ఘసంధి

ఘోరాజిన్ = ఘోర + ఆజిన్ = సవర్ణదీర్ఘసంధి
 కృరాస్త్రంబులు = కృర+ అస్త్రంబుల్ = సవర్ణదీర్ఘసంధి

సమాసములు :

వీరాలాపములు = వీరమైన ఆలాపములు = విశేషణ పూర్వపద
 విశ్వ ప్రకాశంబు = విశ్వమునందు ప్రకాశం = సప్తమీ తత్పురుష
 కోపస్ఫూర్తి = కోపము వలన స్ఫూర్తి = పంచమీ తత్పురుష

ఛందస్సు : శార్దూలము

మ స జ స త త గా అనే గణాలు ఉంటాయి.

అక్షరాలు మొత్తం - 19

1 - 13 అక్షరాలకు యతి

2. అని పవనాత్మజుండు దివిజారి పయిందెగ వేళగాదు, భూ
 తనయకు నాదురాక, వసుధా వరుమేలు నెఱుంగఁ జెప్పి మీ
 దను మీఠి చూతమంచు సుచిత స్థితి నూరకయందె
 దనుజ విభుండు వోయె నిజ ధామముఁజేరి సతీసమేతుఁడై

కవిపరిచయం : ఈ పద్యం కవయిత్రి మొల్ల రచించిన మొల్ల రామాయణం సుందరకాండ ప్రథమాశ్వాసము నుండి గ్రహింపబడినది. 'సీతారావణ సంవాదం' అనే పాఠ్యభాగం లోనిది.

ప్రతిపదార్థం :

పవన + ఆత్మంజుడు = హనుమంతుడు
 దివిజారి = దేవతల శత్రువు (రావణుడు)
 తెగ = దండెత్తి వెళ్ళుటకు
 వేలకాదు = సమయంకాదు
 భూ తనయ = సీత (భూమాత పుత్రిక)కు
 నాదురాక = నేను లంకలోకి ప్రవేశించుటను
 వసుధావరు = రాముడు(భూమీధ క్రేష్టమైన) గూర్చి
 ఎరింగిచెప్పి = తెలిసేటట్టు చెప్పటను
 మీదను = ఆపివృత్తి
 చూతము = చూడవచ్చు
 అంచు = అనుచు

అప్పుడు	=	ఆ సమయంలో
ఉచితస్థితి	=	ఉచితమైన స్థితి (అనువయిన స్థితి) అని
ఊరకయుండిన	=	మౌనంగా ఉండగా
ధనుజ విభుండు	=	రాక్షసుల రాజు (రావణుడు)
గృహ ధామము	=	తన మందిరంలోనికి
సతీసమేతుడై	=	భార్యతో కూడి
వెడలెను	=	వెళ్ళిపోయాడు.

తాత్పర్యం : హనుమంతుడు రావణుని మాటలు విని కిందకు వచ్చి అతనిని సహరిద్దామనుకున్నాడు. కాని తగు సమయం కాదని, తాను లంకలో ప్రవేశించినట్లుగా సీతకు తెలియజేయడం ఉచితమని భావించాడు. ఇలా ఆలోచించిన ఆ సమయంలో రావణుడు తన దాసదాసీ జనంతో భార్యతో కూడి మందిరానికి వెనుదిరిగి వెళ్ళాడు.

సంధులు :

పవనాత్మజుడు	=	పవన + ఆత్మజుడు	=	సవర్ణదీర్ఘసంధి
దివిజారి	=	దివిజ + అరి	=	సవర్ణదీర్ఘసంధి
చూతమంచు	=	చూతము + అంచు	=	ఉకారసంధి
ఊరకయుండె	=	ఊరక + ఉండె	=	యడాగమము
విభాండువోయె	=	విభుండు + పోయె	=	గసడదవాదేశ సంధి
ధామముజేర	=	ధామమున్ + చేర	=	సరళాదేశ సంధి

సమాసములు :

1. పవనాత్మజుండు = పవనుని యొక్క కుమారుడు = షష్ఠీ తత్పురుష సమాసము
2. భూతనయ = భూమి యొక్క తనయ = షష్ఠీ తత్పురుష సమాసము
3. దివిజారి = దివిజుల యొక్క శత్రువు (అరి) = షష్ఠీ తత్పురుష సమాసము
4. వసుధావరు = వసుధ యందు వరుడు = సప్తమీ తత్పురష సమాసము

ఛందస్సు :

చంపకమాల అక్షరములు న, జ ,భ, జ, జ, జ, ర

మొత్తం అక్షరాలు = 21,

1- 10 అక్షరాల మధ్య యతి.

- 3 ఎత్తితి శంక రాచల మహీన బలంబున బంతి లాగునన్
 మొత్తితి సర్వ దిక్పతుల మూఁగిన గర్వము విచ్చి పాఠంగా
 నొత్తితి శత్రు భూపతుల సుగ్రరణంబున భూమిఁ ద్రెళ్ళఁగా
 మొత్తితి భోగి కంఠము లమోఘజవంబున మేటి కీర్తులన్

కవిపరిచయం : ఈ పద్యం కవయిత్రి మొల్ల రచించిన మొల్ల రామాయణం సుందరకాండ ప్రథమాశ్వాసము నుండి గ్రహింపబడినది.

ప్రతిపదార్థం :

అమోఘజవంబున	=	అమితమైన భుజబలముతో
శంకరాచలము	=	కైలాసపర్వతము
బంతిలాగునన్	=	బంతివలె
ఎత్తితి	=	ఎత్తాను
సర్వదిక్పతులు	=	సమస్తదిక్కుల అధిపతులు
గర్వమును	=	అహంకారమును
విచ్చిపారగ	=	తొలగునట్లుగా
మొత్తితి	=	నాశనం చేశాను
ఉగ్రరణంబునన్	=	ఘోరమైన యుద్ధములో
శత్రుభూపతులు	=	శత్రురాజులను
భూమిత్రిల్లగా	=	భూమిపై పడునట్లుగా
వత్తితి	=	ఓడించితి
భోగికంఠముల్	=	పడగలెత్తెపాములను (నాగలోకం)
మొత్తితి	=	ఓడించితి
మేటికీర్తులన్	=	గొప్పదైన కీర్తితో కూడిన వాడినైతిని

తాత్పర్యం : అమితమైన భుజబలముతో కైలాసపర్వతమును బంతివలె ఎత్తితిని. సమస్త దిక్కుల అధిపతుల అహంకారమును నాశనము చేశాను. ఘోరమైన యుద్ధములో శత్రురాజులను భూమిపై పడునట్లుగా ఓడించితిని. పడగలెత్తె పాములను సైతం నాగలోకమున ఓడించితిని. ఈ విధముగా త్రిలోకములను జయించి గొప్పదైన కీర్తితో కూడినవాడినైతిని.

సంధులు :

శంకరాచలము = శంకర + అచలము = సవర్ణదీర్ఘసంధి

దిక్పతులు = దిక్ + పతులు = హల్సంధి

సమాసములు :

1. శంకరాచలము = శంకరడను పేరు గల కొండ = సంభావన పూర్వపద
2. భోగికంఠము = భోగి యొక్క కంఠము = షష్ఠీ తత్పురుష
3. శత్రుభూపతులు = శత్రువులైన భూపతులు = విశేషణపూర్వపద
4. ఉగ్రరణంబు = ఉగ్రమైన యుద్ధము = విశేషణపూర్వపద

5.5 సందర్భ సహిత వ్యాఖ్యలు

1. వచ్చుతోవ చెప్పుము వారిజాక్షి?

కవిపరిచయం: ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడినది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది. 'సీతారావణ సంవాదం' లోనిది.

సందర్భం : అశోక వనంలో ఉంచిన సీత వద్దకు వచ్చిన రావణుడు తన యొక్క నగరమైన 'లంక' గురించి గొప్పగా వర్ణిస్తూ నరుడయినవాడు దుర్భేద్యమయిన లంకానగరంలోకి ప్రవేశించడం సాధ్యపడదని చెప్పిన సందర్భం

భావం : ఎంతో కట్టుదిట్టములు గల కోటకు నాలుగు వైపులా సముద్రము ఉన్న లంకలోనికి ఏ త్రోవన వచ్చునో చెప్పుమా అని భావం

2. వినకూడదు ధర్మశాస్త్ర విపరీతంబుల్

కవిపరిచయం : ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడినది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది.

సందర్భం: లంకాధీశుడు అయిన రావణుడు సీత వద్దకు వచ్చి తన యొక్క గొప్ప తనమును తానే చెప్పుకొనే సమయములో సీత అతని మాటలను ఖండిస్తూ పలికిన సందర్భం.

భావం : తనను తాను పొగడుకోవటం ధర్మ విరుద్ధం. అటువంటి మాటలు ధర్మపరులు వినకూడదని భావం.

3. చెప్పనేటికి నీవె చూచెదవు గాక!

కవిపరిచయం: ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడినది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది. 'సీతారావణ సంవాదం' లోనిది.

సందర్భం : తన గొప్పతనం ఎక్కువుగా చెప్పుకుంటున్న రావణునితో, సీత రాముని యొక్క గొప్పతనమును గూర్చి చెప్పిన సందర్భం. రాముడు ఎంతటి పరాక్రమశీలో యుద్ధమునందు నీవె చూడగలవు.

భావం : వివరించి చెప్పటం ఎందుకు నీవే ప్రత్యక్షంగా చూస్తావుగా అని సీత పలికింది.

4. మహిని నా కొక్కనికె కాక మంజువాణి !

కవిపరిచయం : కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది. 'సీతారావణ సంవాదం' లోనిది.

సందర్భం : సీత చెప్పిన రాముని గొప్ప తనమును విని రావణుడు కోపంతో తన యొక్క గొప్పతనంను సీతకు వివరించిన సందర్భం.

భావం : సీత! ఇంతటి శక్తి సామర్థ్యాలు ఈ భూమ్మీద నాకు కాక ఇంకెవరికి ఉన్నాయి.

5. నీ యెడల నుండు టిది న్యాయమె లతాంగీ!

కవిపరిచయం : కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడిన 'సీతారావణ సంవాదం' లోనిది.

సందర్భం : సీత చెప్పిన రాముని గొప్ప తనమును విని రావణుడు కోపంతో తన యొక్క గొప్పతనంను సీతకు వివరించిన సందర్భం.

భావం : నీవు నా పట్ల అవివేకముతో ప్రవర్తించుట న్యాయమేనా? అని రావణుడు సీతను అడిగెను.

6. స్త్రీలందు లేవు నాకుం జూడన్

కవిపరిచయం : కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది.

సందర్భం : సీత చెప్పిన రాముని గొప్ప తనమును విని రావణుడు కోపంతో తన యొక్క గొప్పతనంను సీతకు వివరించిన సందర్భం.

భావం : నీకు గల సౌందర్యం మరే స్త్రీలయందు లేదు.

7. తూటలుగాఁ జేయకున్న దోసముగాదేఁ

కవిపరిచయం : ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడినది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం నందు సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది.

సందర్భం : సీత చెప్పిన రాముని గొప్ప తనమును విని రావణుడు కోపంతో తన యొక్క గొప్పతనంను సీతకు వివరించిన సందర్భం.

భావం : సీతపై ఆగ్రహించిన రావణుడు నీ నాలుకను ముక్కలుగా చేయకున్న పాపమని చెప్పిన భావం.

8. గైకొనునే నవ్వుఁగాక గర్వము పేర్కొన్

కవిపరిచయం : ఈ వాక్యము సీతా రావణ సంవాదం నుండి గ్రహింపబడింది. కవియిత్రి మొల్లచే రచింపబడిన మొల్ల రామాయణం సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడింది.

సందర్భం : సీత చెప్పిన రాముని గొప్పదనాన్ని విని రావణుడు కోపంతో తన గూర్చి సీతకు వివరించిన సందర్భం.

భావం : నా కోరిక తీరకుండా ఈమెను విడిచిపెట్టుట నవ్వులాటకదా.

5.6 పాఠ్యభాగసారాంశం

సీతా రావణ సంవాదము అనే మా యీ పాఠ్యభాగ కవయిత్రి మొల్ల. ఆమె రచించిన 'మొల్ల రామాయణము సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడింది.

శ్రీరామ, సుగ్రీవుల ఆదేశానుసారం సీత జాడ అన్వేషణకు హనుమంతుడు సముద్రమును దాటి లంకానగరంలోకి ప్రవేశించాడు. సీత కోసం ఆ నగరంలో నివాసగృహాలు, రహదారులు..తోటలు.. ఆరామాలు వంటివి అణువణువునా గాలిస్తూ ఉన్నాడు. కాని ఆమెను కనుగొనలేక పోయాడు. ఏమి చేయాలో తోచక, ఒక ఆరామ సమీపంలోని గోపురం మీద కూర్చొని ఉండగా సమీపంలో ఉన్న స్త్రీ మూర్తిని చూసాడు. ఆమెను గురించి తెలుసుకోవాలనుకున్నాడు. గోపురం దిగి, సూక్ష్మరూపంలో దగ్గరలోని అశోకవృక్షం పైకి చేరి పరిశీలించసాగాడు.

భర్తకు దూరమయిన తరువాత కలిగిన బాధ కంటే రాక్షస సేనలు, సేవకులు చేసే వివిధములయిన వికృతచేష్టలకు ఆమె మనసు వేదనాభరితమయింది. తనుకు ఎవరూ లేని దిక్కులేని దానిగా వేదన చెందసాగింది. రావణుని, పరిచారికలు రాముని

గురించి, తన గురించి చెప్పే మాటలు ఆమె చెవులకు కఠోరంగా ఉన్నాయి. వాటిని తలచుకుంటూ ఆమె కన్నులలో కన్నీటి సుడులు తిరుగుతున్నాయి. రాముని నిరంతరం తలచుకుంటూ 'రామ' 'రామ' అని నిరంతరం నామస్మరణ చేస్తున్న ఆ స్త్రీమూర్తిని చూచిన హనుమంతుడు. ఆమె 'సీత' అని నిశ్చయించుకొని మనసులో ఎంతగానో సంతోషించాడు.

అదే సమయములో రావణుడు సీత పైన ఆశ కలిగినవాడై, పరితపించిన హృదయంతో ఆమెను దర్శించడానికి పన్నీటి స్నానం చేసి, మంచి వస్త్రాలు ధరించి, కర్పూరము గంధములతో కలగలిపిన పూతలు శరీరమునకు పూసుకొని, పారిజాత పుష్పములను ముడుచుకొని, పైన జవ్వాది తదితర సువాసనా భరిత తైల లేపమును పూసుకుని, తనకున్న పదితలలకు రత్న కిరీటములును ధరించాడు. చెవులకు మణిమయ ఆభరణములును ధరించాడు. సూర్యకాంతితో వెలిగే, పతకాలను, ముత్యాలదండలు, భుజకీర్తులు, విలువైన రత్నాలతో చేసిన ఉంగరాలను వ్రేళ్ళకు ధరించాడు. నవరత్నములు పొదిగిన సువర్ణమయ వొడ్డాణమును ధరించాడు. విలాసమైన పురుషుడుగా, వెన్నెలవంటి నవ్వును పెదాలపై అలముకొని ఉన్నాడు. అతనికి ఇరువైపుల కిన్నెర, కింపురుష, గంధర్వ జాతులకు చెందిన మహిళామణులు. వెంట ముత్యాల గొడుగులు పడుతూ, వినన కర్రలతో విసురుతూ వస్తున్నారు. మరి కొంతమంది తన చేతులతో కరదీపికలును ధరించి అతని ముందర గబగబా నడుస్తూ వస్తున్నారు. మంది మార్బలంతో రావణాసురుడు అత్యంత విలాసవంతమైన, అధికార దర్పంతో ఆశోకవనంలో సీత ఉన్న ప్రదేశానికి వచ్చాడు. వారిని చూసిన సీత వాయు వేగమునకు తూలే పుష్పమువలే చలించినదై, తన యొక్క శరీరాంగములను తను ధరించిన వస్త్రములతో పూర్తిగా కప్పకొన్నది. ధూళితో కప్పబడిన రత్నమువలె, నివురు గప్పిన నిప్పువలే మేఘములు కప్పిన చంద్రబింబమువలే, ఇత్తడి పూతచే కప్పివేయబడిన బంగారపు తునకలాగా సీత కూర్చోని ఉంది.

రావణుడు సీతను ప్రార్థించుట : విశాలమైన నేత్రములు కలిగిన సీత! మన్మథుడు లేచి తనదైన వాడి బాణములతో నా పై దాడి చేస్తున్నాడు. చక్కని శీతల పవనాలుతో వాయుదేవుడు మనసును ఆనంద పరచునీ చేస్తున్నాడు. కోయిలలు, వివిధ రకాలైన పక్షుల యొక్క కిలకిలరావములతో ప్రకృతి అంతా మిక్కిలి పులకిస్తూ ఉంది. మనసులోని ఆలోచనలకు ఆనందాన్నిస్తున్నాయి. ఇటువంటి రసరమ్య ప్రకృతి మధ్య నీవు నా పట్ల కృపను చూపక, అవివేకంతో వ్యవహరిస్తున్నావు. నీకిది తగునా? ఓ సీతా! అలకాపూర్ణాశు డయిన కుబేరుడు నాకు బహుమానముగా ఇచ్చిన పట్టు వస్త్రాలు చూడు, ఇంద్రుడు

ప్రతిదినం నాకు పారిజాత పుష్పాలు పంపిస్తాడు. దక్షిణాధీశుడైన ప్రభువు నాకు కర్పూరము తదితర సుగంధ ద్రవ్యాలను సమర్పిస్తారు. నాగలోక సార్వభౌముడైన నాగరాజు పాతాళలోకమునుండి విలువయినట్టి రత్న రాశులను తీసుకొని వస్తాడు. ఇవన్నీ నాయొంట్లో రాశులుగా ఉన్నాయి. వాటితో శరీరమును అలంకరించుకొని, నాకు సుఖములు ఇస్తూ నీవు సుఖిస్తూ ఉండాలి. రాముని పైన అడియశను వదిలివేయి.

ఓ సీతా! నా కోటను గురించి వివరములు నీకు తెలియవనుకుంటాను. సముద్రము నా లంకకు అగడ్తగా రక్షణనిస్తుంది. ఇంద్రాది దేవతలు నిరంతరం నా అనుచరులుగా సేవలందిస్తారు. గంధర్వ, కిన్నెర, సురకాంతలు నా కౌగిలి చెఱసాలలో ఉండటానికి వస్తారు. సకల లోకములను పుష్పకం ఎక్కి మిక్కిలి ఉత్సాహంగా తిరుగాడే వారెవరు? ఈ లోకంలో నేను తప్ప. నా యొక్క భుజశక్తికి సాటిరాగలవారెవరున్నారు. వాయుదేవుడు నా కోట పరిసరాల్లోని దుమ్ము ధూళిని శుభ్రం చేస్తాడు. సముద్రుడు ఉదయమే నా ఇంటి ముంగిట కళ్యాణి జల్లుతాడు. నా దినసరి ఖర్చులను కుబేరుడు సరి చూస్తాడు. గురుడు (బృహస్పతి) నా మంచి చెడు ముహూర్తములను పంచాంగం చూసి చెబుతుంటాడు. ఓ సీతా! ఇవన్నీ ఈ లోకంలో నేను మాత్రమే చేయగలవాడనను.

శంకరుడు నివాసమైన కైలాస పర్వతాన్ని బంతిలాగా ఎత్తి పట్టుకున్న వీరత్వం నాది. దిక్పాలకుల యొక్క గర్వమును యుద్ధంలో నాశనం చేసాను. నాగలోకంలో మహా నాగులు గర్వాన్ని సహితం అణిచాను. తైల సంస్కారం లేక జుత్తు జడలు కట్టి, మునుల వలే తమ్మునితో కలసి దుర్గమమైన అరణ్యాలలో తిరుగుతూ, కందమూలములు తింటూ తిరిగే రాముడు ఎలా లంకకు రాగలడు? ఏ విధంగాను నాతో సరికాదు. రాక్షసులు ఎప్పుడైనా మనుషులను గెలువలేరు. మానవమాంస భక్షులైన రాక్షసులను మానవులు చంపట మనేది ఎప్పుడైన ఈ భూమి మీద జరిగిందా? నా యొక్క భుజశక్తిని ఎదిరించ గల సమర్థత రామునికెక్కడిది? ఈశ్వరుడో, ఇంద్రుడో అయితే నాతో అంతో ఇంతో పోరాడగలరు. ఆ సంగతి అట్లుండనీ. నీ కన్నుల అందం, నీ శరీర సౌష్ఠ్యం, నీ చేతుల సౌకుమార్యం మరే స్త్రీ యందు నేను చూడలేదు. దేవతా స్త్రీలు, యక్షుల భార్యలు, కిన్నెరులైన ఆడవారు నీకు సాటిరారు. మునిపత్నులు సహజంగానే నీతో పోల్చలేనివారు. గురుడు, గంధర్వ లోకాలలో నిన్ను మించిన సౌందర్యం గల వారే? గొప్పవయిన దుస్తులను ధరించి, భయమువీడి, మృదువైన మాటలు నాతో మాట్లాడు. ప్రేమ పూరిత కన్నులతో నన్ను చూడు. అని నోటికి వచ్చినట్లు మాట్లాడిన రావణుని అసహ్యంగా చూసి, తిరస్కార భావంతో ఓ గడ్డిపోచను త్రొపి దానిని చేత్తో పట్టుకొని సీత రావణుని తిరస్కరిస్తూ ఇల్లు పలకసాగెను.

సీత రావణుని నిందించి, రాముని పొగడుట: పతినే దైవంగా అన్నివేళల్లో మనసులో కొలుచుకొనే స్త్రీలు నీ వంటి నీచునితో మాట్లాడటం కంటే వేరే పాపముందా? పరస్త్రీలను కోరే పురుషుల ఆయువు నశిస్తుంది. పుణ్యము చెడుతుంది. ఉత్తములైనవారు నిందిస్తారు. అది సరకమనే మాట నీవు వినలేదా? అంతేకాదు.. తన సాహసాన్ని తానే పొగడుకొనే వాడు హీనమైన గుణము కలవాడు. నీకు నీవే పొగడుకుంటున్నావు. ఇటువంటి ధర్మశాస్త్ర విరుద్ధములయిన మాటలు పలుకరాదు. యుద్ధరంగంలో నా పతి రఘురాముడు సైన్యముగా వచ్చిన వానరసేనతో నీతో పోరాడినప్పుడు తన పరాక్రమాన్ని చూడవచ్చు. ప్రస్తుతం నన్ను దొంగలించుకొని వచ్చావు. నీవు ఇటువంటి తుచ్చపు మాటలు మాట్లాడటం నీకు సమంజసమేనా? ముడుచుకొనుటకు కురులు (జుట్టు) కూడా లేని పిన్న వయసులోనే ఎటువంటి భయములేకుండా తాటకిని హతమార్చినాడు. విశ్వామిత్రుడి వెంట యాగరక్షణకు వెళ్ళి ఎంతో మంది రాక్షసులను సంహరించిన వీరుడు నా రాముడు. ఈ భూమ్మీద ఏ రాజు కూడా విరువలేని శివధనుర్భంగం చేసినాడు. దుర్లభమైన అడవుల్లో ఖర, ధూషణాది రాక్షసులను సంహరించాడు. తన పాదస్పర్శతో రాయిని నాతిగా మార్చిన వైనం నీకు తెలుసా? మాయచేత మాయామృగముగా వచ్చిన మారీచుని గతి ఏమయింది? రాజుగా ఈ భూమిని రక్షించగల రాముడు సాక్షాత్తు ఆదినారాయణుడే! అటువంటి రామునికి ఈ సముద్రమెంత? ఈ లంక ఎంత? ఈ రాక్షసులెంత? ప్రగల్భాలు ఎందుకు? సముద్రమును ఇంకింపజేసి, శ్రీరాముడు కోవమును చవిచూసేటట్లుగా నిను భయంకరమైన యుద్ధములో చంపి, నీ యొక్క అస్త్రములను ముక్కలు చేసి నిన్ను భూతాలకు ఆహారంగా పెట్టగలడు. అప్రవాతమైన శౌర్యపరాక్రమాలతో నిన్ను సంహరించి, తన సామర్థ్యాన్ని చూపగలడు.

రావణుడు కోపంతో సీతకు వ్యవధి ఇచ్చుట : సీత మాటలకు రావణుడు కోపోద్రిక్తుడై ఆమెను నిందించసాగాడు. “స్త్రీ కదాయని ఓర్పు వహించిన కొలది నన్నే తక్కువ చేసి మాట్లాడుతున్నది. దీని నాలుక ముక్కలు ముక్కలుగా చేయగలను. మాట్లాడకుండా నా ముందర పడి ఉండవలసినదే. నాతోనే కయ్యమునకు కాలుదువ్వుతున్నది. దీనిని సంహరించి దెయ్యాలకు ఆహారంగా వేస్తాను. నా కోటిక తీర్చుకొని విడిచిపెడతాను. నా యొక్క భుజబలంతో కైలాసాన్నే ఎత్తిన వాడను. దిక్పాలకులను నా సైన్యంతో రణరంగమున భయావహులను చేసి ఓడించాను. అటువంటి నా పరాక్రమమును గుర్తించక రాముడు భీకరుడని అతడి పరాక్రమమును పొగడుతున్నది సీత. సమస్త లోకములలో నా పుష్పకమునెక్కి తిరుగేవాడిని. దేవతల చేత వెట్టి చాకిరి చేయించుకోగలవాడిని, బ్రహ్మచేత

వరములు పొందినవాడిని, ఘోర తపస్సు చేసినవాడిని, యక్ష, కిన్నెర, గంధర్వల యొక్క భార్యలను చేపట్టినవాడిని, నన్ను కాదని ఒక పేద నరుని కీర్తిస్తూ నన్ను ఎదిరిస్తున్న దీని నాలుకను తుదకంటూ తెగనరికి నేలపై పడేటట్లు చేస్తాను". అని ఉగ్రముగా ఆమెను చేరబోయిన రావణుని చూచి కొందరు రాక్షస స్త్రీలు అడ్డు వచ్చి ఇంద్రుడు, యముడు, నిర్యతి వంటి వారిపై చూపవలసిన కోపమును ఒక స్త్రీ మీద చూపడం మంచిది కాదు. పిచ్చుక పై బ్రహ్మాస్త్రం ఎందుకు? ఇటువంటి ఒంటరి, బలహీను రాలైన స్త్రీపై ప్రతాపం చూపడం మంచిదేనా? మీ వంటి వీరుల కత్తికి ఈమె అర్హురాలేనా? మాకొక అవకాశము ఇవ్వవలసిందిగా కోరుతున్నాము. ఈమె మనసును మారుస్తాము అని శాంత వచనములు ప్రియముగా చెప్పగా, ఆ రాక్షస చక్రవర్తి రావణుడు సీత ప్రక్కనున్న ఏకజటా, ద్విజట, త్రిజట, దుర్ముఖి, వాయుముఖి, శూర్పణఖ తదితర రాక్షస స్త్రీలను చూసి, వారితో రెండు మాసములు గడుపు ఇస్తున్నాను. నాకు లోబడేటట్లు చేయండి. లేకపోతే ఈమెను కండలు కండలుగా కోసుకు తినడని చెప్పి కోపంతో అక్కడ నుండి వెళ్ళిపోయారు. అంతట సీత తన భర్తను నిందించడమే కాక, తనను చంపమని చెప్పిన మాటకు ఆమె మిక్కిలి విచారపడుతూ తన భర్త అయిన రాముని తలచుకొని దుఃఖించసాగింది.

సీతాదేవి దుఃఖిస్తున్నందుకు, ఆమె బాధను చూసిన యక్ష, కిన్నెర, గంధర్వ స్త్రీలు కూడ ఏడ్చారు. వారి ఆవేదనను విన్న హనుమ మనసులో మిక్కిలి విచారించాడు. రెట్టించిన కోపముతో వెంటనే వెళ్ళి రావణాసురుని సంహరించాలనుకున్నాడు. కాని కావలసిన కార్యం చెడుతుందని ఆగినాడు. సీతను తానుచూచిన విషయం రామలక్ష్మణులకు ఆలస్యం లేకుండా తెలియజేయాలనుకున్నాడు. హనుమంతుడు క్రిందకు దిగుదామని అనుకున్నాడు. కాని ఇది తగిన సమయం కాదని భావించారు.

రాక్షస స్త్రీలు సీతకు రావణుని గురించి అనేక విధములుగా చెప్పి చూసారు. కాని జానకీదేవి వారి మాటలు వినక రాముని స్మరిస్తూ నిద్రలోనికి జారుకుంది. కొందరు రాక్షస స్త్రీలు నిద్రపోయారు. నిద్రించక ఉన్న రాక్షస స్త్రీలతో అక్కడనున్న త్రిజట ఇలా చెప్పటం ప్రారంభించింది.

త్రిజట స్వప్న వృత్తాంతము : చెలులారా! నేను ఒక కల కన్నాను. ఆ కలలో రాముడు వచ్చి రావణునితో యద్ధం చేసి, అతడిని వధించి సీతను పుష్పక విమానంలో తీసుకొనిపోయినట్లు శుద్ధాత్ముడైన రాముడు శుద్ధాత్మ అయిన సీత, మరియు ఆమెకు కలుగు శుభ సూచకములు నాకు కనిపించాయి. కావున... మీరు తొందరపడి సీతను

కఠినమైన మాటలతో నిందించకండి. సీతను రక్షించడమే మనకు మిగిలిన కర్తవ్యం అని వారికి తెలియజెప్పింది.

5.7 ప్రశ్నలు సమాధానములు

వ్యాసరూప ప్రశ్నలు

1. సీతారావణ సంవాదమును వివరించండి.

లేదా

సీతారావణ సంవాద పాఠ్య భాగ సారాంశాన్ని వివరించండి.

జ సీతా రావణ సంవాదము అనే మా యీ పాఠ్యభాగ కవయిత్రి మొల్ల. ఈ పాఠ్యభాగం ఆమె రచించిన 'మొల్ల రామాయణము సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడింది.

శ్రీరామ, సుగ్రీవుల ఆదేశానుసారం సీత జాడ అన్వేషణకు హనుమంతుడు సముద్రాన్ని దాటి, లంకానగరంలో ప్రవేశించాడు. సీత కోసం ఆ నగరమునందు నివాసగృహాలు, రహదారులు, తోటలు, ఆరామాలు వంటివి అణువణువునా గాలిస్తూ ఉన్నాడు. కాని... ఆమెను కనుగొనలేక పోయాడు. ఏమి చేయాలో తోచక... ఒక ఆరామ సమీపంలోని గోవురం మీద కూర్చొని ఉండగా, ఆ సమీపంలోనున్న స్త్రీ మూర్తిని చూసాడు. ఆమెను గురించి తెలుసుకోవాలనుకున్నాడు. గోవురం దిగి, సూక్ష్మరూపంలో దగ్గరలోని అశోకవృక్షం పైకి చేరి పరిశీలించసాగాడు.

భర్తకు దూరమయిన తరువాత కలిగిన బాధ కంటే రాక్షస సేనలు, సేవకులు చేసే వివిధములయిన వికృతచేష్టలకు ఆమె మనసు వేదనాభరితమయింది. తనుకు ఎవరూ లేని దిక్కులేని దానిగా వేదన చెందసాగింది. రావణుడు, పరిచారికలు రాముని గురించి, తన గురించి చెప్పే మాటలు ఆమె చెవులకు కఠోరంగా ఉన్నాయి. వాటిని తలచుకుంటూ ఆమె కన్నులలో కన్నీటి సుడులు తిరుగుతున్నాయి. రాముని నిరంతరం తలచుకుంటూ 'రామ' 'రామ' అని నిరంతరం నామస్మరణ చేస్తున్న ఆ స్త్రీమూర్తిని చూచిన హనుమంతుడు. ఆమె సీత అని నిశ్చయించుకొని మనసులో ఎంతగానో సంతోషించాడు.

అదే సమయములో రావణుడు సీత పైన ఆశ కలిగినవాడై, పరితపించిన హృదయముతో ఆమెను దర్శించడానికి పన్నీటి స్నానం చేసి, గొప్పవయిన వస్త్రములు ధరించి, కర్పూరము గంధములతో కలగలిపిన పూతల శరీరమునకు పూసుకొని, పారిజాత

పుష్పములను ముడుచుకొని, పైన జవ్వాది తదితర సువాసనా భరిత తైల లేపమును పూసుకుని, తనకున్న పదితలలకు రత్న కిరీటములును ధరించాడు. చెవులకు మణిమయ ఆభరణములును ధరించాడు. సూర్యకాంతితో వెలిగే, పతకాలను, ముత్యాలదండలు, భుజకీర్తులు, విలువైన రత్నాలతో చేసిన ఉంగరాలను వ్రేళ్ళకు ధరించాడు. నవరత్నములు పొదిగిన సువర్ణమయ వౌడ్డాణమును ధరించాడు. విలాసమైన పురుషుడుగా, వెన్నెలవంటి నవ్వును పెదాలపై అలముకొని ఉన్నాడు. అతనికి ఇరువైపుల కిన్నెర, కింపురుష, గంధర్వ జాతులకు చెందిన మహిళామణులు. వెంట ముత్యాల గొడుగులు పడుతూ, వినన కర్రలతో విసురుతూ వస్తున్నారు. మరి కొంతమంది తన చేతులతో కరదీపికలను ధరించి అతని ముందర గబగబా నడుస్తూ వస్తున్నారు. మంచి మార్బలంతో రావణాసురుడు అత్యంత విలాసవంతమైన, అధికార దర్పంతో ఆశోకవనంలో సీత ఉన్న ప్రదేశానికి వచ్చాడు. వారిని చూసిన సీత వాయు వేగమునకు తూలే పుష్పలాగా చలించినదై, తన యొక్క శరీరాంగములను తను ధరించిన వస్త్రములతో పూర్తిగా కప్పుకొన్నది. ధూళితో కప్పబడిన రత్నమువలె, నిపురు గప్పిన నిప్పువలే మేఘములు కప్పిన చంద్రబింబంలాగా, ఇత్తడి పూతచే కప్పివేయబడిన బంగారపు తునక లాగా సీత ప్రవేశించింది.

రావణుడు సీతను ప్రార్థించుట : విశాలమైన నేత్రములు కలిగిన సీత! మన్మధుడు లేచి తనదైన వాడి బాణములతో నా పై దాడి చేస్తున్నాడు. చక్కని శీతల పవనాలుతో వాయుదేవుడు మనసును ఆనంద పరచునీ చేస్తున్నాడు. కోయిలలు, వివిధ రకాలైన పక్షుల యొక్క కిలకిలరావములతో ప్రకృతి అంతా మిక్కిలి పులకిస్తూ ఉంది. మనసులోని ఆలోచనలకు ఆనందాన్నిస్తున్నాయి. ఇటువంటి రసరమ్య ప్రకృతి మధ్య నీవు నా పట్ల కృపను చూపక, అవివేకముతో వ్యవహరిస్తున్నావు. నీకిది తగునా? ఓ సీతా.....అలకాపురాధీశుడయిన కుబేరుడు నాకు బహుమానముగా ఇచ్చిన పట్టు వస్త్రాలు ఇదిగో ఇంద్రుడు ప్రతిదినం నాకు పారిజాత పుష్పాలు పంపిస్తాడు. దక్షిణాధీశుడైన ప్రభువు నాకు కర్పూరము తదితర సుగంధ ద్రవ్యాలను సమర్పిస్తారు. నాగలోక సార్వభౌముడైన నాగరాజు పాతాళలోకమునుండి విలువయిన రత్నరాశులను తీసుకొని వస్తాడు. ఇవన్నీ నాయింట్లో రాశులుగా ఉన్నాయి. వాటితో శరీరమును అలంకరించుకొని, నాకు సుఖములు ఇస్తూ నీవు సుఖిస్తూ ఉండాలి. రాముని పైన అడియశను విడిచిపెట్టుకొనుము.

ఓ సీతా! నా కోటను గురించి వివరములు నీకు తెలియవనుకుంటాను. సముద్రము నా లంకకు అగడ్తగా రక్షణనిస్తుంది. ఇంద్రాది దేవతలు నిరంతరం నా అనుచరులుగా

సేవలందిస్తారు. గంధర్వు, కిన్నెర, సురకాంతలు నా కౌగిలి చెఱసాలలో ఉండటానికి వస్తారు. సకల లోకములను పుష్పకం ఎక్కి మిక్కిలి ఉత్సాహంగా తిరుగాడే వారు నేను తప్ప మరొకరు లేరు. నా యొక్క భుజశక్తికి సాటిరాగలవారెవరున్నారు. వాయుదేవుడు నా కోట పరిసరాల్లోని దుమ్ము ధూళిని శుభ్రం చేస్తాడు. సముద్రుడు ఉదయమే నా ఇంటి ముంగిట కళ్ళాపి జల్లుతాడు. నా దినసరి ఖర్చులను కుబేరుడు సరి చూస్తాడు. గురుడు(బృహస్పతి) నా మంచి చెడు ముహూర్తములను పంచాంగం చూసి చెబుతుంటాడు. ఓ సీతా ఇవన్నీ ఈ లోకంలో నేను మాత్రమే చేయగలవాడను.

శంకరుడు నివాసమైన కైలాస పర్వతాన్ని బంతిలాగా ఎత్తి పట్టుకున్న వీరత్వం నాది. దిక్పాలకుల యొక్క గర్వమును యుద్ధంలో నాశనం చేసాను. నాగలోకంలో మహా నాగులు గర్వాన్ని సహితం అణిచాను. తైల సంస్కారం లేక జుత్తు జడలు కట్టి, మునుల వలే తమ్మునితో కలసి దుర్గమమైన అరణ్యాలలో తిరుగుతూ, కందమూలములు తింటూ తిరిగే రాముడు ఎలా లంకకు రాగలడు? ఏ విధంగాను నాతో సరికాదు. రాక్షసులు ఎప్పుడైనా మనుషులను గెలువగలరా? మానవమాంస భక్షులైన రాక్షసులను మానవులు చంపట మనేది ఎప్పుడైన ఈ భూమి మీద జరిగిందా? నా యొక్క భుజశక్తిని ఎదిరించ గల సమర్థత రామునికెక్కడిది? ఈశ్వరుడో, ఇంద్రుడో అయితే నాతో అంతో ఇంతో పోరాడగలరు. ఆ సంగతి అట్లుండనీ నీ కన్నుల అందం, నీ శరీర సౌష్ఠ్యం, నీ చేతుల సౌకుమార్యం మరే స్త్రీ యందు నేను చూడలేదు. దేవతా స్త్రీలు, యక్షుల భార్యలు, కిన్నెరలైన ఆడవారు నీకు సాటిరారు. మునిపత్నులు సహజంగానే నీతో పోల్చలేనివారు. గురుడు, గంధర్వు లోకాలలో నిన్ను మించిన సౌందర్యం గల వారే? గొప్పవయిన దుస్తులను ధరించి, భయమువీడి, మృదువైన మాటలు నాతో మాట్లాడు. ప్రేమ పూరిత కన్నులతో నన్ను చూడుము. కనురెప్పలెత్తి చూడుము. అని నోటికి వచ్చినట్లు మాట్లాడిన రావణుని అనవ్యంగా చూసి, తిరస్కార భావంతో ఓ గడ్డిపోచను త్రొపి దానిని చేత్తో పట్టుకొని సీత రావణుని తిరస్కరిస్తూ ఇట్లు పలకసాగెను.

సీత రావణుని నిందించి, రాముని పొగడుట: పతినే దైవంగా ఎల్లవేళలయందు మనసులో కొలుచుకొనే స్త్రీలు నీ వంటి నీచునితో మాట్లాడటం కంటే వేరే పాపముందా? పరస్త్రీలను కోరే పురుషుల ఆయువు నశిస్తుంది. పుణ్యం చెడుతుంది. ఉత్తములైనవారు నిందిస్తారు. అది సరకమనే మాట నీవు వినలేదా? అంతేకాదు, తన సాహసాన్ని తానే పొగడుకొనే వాడు హీనమైన గుణము కలవాడు. నీకు నీవే పొగడుకుంటున్నావు. ఇటువంటి ధర్మశాస్త్ర విరుద్ధములయిన మాటలు మంచివికావు. యుద్ధరంగంలో నా పతి రఘురాముడు సైన్యముగా వచ్చిన వానరసేనతో పోరాడినప్పుడు తన పరాక్రమమును చూడవచ్చు.

ప్రస్తుతం నన్ను దొంగలించుకొని వచ్చావు. నీవు ఇటువంటి తుచ్చపు మాటలు మాట్లాడటం సమంజసమేనా? ముడుచుకొనుటకు కురులు (జుట్టు) కూడా లేని పిన్న వయసులోనే ఎటువంటి భయములేకుండా తాటకిని హతమార్చినాడు. విశ్వామిత్రుడి వెంట యాగరక్షణకు వెళ్ళి ఎంతో మంది రాక్షసులను సంహరించాడు. ఈ భూమ్మీద ఏ రాజు కూడా విరువలేని శివధనుర్భంగం చేసినాడు. దుర్లభమైన అడవుల్లో ఖర, ధూషణాది రాక్షసులను సంహరించాడు. తన పాదస్పర్శతో రాయిని నాతిగా మార్చిన వైనం నీకు తెలుసా? మాయచేత మాయామృగముగా వచ్చిన మారీచుని గతి ఏమయింది? రాజుగా ఈ భూమిని రక్షించగల రాముడు సాక్షాత్తు అదినారాయణుడే! అటువంటి రామునికి ఈ సముద్రమెంత? ఈ లంక ఎంత? ఈ రాక్షసులెంత? ప్రగల్భాలు ఎందుకు? సముద్రమును ఇంకింపజేసి, శ్రీరాముడు కోవమును చవిచూసేటట్లుగా నిను భయంకరమైన యుద్ధములో చంపి, నీ యొక్క అస్త్రములను ముక్కలుగా చేసి నిన్ను భూతాలకు అహారంగా పెట్టగలడు. అప్రహతిమైన శౌర్యపరాక్రమాలతో నిన్ను సంహరించి, తన సామర్థ్యాన్ని చూపగలడు.

రావణుడు కోపంతో సీతకు వ్యవధి ఇచ్చట : సీత మాటలకు రావణుడు కోపోద్రిక్తుడై ఆమెను నిందించసాగాడు. స్త్రీ కదాయని ఓర్పు వహించిన కొద్దీ నన్నే తక్కువ చేసి మాట్లాడుతున్నది. దీని నాలుక ముక్కలు ముక్కలుగా చేయగలను. మాట్లాడకుండా నా ముందర పడి ఉండవలసినదే. నాతోనే కయ్యమునకు కాలుదువ్వుతున్నది. దీనిని సంహరించి దెయ్యాలకు అహారంగా వేస్తాను. నా కోటికీ తీర్చుకొని విడిచిపెట్టెదను. నా యొక్క భుజబలంతో కైలాసాన్నే ఎత్తిన వాడిని. దిక్పాలకులను నా సైన్యంతో రణరంగంలో భయావహాలను చేసి ఓడించాను. అటువంటి నా పరాక్రమమును గుర్తించక రాముడు భీకరుడని అతడి పరాక్రమమును పొగడుతున్నదీ సీత. సమస్త లోకములలో నా పుష్పకమునెక్కె తిరుగుగలవాడను. దేవతల చేత వెట్టి చాకిరి చేయించుకోగలవాడను. బ్రహ్మచేత వరములు పొందినవాడను. ఘోర తపస్సు చేసినవాడను. యక్ష, కిన్నెర, గంధర్వల యొక్క భార్యలను చేపట్టినవాడను. నన్ను కాదని ఒక పేద నరుని కీర్తిస్తూ నన్ను ఎదిరిస్తున్న దీని నాలుకను తుదకంటూ తెగనరికి నేలపై పడేటట్లు చేస్తాను. అని ఉగ్రముగా ఆమెను చేరబోయిన రావణుని చూచి కొందరు రాక్షస స్త్రీలు అడ్డు వచ్చి ఇంద్రుడు, యముడు, నిర్వృతి వంటి వారిపై చూపవలసిన కోపాన్ని ఒక స్త్రీ మీద చూపడం మంచిది కాదు. పిచ్చుక పై బ్రహ్మాస్త్రం ఎందుకు? ఇటువంటి ఒంటరి, బలహీను రాలైన స్త్రీపై ప్రతాపం చూపడం ఎందుకు? మీ వంటి వీరుల కత్తికి ఈమె అర్హురాలేనా? మాకొక అవకాశము ఇవ్వవలసిందిగా కోరుతున్నాము. ఈమె మనసును మారుస్తాము”

అని శాంత వచనములు చెప్పగా, ఆ రాక్షస చక్రవర్తి రావణుడు సీత ప్రక్కనున్న ఏకజటా, ద్విజట, త్రిజట, దుర్ముఖి, వాయుముఖి, శూర్పణఖ తదితర రాక్షస స్త్రీలను చూసి, వారితో “రెండు మానములు గడువు ఇస్తున్నాను. నాకు లోబడేటట్లు చేయండి. లేకున్నా కండలు కండలుగా ఆమెను కోసుకు తినడని చెప్పి కోపంతో అక్కడ నుండి వెళ్ళిపోయాడు. అంతట సీత తన భర్తను నిందించటంతో పాటు తనను చంపమని చెప్పిన మాటకు ఆమె మిక్కిలి విచారపడుతూ తన భర్త రాముని తలచుకొని దుఃఖించసాగింది.

సీతాదేవి ఏడుస్తున్నందుకు, ఆమె బాధను గ్రహించిన దగ్గర్లోని యక్ష, కిన్నెర, గంధర్వ స్త్రీలు కూడా ఏడ్చారు. వారి ఆవేదనను విన్న హనుమ మనసులో మిక్కిలి విచారించెను. రెట్టించిన కోవముతో వెంటనే వెళ్ళి రావణాసురుని సంహరించాలనుకున్నాడు. కాని కావలసిన కార్యం చెడుతుందని ఆగినాడు. సీతను తానుచూచిన విషయం రామలక్ష్మణులకు ఆలస్యం లేకుండా తెలియజేయాలనుకున్నాడు. హనుమంతుడు క్రిందకు దిగుదామని అనుకున్నాడు. కాని ఇది తగిన సమయం కాదని భావించారు.

రాక్షస స్త్రీలు సీతకు రావణుని గురించి అనేక విధములుగా చెప్పి చూసారు. కాని జానకీదేవి వారి మాటలు వినక రాముని స్మరిస్తూ నిద్రలోనికి జారుకుంది. కొందరు రాక్షస స్త్రీలు నిద్రపోయారు. నిద్రించక ఉన్న రాక్షస స్త్రీలతో అక్కడున్న త్రిజట ఇలా చెప్పటం ప్రారంభించింది.

త్రిజట స్వప్న వృత్తాంతము : చెలులారా! నేను ఒక కల కన్నాను. ఆ కలలో రాముడు వచ్చి రావణునితో యద్ధం చేసి, అతడిని వధించి సీతను పుష్పక విమానంలో తీసుకొనిపోయినట్లు శుద్ధాత్ముడైన రాముడు శుద్ధాత్మ అయిన సీత, మరియు ఆమెకు కలుగు శుభ సూచకములు నాకు కనిపించాయి. కావున... మీరు తొందరపడి సీతను కఠినమైన మాటలతో నిందించకండి. సీతను రక్షించడమే మనకు మిగిలిన కర్తవ్యం అని వారికి తెలియజెప్పినది.

2. కవయిత్రి మొల్ల కవితా లక్షణములను వివరించండి.

జ. తేనే సోక నోరు తీయనయగు రీతిగా నర్థమెల్ల తోచేట్టు చక్కని, మధురమైన తెలుగు మాటలతో రామాయణం వ్రాసి, బహుళ జనాదరణ పాత్రంగా తీర్చిన మొదటి తెలుగు కవయిత్రి మొల్ల. మొల్ల కేసన కూతురు. విఖ్యాత గోపవరపు శ్రీకంఠ మల్లేశు వరము చేత కవిత్వం చెప్పడం నేర్చుకున్నానని ఆమె చెప్పుకున్నారు. 16వ శతాబ్దంనకు చెందిన ఏకామ్రనాథుడు తన సిద్ధేశ్వర చరిత్ర ప్రతాప చరిత్రలో ఈమెకు చెందిన విషయాలు తెలియజేసాడు. ఈమె రామభక్తరాలు. రామునికే జీవితం అంకితం చేసినది.

వినయశీలి అయిన మొల్ల వెనుకటి కవుల కన్నా తను గొప్పగా రామాయణ రచన చేయలేనని చెప్పుకుంది. దేశీయ పదాలు, తెలుగులోని సంధులు, ప్రాజ్ఞుల శబ్ద వితత్తి, శయ్యాలు, రీతులు, చాటు ప్రబంధాలు, సమాసాలు, అర్థాలు, భావార్థాలు, కావ్య పరిపాకాలు, రసభావ చమత్కారాలు, పలుకు సరళీ, బహువర్ణాలు, విభక్తులు, రీతులు బహువర్ణాలు, విభక్తులు, ధాతువులు, అలంకారాలు, ఛందో విలక్షణాలు, కావ్య సంపద, క్రియలు, నిఘంటువులు, ఇవేవీ తనకు తెలియవని సవినయంగా చెప్పుకున్నామె. విఖ్యాత గోపవరపు శ్రీ కంఠమల్లేశు వరముచేత నెఱిగి గవిత్వంబుంజెప్పగా నేర్చుకొంటి అన్నది. పోతన వలనే మొల్ల కూడా సల్లలిత ప్రతాపగుణసాగరుండై విలసిల్లి ధాత్రిపై బల్లిడుండైన రామ నరపాలకునిన్ స్తుతి చేయు జిహ్వకున్ రాజలోకమును జేకొని మెచ్చుగ నిచ్చుటట్టునే అని రామచంద్రునికే తన కావ్యమును అంకితం చేసిన భక్తురాలు మొల్ల.

రామాయణంలో సుందరకాండ ఎంతో ప్రసిద్ధమైనది. మిగిలిన కాండల కన్నా ఇది ఎంతో అందమైనది. పారాయణ చేసేవారు ముఖ్యంగా పాఠ్యభాగమైన సీతారావణ సంవాదం, ఘట్టంలో రావణుని అహంకారం, స్త్రీమూర్తి, సహనశీలి అయిన సీత యొక్క సౌశీల్యం చక్కని పద బంధనాలతో వర్ణించినవైనం అద్భుతం. వన్నిట మజ్జనం బాడి దివ్యాంబరాలు గట్టుకొని రావణుడు అట్టహాసంగా తన పరివారంలో అశోకవనానికి వస్తాడు. సీతను చూసి నా యెడ గృహారసము సేయ కవివేకమున నీ యెడల నుండుటిది న్యాయమెలతిరిగి అంటాడు. తన సంపదలను గురించి చెబుతాడు. సమస్త దేవతలు, దిక్పాలకు తన యింట బానిసలుగా ఉన్నారని గర్విస్తాడు. తన కోటను వాయుదేవుడు శుభ్రం చేస్తాడని, సముద్రుడు కళ్ళాపి చల్లుతాడని, మద్భుజాశక్తి ప్రతిపోల్చి అద్భుతంబు అని చెబుతాడు. కాని సీత ఎంతో సంయమనంతో నోకికి వచ్చిన మచ్చున భ్రేలుచున్న యా నీచుని దుష్టభాషణంబులకు రోసి తృణంబు చేపట్టి జనకభూపాలనందన జవాబు చెబుతుంది. పరదాలను చెరబడడమే ప్రతంగా పెట్టుకున్నా నీకు జవాబు చెప్పడం కూడా పాపమే. ఇతర భార్యలను దొంగచాటుగా నన్ను తీసుకు వచ్చావు. రాజమాత్రుండే మేదిని రక్షకుండు రామభూపాలుండాది నారాయణుండు నీవనంగనెంత? నీలావు చేవయెంత? చెప్పనేటికి నీవే చూచెదవు గాక! ఒడుపు దప్పిన కాలాపి దీనిన్ దెయ్యాలకు బలిపెట్టెద బలిమిని బైకొని నీకాంక్షదీర భావజకేటీన్ ఇలా ఎన్నెన్నో పద్యాలతో మొల్ల తన కవితా లక్షణాలను విపులంగా వివరిస్తారు. ఎంతో సుందరమైన భావాలు, భాషతో చక్కని అలంకారికయంతమై పద్యాలతో వీరి సంవాద రమ్యంగా చిత్రించారు కవయిత్రి మొల్ల. ఎటువంటి ఛందోవ్యాకరణాంశాలు తనకు తెలియవని వినయంగా మొల్ల ప్రకటించుకున్నా

రామాయణ రమ్యతకు కావలసిన సుందరమైన అలంకారాలను సందర్భ సహితంగా వినియోగించిన రీతి మొల్ల రామాయణాన్ని చిరస్మరణీయం చేసింది.

మొల్ల రామాయణ రచనలో పాత్రల యొక్క వ్యక్తిత్వ చిత్రణలో తన కవితాంశములను జోడిస్తూ ఎంతో యుక్తియుక్తంగా చిత్రిస్తారు. రావణుడు తన పరాక్రమంను వివరిస్తూ తనలో పోరుకు నగధరుడో, నగధిన్యుడో నగ ఛేడియో, కొంతకొంత నాతో బోరన్ అంటాడు. చివరిగా సీతను చంపుతానన్న రావణునిలో కొందరు రాక్షస కాంతలు సురవరుడో? ధనుంజయుడో సూర్యతనూజుడో యాత శరధి విభుండో.. అని అతను అటువంటి వారిపై కోపం చూపాలి కాని స్త్రీ అయిన సీత పైన ఎందుకని చెప్పిన సందర్భంలో తన రాజు యొక్క మానసిక బలము, బలహీనతను ఆ రాక్షస స్త్రీలతో చెప్పించడం ఓ కవితా చమత్కరి.

ఈ విధంగా “సీతారావణ సంవాదము” అను ఈ పాఠ్యభాగంలో మొల్ల కవిత్వపు సౌబగులు, చమత్కారం వంటి ఉన్నాయి.

3. రావణుని అలంకరణను వివరింపుము.

జ. “సీతారావణ సంవాదము” అనే పాఠ్యభాగ కవయిత్రి మొల్ల. ఆమె రచించిన ‘మొల్ల రామాయణము సుందరకాండలోని ప్రథమాశ్వాసం నుండి స్వీకరింపబడినది.

శ్రీరామ, సుగ్రీవుల ఆదేశానుసారం సీత జాడ అన్వేషణకు హనుమంతుడు సముద్రాన్ని దాటి లంకానగరంలో ప్రవేశించాడు. సీత కోసం ఆ నగరంలోని నివాసగృహాలు, రహదారులు, తోటలు, ఆరామాలు వంటివి అణువణువున గాలిస్తూ ఉన్నాడు. కానీ... ఆమెను కనుక్కోలేక పోయాడు. ఏమి చేయాలో తోచక... ఒక ఆరామ సమీపంలోని గోపురం పై ఉండగా.... ఆ సమీపంలోనున్న స్త్రీ మూర్తిని చూసాడు. ఆమెను గురించి తెలుసుకోవాలనుకున్నాడు. గోపురం దిగి, సూక్ష్మరూపంలో దగ్గరలోని అశోకవృక్షం పైకి చేరి పరిశీలించసాగాడు.

భర్తకు దూరమయిన తరువాత కలిగిన బాధ కంటే రాక్షస సేనలు, సేవకులు చేసే వివిధములయిన వికృతచేష్టలకు ఆమె మనసు వేదనాభరితమయింది. తనుకు ఎవరూ లేని దిక్కులేని దానిగా వేదన చెందసాగింది. రావణుడు, పరిచారికలు రాముని గురించి, తన గురించి చెప్పే మాటలు ఆమె చెవులకు కఠోరంగా ఉన్నాయి. వాటిని తలచుకుంటూ ఆమె కన్నులలో కన్నీటి సుడులు తిరుగుతున్నాయి. రాముని నిరంతరం తలచుకుంటూ ‘రామ’ ‘రామ’ అని నిరంతరం నామస్మరణ చేస్తున్న ఆ స్త్రీమూర్తిని చూచిన హనుమంతుడు. ఆమె ‘సీత’ అని నిశ్చయించుకొని మనసులో ఎంతగానో సంతోషించాడు.

అదే సమయములో రావణుడు సీత పైన ఆశ కలిగినవాడై, పరితపించిన హృదయముతో ఆమెను దర్శించడానికి వస్త్రీటి స్నానం చేసి, గొప్పవయిన వస్త్రములు ధరించి, కర్పూరము గంధములతో కలగలిపిన పూతల శరీరమునకు పూసుకొని, పారిజాత పుష్పములను ముడుచుకొని, పైన జవ్వాది తదితర సువాసనా భరిత తైల లేపమును పూసుకుని, తనకున్న పదితలలకు రత్న కిరీటాలను ధరించాడు. చెవులకు మణిమయ ఆభరణాలను ధరించాడు. సూర్యకాంతితో వెలిగే, పతకాలను, ముత్యాలదండలు, భుజకీర్తులు, విలువైన రత్నాలతో చేసిన ఉంగరాలను వ్రేళ్ళకు ధరించాడు. నవరత్నములు పొదిగిన సువర్ణమయ వొడ్డాణమును ధరించాడు. విలాసమైన పురుషుడుగా, వెన్నెలవంటి నవ్వును పెదాలపై అలముకొని ఉన్నాడు. అతనికి ఇరువైపుల కిన్నెర, కింపురుష, గంధర్వ జాతులకు చెందిన మహిళామనులు. వెంట ముత్యాల గొడుగులు పడుతూ, వినన క్రలతో విసురుతూ వస్తున్నారు. మరి కొంతమంది తన చేతులతో కరదీపికలును ధరించి అతని ముందర గబగబా నడుస్తూ వస్తున్నారు. మంది మార్బలంతో రావణాసురుడు అత్యంత విలాసవంతమైన, అధికార దర్పంతో ఆశోకవనంలో సీత ఉన్న ప్రదేశానికి వచ్చాడు. వారిని చూసిన సీత వాయు వేగమునకు తూలే పుష్పమువలే చలించినదై, తన శరీరాన్ని తను ధరించిన వస్త్రాలతో పూర్తిగా కప్పకొన్నది. ధూళితో కప్పబడిన రత్నమువలే, నిపురు గప్పిన నిప్పువలే మేఘములు కప్పిన చంద్రబింబంలాగా, ఇత్తడి పూతచే కప్పివేయబడిన బంగారపు తునకలాగా ఆమె ఉన్నది.

4 రావణుడు సీతను ఏమని అభ్యర్థించెను?

జ. రావణుడు సీతను అభ్యర్థించుట : విశాలమైన నేత్రములు కలిగిన సీత! మన్మథుడు లేచి తనదైన వాడి బాణములతో నా పై దాడి చేస్తున్నాడు. చక్కని శీతల పవనాలుతో వాయుదేవుడు మనసును ఆనంద పరచుచునే ఉన్నాడు. కోయిలలు, వివిధ రకాలైన పక్షుల యొక్క కిలకిలరావాలతో ప్రకృతి అంతా మిక్కిలిగా పులకిస్తూ ఉంది. మనసులోని ఆలోచనలకు ఆనందాన్నిస్తున్నాయి. ఇటువంటి రసరమ్య ప్రకృతి మధ్య నీవు నా పట్ల కృపను చూపక, అవివేకముతో వ్యవహరిస్తున్నావు. నీకిది తగునా? ఓ సీతా..... అలకాపురాధీశుడయిన కుబేరుడు నాకు బహుమానముగా ఇచ్చిన పట్టు వస్త్రాలు ఇవిగో ఇంద్రుడు ప్రతిదినం నాకు పారిజాత పుష్పాలు పంపిస్తాడు. దక్షిణాధీశుడైన ప్రభువు నాకు కర్పూరము తదితర సుగంధ ద్రవ్యాలను సమర్పిస్తారు. నాగలోక సార్వభౌముడైన నాగరాజు పాతాళలోకమునుండి విలువయినట్టి రత్న రాశులను తీసుకొని వస్తాడు. ఇవన్నీ నాయింట్లో రాశులుగా ఉన్నాయి. వాటితో శరీరమును అలంకరించుకొని, నాకు సుఖములు ఇస్తూ నీవు సుఖిస్తూ ఉండాలి. రాముని పైన అడియాశను విడిచిపెట్టుకో.

ఓ సీతా! నా కోటను గురించి వివరములు నీకు తెలియవనుకుంటాను. సముద్రము నా లంకకు అగడ్తగా రక్షణనిస్తుంది. ఇంద్రాది దేవతలు నిరంతరం నా అనుచరులుగా

సేవలందిస్తారు. గంధర్వ, కిన్నెర, సురకాంతలు నా కౌగిలి చెఱసాలలో ఉండటానికి వస్తారు. సకల లోకములను పుష్పకం ఎక్కి మిక్కిలి ఉత్సాహంగా తిరుగాడే వాణ్ణి ఈ లోకంలో మాత్రమే నా యొక్క భుజశక్తికి సాటిరాగలవారెవరున్నారు. వాయుదేవుడు నా కోట పరిసరాల్లోని దుమ్ము ధూళిని శుభ్రం చేస్తాడు. సముద్రుడు ఉదయమే నా ఇంటి ముంగిట కళ్యాపి జల్లుతాడు. నా దినసరి ఖర్చులను కుబేరుడు సరి చూస్తాడు. గురుడు(బృహస్పతి) నా మంచి చెడు ముహూర్తములను పంచాంగం చూసి చెబుతుంటాడు. ఓ సీతా ఇవన్నీ ఈ లోకంలో నేను మాత్రమే చేయగలవాడను.

శంకరుడు నివాసమైన కైలాస పర్వతాన్ని బంతిలాగా ఎత్తి పట్టుకున్న వీరత్వం నాది. దిక్పాలకుల యొక్క గర్వమును యుద్ధంలో నాశనం చేశాను. నాగలోకంలో మహా నాగుల గర్వాన్ని సహితం అణిచాను. తైల సంస్కారం లేక జుత్తు జడలు కట్టి, మునుల వలే తమ్మునితో కలసి దుర్గమమైన అరణ్యాలలో తిరుగుతూ, కందమూలములు తింటూ తిరిగే రాముడు ఎలా లంకకు రాగలడు? ఏ విధంగాను నాతో సరికాడు. రాక్షసులు ఎప్పుడైనా మనుషులను గెలువగలరు. మానవమాంస భక్షులైన రాక్షసులను మానవులు చంపట మనేది ఎప్పుడైన ఈ భూమి మీద జరిగిందా? నా యొక్క భుజశక్తిని ఎదిరించ గల సమర్థత రామునికెక్కడిది? ఈశ్వరుడో, ఇంద్రుడో అయితే నాతో అంతో ఇంతో పోరాడగలరు. ఆ సంగతి అట్లుండనీ! నీ కన్నుల అందం, నీ శరీర సౌష్ఠ్యం, నీ చేతుల సౌకుమార్యం మరే స్త్రీ యందు నేను చూడలేదు. దేవతా స్త్రీలు, యక్షుల భార్యలు, కిన్నెరులైన ఆడవారు నీకు సాటిరారు. మునిపత్నులు సహజంగానే నీతో పోల్చలేనివారు. గురుడు, గంధర్వ లోకాలలో నిన్ను మించిన సౌందర్యం గల వారే? గొప్పవయిన దుస్తులను ధరించి, భయమువీడి, మృదువైన మాటలు నాతో మాట్లాడు. ప్రేమ పూరిత కన్నులతో నన్ను చూడుము. కనురెప్పలెత్తి చూడుము. అని నోటికి వచ్చినట్లు మాట్లాడిన రావణుని అసహ్యంగా చూసి, తిరస్కార భావంతో ఓ గడ్డిపోచను త్రొంపి దానిని చేత్తో పట్టుకొని సీత రావణుని తిరస్కరిస్తూ ఇలా మాట్లాడింది.

5. రావణునికి సీతపై ఎందుకు ఆగ్రహం కలిగింది?

జ. సీత మాటలకు రావణుడు కోపోద్రిక్తుడై ఆమెను నిందించసాగాడు. “స్త్రీ కదాయని ఓర్పు వహించి

న కొద్దీ నన్నే తక్కువ చేసి మాట్లాడుతున్నది. దీని నాలుక ముక్కలు ముక్కలుగా చేయగలను. మాట్లాడకుండా నా ముందర వడి ఉండవలసినదే. నాతోనే కయ్యమునకు కాలుదువ్వుతున్నది. దీనిని సంహరించి దెయ్యాలకు ఆహారంగా వేస్తాను. నా కోటిక తీర్పుకొని విడిచిపెట్టెదను. నా యొక్క భుజబలంతో కైలాసాన్నే ఎత్తిన వాడను.

దిక్పాలకులను నా సైన్యంతో రణరంగమున భయావహులను చేసి ఓడించాను. అటువంటి నా పరాక్రమమును గుర్తించక రాముడు భీకరుడని అతడి పరాక్రమమును పొగడుతున్నదీ సీత. సమస్త లోకములలో నా పుష్పకమునెక్కి తిరుగుగలవాడిని. దేవతల చేత వెట్టి చాకిరి చేయించుకోగలవాడిని, బ్రహ్మచేత వరములు పొందినవాడిని, ఘోర తపస్సు చేసినవాడిని, యక్ష, కిన్నెర, గంధర్వల యొక్క భార్యలను చేపట్టినవాడిని. నన్ను కాదని ఒక పేద నరుని కీర్తిస్తూ నన్ను ఎదిరిస్తున్న దీని నాలుకను తుదకంటూ తెగనరికి నేలపై పడునట్లు చేస్తాను". అని కోపంగా ఆమెను చేరబోయిన రావణుని చూచి కొందరు రాక్షస స్త్రీలు అడ్డు వచ్చి ఇంద్రుడు, యముడు, నిరృతి వంటి వారిపై చూపవలసిన కోపాన్ని ఒక స్త్రీ మీద చూపడం మంచిది కాదు. పిచ్చుక పై బ్రహ్మాస్త్రం ఎందుకు? ఇటువంటి ఒంటరి, బలహీను రాలైన స్త్రీపై ప్రతాపం చూపడం మంచిదేనా? మీ వంటి వీరుల కత్తికి ఈమె అర్హురాలేనా? మాకొక అవకాశము ఇవ్వండి. ఈమె మనసును మారుస్తాము అని శాంత వచనాలు చెప్పగా, ఆ రాక్షస చక్రవర్తి రావణుడు సీత ప్రక్కనున్న ఏకజటా, ద్విజట, త్రిజట, దుర్ముఖి, వాయుముఖి, శూర్పణఖ తదితర రాక్షస స్త్రీలను చూసి, వారితో రెండు మాసములు గడువు ఇస్తున్నాను. నాకు లోబడేటట్లు చేయండి. లేకున్నా కండలు కండలుగా ఆమెను కోసుకు తినడం చెప్పి కోపంతో అక్కడ నుండి వెళ్ళిపోయాడు. అంతట సీత తన భర్తను నిందించడమే కాకుండా తనను చంపమని చెప్పిన మాటకు ఆమె మిక్కిలి విచారపడుతూ తన భర్త అయిన రాముని తలచుకొని దుఃఖించసాగింది.

సీతాదేవి దుఃఖిస్తున్నందుకు, ఆమె బాధను చూసిన యక్ష, కిన్నెర, గంధర్వ స్త్రీలు సహితం ఏడ్వసాగిరి. వారి ఆవేదనను విన్న హనుమ మనసులో మిక్కిలి విచారించెను. రెట్టించిన కోపముతో వెంటనే వెళ్ళి రావణాసురుని సంహరించాలనుకున్నాడు. కాని కావలసిన కార్యం చెడుతుందని ఆగినాడు. సీతను తానుచూచిన విషయం రామలక్ష్మణులకు అలస్యం లేకుండా తెలియజేయాలనుకున్నాడు. హనుమంతుడు క్రిందకు దిగుదాముని అనుకున్నాడు. కాని ఇది తగిన సమయం కాదని భావించాడు.

5.8 సంగ్రహరూప ప్రశ్నలు

1. సీత రాముని గొప్పదనాన్ని గురించి చెప్పిన విధం వ్రాయండి.

జ. పతినే దైవంగా ఎల్లవేళలయందు మనసులో కొలుచుకొనే స్త్రీలు నీ వంటి నీచునితో మాట్లాడటం కంటే వేరే పాపముందా? పరస్త్రీలను కోరే పురుషుల ఆయువు నశిస్తుంది. పుణ్యము చెడుతుంది. ఉత్తములైనవారు నిందిస్తారు. అది నరకమనే మాట నీవు వినలేదా? అంతేకాదు.. తన సాహసాన్ని తానే పొగడుకొనే వాడు హీనమైన గుణము కలవాడు.

నీకు నీవే పొగడుకుంటున్నావు. ఇటువంటి ధర్మశాస్త్ర విరుద్ధములయిన మాటలు తప్పు. యుద్ధరంగంలో నా పతి రఘురాముడు సైన్యముగా వచ్చిన వానరసేనతో పోరాడినప్పుడు తన పరాక్రమమును చూడవచ్చు. ప్రస్తుతం నన్ను దొంగలించుకొని వచ్చావు. నీవు ఇటువంటి తుచ్చపు మాటలు మాట్లాడటం నీకు సమంజసమేనా? ముడుచుకొనుటకు కురులు (జుట్టు) కూడా లేని పిన్న వయసులోనే ఎటువంటి భయములేకుండా తాటకిని హతమార్చినాడు. విశ్వామిత్రుడి వెంట యాగరక్షణకు వెళ్ళి ఎంతో మంది రాక్షసులను సంహరించినాడు. ఈ భూమీద ఏ రాజు కూడా విరువలేని శివధనుర్భంగం చేసినాడు. దుర్లభమైన అడవుల్లో ఖర, ధూషణాది రాక్షసులను సంహరించాడు. తన పాదస్పర్శతో రాయిని నాతిగా మార్చిన వైనం నీకు తెలుసా? మాయచేత మాయామృగముగా వచ్చిన మారీచుని గతి ఏమయింది? రాజుగా ఈ భూమిని రక్షించగల రాముడు సాక్షాత్తు ఆదినారాయణుడే! అటువంటి రామునికి ఈ సముద్రమెంత? ఈ లంక ఎంత? ఈ రాక్షసులెంత? ప్రగల్భాలు ఎందుకు? సముద్రమును ఇంకింపజేసి, శ్రీరాముడు కోపమును చవిచూసేటట్లుగా నిను భయంకరమైన యుద్ధములో చంపి, నీ యొక్క అస్త్రములను ముక్కలుగా చేసి నిన్ను భూతాలకు ఆహారంగా పెట్టగలడు. అవ్రహామిమైన శౌర్యపరాక్రమాలతో నిన్ను సంహరించి, తన సామర్థ్యాన్ని చూపగలడు. అని సీత తన రాముని గొప్పదనానన్ని గూర్చి రావణుతో పలికింది.

2. రావణుడు సీతను ఏమి చేయమని రాక్షస వనితలకు చెప్పాడు?

జ. ఆ రాక్షస చక్రవర్తి రావణుడు సీత ప్రక్కనున్న ఏకజటా, ద్విజట, త్రిజట, దుర్ముఖి వాయుముఖి, శూర్పణఖ తదితర రాక్షస స్త్రీలను చూసి, వారితో రెండు మాసములు గడుపు ఇస్తున్నాను. నాకు లోబడేటట్లు చేయండి. లేకున్నా కండలు కండలుగా ఆమెను కోసుకు తినండని చెప్పి కోపంతో అక్కడ నుండి వెళ్ళిపోయాడు.

3. రావణుడు సీతపై ఎందుకు ఆగ్రహించాడు?

జ. రావణుడు సీత తన యొక్క అధికారం వీరత్వమును గుర్తించక, తన భర్త అయిన శ్రీరాముని పరాక్రమమును పొగడటం రావణునికి నచ్చలేదు. ఈ కారణంగా తన అధికార దర్బాన్ని ప్రదర్శించుకొనేందుకు ఆమెను వధించమని రాక్షస స్త్రీలకు చెప్పెను. ఒక సాధారణమైన స్త్రీ సీత తనను తన కోరికను మన్నించకపోవడంతో రావణుడు సీతపై ఆగ్రహించాడు.

4 హనుమ సీత వద్దకు చేరిన పద్ధతిని గూర్చి వ్రాయండి.

జ. 'సీతా రావణ సంవాదము' అనే మా పాఠ్యభాగ కవయిత్రి మొల్ల. ఆమె రచించిన 'మొల్ల రామాయణము సుందరకాండలోని ప్రథమాశ్వాసము నుండి స్వీకరింపబడినది.

శ్రీరామ, సుగ్రీవుల ఆదేశానుసారం సీత జూడ అన్వేషణకు హనుమంతుడు సముద్రమును దాటి లంకానగరంలో ప్రవేశించాడు. సీత కోసం ఆ నగరంలో నివాసగృహాలు, రహదారులు.. తోటలు, ఆరామాలు అణువణువునా గాలిస్తూ ఉన్నాడు. కానీ... ఆమెను కనుగొనలేక పోయాడు. ఏమి చేయాలో తోచక... ఒక ఆరామ సమీపంలోని గోపురంపై ఉండగా.... ఆ సమీపంలోనున్న స్త్రీ మూర్తి సీతను చూసాడు. ఆమెను గురించి తెలుసుకోవాలనుకున్నాడు. గోపురం దిగి, సూక్ష్మరూపంలో దగ్గరలోని అశోకవృక్షం పైకి చేరి పరిశీలించసాగాడు.

భర్తకు దూరమయిన తరువాత కలిగిన బాధ కంటే రాక్షస సేనలు, సేవకులు చేసే వివిధములయిన వికృతచేష్టలకు ఆమె మనసు వేదనాభరితమయింది. తనుకు ఎవరూ లేని దిక్కులేని దానిగా వేదన చెందసాగింది. రావణుడు, పరిచారికలు రాముని గురించి, తన గురించి చెప్పే మాటలు ఆమె చెవులకు కఠోరంగా ఉన్నాయి. వాటిని తలచుకుంటూ ఆమె కన్నులలో కన్నీటి సుడులు తిరుగుతున్నాయి. రాముని నిరంతరం తలచుకుంటూ 'రామ' 'రామ' అని నిరంతరం నామస్మరణ చేస్తున్న ఆ స్త్రీమూర్తిని చూచిన హనుమంతుడు. ఆమె 'సీత' అని నిశ్చయించుకొని మనసులో ఎంతగానో సంతోషించాడు.

5. త్రిజట స్వప్న వృత్తాంతాన్ని గురించి వ్రాయండి.

జ. త్రిజట స్వప్న వృత్తాంతము : చెలులారా! నేను ఒక కల కన్నాను. ఆ కలలో రాముడు వచ్చి రావణునితో యద్ధం చేసి, అతడిని వధించి సీతను పుష్పక విమానంలో తీసుకొనిపోయినట్లు శుద్ధాత్ముడైన రాముడు శుద్ధాత్మ అయిన సీత, మరియు ఆమెకు కలుగు శుభ సూచకములు నాకు కనిపించాయి. కావున... మీరు తొందరపడి సీతను కఠినమైన మాటలతో నిందించకండి. సీతను రక్షించడమే మనకు మిగిలిన కర్తవ్యం అని వారికి తెలియజెప్పింది.

6. సీతారావణ సంవాదం పాఠ్యభాగ నేపథ్యాన్ని వివరించండి.

జ. రావణునిచే సీతాపహరణ జరిగిన తరువాత సీతాన్వేషణలో రామలక్ష్మణులకు సుగ్రీవునితో స్నేహం ఏర్పడింది. వారి వధానంతరం సుగ్రీవుడు తన వానర సైన్యాన్ని నాలుగు దిక్కులకు పంపి సీత జూడ తెలుసుకొని రమ్మంటాడు. ఈ కార్యంలో భాగంగా లంకానగరంలో వెతకమని ఆంజనేయుని పంపిస్తాడు. అతడు లంకానగరం చేరి సీతను వెదుకుతాడు. ఒకచోట రామ నామస్మరణ వినిపిస్తుంది. అశోకవనంలో ఉన్న సీత

చేస్తున్న స్మరణ అది. అక్కడకు చేరుకుంటాడు. సూక్ష్మరూపంలో ఒక వృక్ష శిఖరాగ్రమున దాక్కుంటాడు. ఇంతలో రావణుడు దాసదాసీ జనంతో వచ్చి సీతతో సంభాషించిన సందర్భంలో సీతారావణుల మధ్య జరిగిన సంవాదమే ఈ పాఠ్యభాగం.

5.9 అభ్యాసం

1. కవయిత్రి మొల్లను గూర్చి వ్రాయండి.
2. రావణుడు సీతపై ఆగ్రహించిన విధమును గురించి రాయండి.

సందర్భ సహిత వ్యాఖ్యలు వ్రాయుము.

1. వచ్చు త్రోవ చెవుమ వారిజాక్షి
2. బ్రతివచనము లాడుకంటె c బాపము గలదే?
3. వినఁగూడదు ధర్మశాస్త్ర విపరీతంబుల్
4. చెప్పనేటికి నీవె చూచెదవు గాక!

క్రింది పదములను విడదీసి సంధినామములు వ్రాయుము.

1. అగ్గోపురము	2. నిశితాంబక
3. చీనాంబరములు	4. నవనిధానంబులు
5. మహోత్సాహము	6. పాకారి
7. ధనుజేశ్వరుడు	8. పంచాంగము
9. మృధాక్షులు	10. సత్పురుషులు

క్రింది పదములకు విగ్రహ వాక్యములు వ్రాసి సమాస నామములను తెల్పుము.

1. సూక్ష్మరూపము,	2. శింశుపా వృక్షము,
3. లతాంగి,	4. లంకేశ్వరుడు
5. సుందరాంగములు ,	6. అహీనబలము
7. హీనగుణుడు	8. మేదిని రక్షకుడు,
9. ఘోరాజి	10. నామందర
11. దిగీశు సైన్యములు	

విద్యార్థులకు సూచన

అలంకారములను పద్యములయందు గుర్తించి వ్రాయండి.

ఇచ్చిన పద్యములనందు ఛందస్సును గుర్తించండి.

నక్షత్రము గుర్తు కలిగిన పద్యములు కంఠస్థము చేయండి.

యూనిట్ - 6

వ్యాకరణం

6.1 సంధులు

సంధులు 2 రకములు

1. సంస్కృత సంధులు - సంస్కృత పదాల మధ్య జరిగే సంధులు
2. తెలుగు సంధులు - అచ్చ తెలుగు పదాల మధ్య జరిగే సంధులు

తెలుగు సంధి నిర్వచనము :

పూర్వ పర స్వరములకు పర స్వరములు ఏకాదేశము కావడం సంధి

పూర్వ స్వరము - మొదటి పదము చివరి నుండు అచ్చు

పర స్వరము - రెండవ పదము మొదటి అచ్చు

ఈ రెండు అచ్చుల స్థానమున పర అచ్చు ఒక్కటే ఆదేశముగనని అర్థం

ఉదా : రాముడు + అతడు

మొదటి పదము రాముడు చివరి అచ్చు = డ్ + ఉ

రెండవ పదము అతడు మొదటి అచ్చు = అ

ఈ రెండింటి స్థానమున రెండవ అచ్చు ఆదేశముగా వచ్చి ' రాముడతడు' అగును.

సంధి కార్యములో వచ్చు పారిభాషిక పదాలు

బహుళం : వ్యాకరణ నియమం కొన్ని చోట్ల నిత్యంగా, కొన్ని చోట్ల వైకల్పికంగా, కొన్ని చోట్ల నిషిద్ధంగా, కొన్ని చోట్ల అన్యకార్యంగా ఉండటం.

ఉదా :

పెద్దన్న = పెద్ద + అన్న = నిత్యం

పుట్టినెల్లు, పుట్టినయిల్లు = పుట్టిన + ఇల్లు = వైకల్పికం

గంగ యున్నది = గంగ + ఉన్నది = నిషేధం

ఒకానొక = ఒక + ఒక = అన్యకార్యం

వైకల్పికం : వ్యాకరణ నియమం ఒకసారి వర్తించి ఒక రూపం, వర్తించకుండా మరొక రూపం వస్తుంది

ఉదా : ఏమి + అన్నావు = ఏమన్నావు, ఏమియన్నావు

నిత్యం : తప్పనిసరిగా వర్తించటం

ఉదా : మనము + ఉన్నాము = మనమున్నాము

ఏకాదేశం : రెండు వర్ణములుకు బదులు ఒకే వర్ణము రావడం

రాముడు + అతడు = రాముడతడు

ఆదేశం : స్థానాక్రమణము ‘ శత్రువేత్ ఆదేశః’ ఒక వర్ణ స్థానంలో మరొక వర్ణం శత్రువుగా రావటం

ఉదా : కాయ + కూర = కాయగూర

నీవు + టక్కరివి = నీవుడక్కరివి

ఆగమం : పర్ణాధిక్యము “మిత్రవత్ ఆగమః”. మిత్రుని వలె అదనంగా మరొక వర్ణం చేరటం.

ఉదా : పేద + ఆలు = పేదరాలు = పేద + ర్ + ఆలు

నీ + కరుణ = నీదుకరుణ = నీ + దు + కరుణ (దుగాగమం)

పాఠ్య ప్రణాళికలో నిర్దేశించిన సంధులు

సంధులు :

1. ఉత్పసంధి
2. త్రిక సంధి
3. ద్రుత ప్రకృతిక సంధి
4. నుగాగమ సంధి
5. ద్విరుక్తటకారదేశ సంధి
6. యణాదేశ సంధి
7. వృద్ధి సంధి
8. శ్చుత్వసంధి
9. జశ్వు సంధి
10. అనునాసిక సంధి

1. ఉత్పసంధి :

ఉత్పసంధి అచ్చు పరంబగునపుడు సంధి యగును. (వివరణ : ఉత్తు అనగా హ్రస్వ ఉ కారము. ఉకారమునకు అచ్చు పరమగుట)

ఉదా :

రాముడతడు = రాముడు + అతడు (ఉ+అ = అ)

మునుముంటిమి = మనము + ఉంటిమి (ఉ+ ఉ= ఉ)

భావమేమి = భావము + ఏమి (ఉ+ ఏ = ఏ)

సూత్రం : ప్రథమేతర విభక్తి, శత్రువృత్తవర్ణంబులందున్న ఉకారమునకు సంధి వైకల్పికము.

వివరణ : ప్రథమా విభక్తి ఇతర విభక్తులందున్న ఉకారమునకు ను, శత్రువృత్త

చువర్ణములందున్న ఉకారమునకును సంధి వైకల్పికము.

శత్రుధము - అనగా వర్తమాన కాల అసమాపక క్రియ. ఉదా॥ వచ్చుచున్

చివర గల అసమాపక క్రియ

నన్నడిగె = నన్నున్ + అడిగె

వాకొఱకిచ్చె = నా కొఱకున్ + ఇచ్చె

నా కొరకు నిచ్చె = నా కొఱకున్ + ఇచ్చె

2. త్రికసంధి :

సూత్రములు :

1. ఆ, ఈ, ఏ అనునవి త్రికములు.
2. త్రికము మీది అసంయుక్త హల్లునకు ద్విత్వంబు బహుళంబుగానగును.
3. ద్విరుక్తంబగు హల్లు పరంబగునపుడు ఆచ్ఛికంబగు దీర్ఘంబునకు ప్రాస్వంబగు

ఉదా : ఆ + కన్య = అక్కన్య

ఆ + మానిని = అమ్మానిని

ఈ + విధము = ఇవిధము

ఏ + చోటు = ఏచోటు

3. ద్రుత ప్రకృతిక సంధి (సరళాదేశ సంధి)

1. ' న ' కారాన్ని ద్రుతం అంటారు. ' న్, ని, ను - లు ద్రుతాలు - ద్రుతమంటే 'కరిగిపోయేది' అని అర్థం. అవసరంలోని చోట లోపిస్తుందని అర్థం.

2. ద్రుతం చివరగల పదాలను ద్రుతప్రకృతికాలు అంటారు.

పరుషములు = క చ ట త ప

సరళములు = గ జ డ ద వ

సూత్రం : ద్రుత ప్రకృతికము మీది పరుషములకు సరళములగు.

పూచెన్ + కలువలు = పూచెన్ న్న లువలు (క - గ)

చేసెన్ + టక్కు = చేసెన్ డ క్కు (చ - జ)

చేసెన్ + తల్లి = చేసెన్ ద ల్లి (త - ద)

సూత్రం : ఆదేశ సరళానికి ముందున్న ద్రుతానికి బిందు సంక్షేపణ విభాషగా వస్తాయి.

సూచన : ఒక్కొక్కసారి బిందువు వస్తుంది. ఒక్కొక్కసారి సంక్షేప వస్తుంది.

పూచెన్ + గలువలు = పూచెను గలువలు (ద్రుతం మార్పులేదు)
 = పూచెం గలువలు (ద్రుత'సున్న' గా మారుట)
 = పూచెం గలువలు (ద్రుతము అరసున్న గా మారుట)
 = పూచెన్గలువలు (ద్రుతము సంక్షేపం)

4. సుగాగమ సంధి :

సూత్రం : ఉదంతమగు తద్దార్పక విశేషణమున కచ్చు పరమగునప్పుడు సుగాగమంబగు

ఉదా : చేయునతడు = చేయు అతడు = చేయు+ న్ + అతడు

పోవునట్లు = పోవు + అట్లు = పోవు+ న్ + అట్లు

కలుగునప్పుడు = కలుగు + అప్పుడు = కలుగు + న్ + అప్పుడు

సూత్రం : షష్ఠీ తత్పురుషాల్లో ఉకారానికి, ఋకారానికి అచ్చు పరమగునప్పుడు 'సుగాగమం' వస్తుంది.

ఉదా: రాజునాజ్ఞ = రాజు+ ఆజ్ఞ = రాజు + న్ + ఆజ్ఞ (రాజు ఉకారాంతం)

విధాతృనానుతి= విధాతృ + ఆనతి = విధాతృ + న్ + ఆనతి

(విధాతృ ఋకారాంతం)

5. ద్విరుక్తటకారాదేశ సంధి :

సూత్రం : కుఱు, చిఱు, కడు, నడు, నిడు శబ్దముల 'ఱ' 'డ' లకు అచ్చు పరమగునప్పుడు ద్విరుక్తటకారంబగు.

ఉదా : కుఱు + ఉసురు = కుట్టుసురు (ఱు + ఉ = ట్టు)

చిఱు + అడవి = చిట్టడవి (ఱు+ అ = ట్ట)

కడు + ఎదురు = కట్టెదురు (డు+ లు = ట్టె)

నిడు + ఊర్పు = నిట్టూర్పు (డు + ఊ = ట్టూ)

నడు + ఇల్లు = నట్టిల్లు (డు + ఇ = ట్టె)

సంస్కృతసంధులు :

6. యణాదేశ సంధి :

సూత్రం : ఇ, ఉ, ఋ వర్ణములకు అసవర్ణములు పరమైనచో వరుసగా య,వ,ర,లు అదేశంగా వస్తాయి. య, వ, ర లను "యణ్ణులు" అంటారు.

ఉదా : అతి + అంతము = అత్యంతము (ఇ+ అ = య)

గురు + ఆజ్ఞ = గుర్వాజ్ఞ (ఉ+ ఆ = వ)

పితృ + ఆజ్ఞ = పిత్రాజ్ఞ (ఋ+ ఆ = ర)

7. వృద్ధిసంధి :

ఐ, ఔ లను వృద్ధులంటారు.

ఇవి వచ్చు సంధి కావున వృద్ధి సంధి అంటారు.

సూత్రం : అకారమునకు ఏ, ఐ లు పరమైన ' ఐ కారము, ఓ, ఔ లు పరమైన 'ఔ కారము ఏకాదేశమగును.

ఉదా : వసుధ + ఏక	=	వసుధైక (అ+ ఏ =ఐ)
వన + ఓషధి	=	వనౌషధి (అ+ ఓ = ఔ)
రమా + ఐక్యము	=	రమైక్యము (అ+ ఐ= ఐ)
మహా + ఔషధము	=	మహౌషధము (అ+ ఔ+ = ఔ)

8. శ్చుత్వ సంధి

సూత్రం : ' స' కార ' త' వర్గలకు వరుసగా ' శ' కార 'చ' వర్గలు పరమైతే 'శ' కార 'చ' వర్గలే ఆదేశములుగా వచ్చును.

సూచన : 'స' కార 'త' వర్గలు - స మరియు త, ధ, ద, ధ, న

' శ' 'కార' 'చ' వర్గలు - శ మరియు చ, ఛ, జ, ఝ, ఞ

నిశ్చింత	=	నిస్ + చింత
మనశ్చలనము	=	మనస్ + చలనము
సజ్జనుడు	=	సత్ + జనుడు
జగజ్జనని	=	జగత్ + జనని
యావజ్జగము	=	యావత్ + జగము

9. జశ్చ సంధి :

సూత్రం : వర్గ ప్రథమాక్షరములకు అచ్చులుగాని, వర్గ తృతీయ, చతుర్థాక్షరములుగాని, 'హ, య, వ, ర 'లుగాని పరమగునపుడు క్రమముగా (అయా వర్గ తృతీయాక్షరములు) గ, జ, డ, ద, బ, లు ఆదేశమగును.

ఉదా : వాగ్వాదము	=	వాక్ + వాదము
దిగంతము	=	దిక్ + అంతము
అజంతము	=	అచ్ + అంతము
విరాడ్రూపము	=	విరాట్ + రూపము
సద్విషయం	=	సత్ + విషయం
సద్భావము	=	సత్ + భావము

శరద్రాత్రి	=	శరత్ + రాత్రి
జగద్విఖ్యాతి	=	జగత్ + విఖ్యాతి
మహద్వాచకము	=	మహత్ + వాచకము
వాగ్దేవి	=	వాక్ + దేవి

10. అనునాసిక సంధి

సూత్రము : క, చ, ట, త, ప లకు 'న, మ' లు పరమైన క్రమముగా వర్గాను నాసికాలు (జ, ఙ, ణ, న, మ) ఆదేశమగును.

ఉదా : వాఙ్మయము	=	వాక్ + మయము
రాణ్మహేంద్రవరము	=	రాట్ + మహేంద్ర వరము
జగన్నాథుడు	=	జగత్ + నాథుడు
జగన్మాత	=	జగత్ + మాత

6.2 సమాసములు

విద్యార్థులు నేర్చుకోవలసిన సమాసములు

1. అవ్యయభావ	2. తత్పురుష	3. కర్మధారయ
4. ద్వంద్వం	5. ద్విగు	6. బహువ్రీహి

సమర్థంబులగు పఠంబులు ఏక పదంబగుట సమాసము.

1. అవ్యయభావ :

సూత్రం : పూర్వ పదార్థ ప్రాధాన్య కలది అవ్యయ భావ సమాసం

(లింగ, వచన, విభక్తి లేనివి అవ్యయాలుగా పిలవబడతాయి)

ఉదా : ఆబాలగోపాలం	=	బాలుడి నుంచి గోపాలుని వరకు (పిల్లల నుంచి పెద్దల దాకా అందరు అని అర్థం)
అనుకూలం	=	కూలమును (ఓడ్డును) అనుసరించి
ప్రతిమాసం	=	మాసం మాసం
యథామూలం	=	మూలం ఎంతో అంత

తత్పురుష సమాసము

ద్వితీయాది విభక్తి ప్రత్యయాలను విగ్రహ వాక్యంలో ఉపయోగించే సమాసాలు తత్పురుష సమాసాలు

ఈ సమాసంలో రెండవ పదము యొక్క అర్థం ప్రధానంగా ఉంటుంది.

విభక్తులు :

1. నిన్, నున్, లన్, కూర్చి గురించి = ద్వితీయా
2. చేత(న్), చే(న్), తోడ (న్) తో(న్) = తృతీయా
3. కొఱకు(న్), కై = చతుర్థి
4. వలన (న్), కంటి (న్), పట్టి = పంచమీ
5. కి(న్) కు(న్) యొక్క లో (న్) = షష్ఠీ
6. అందు(న్), న(న్) = సప్తమీ విభక్తి

ద్వితీయ తత్పురుష :

- చక్రధరుడు = చక్రమును ధరించినవాడు
పుత్రార్థి = పుత్రుని అర్థించేవాడు
స్త్రీ రూప ధారిణి = స్త్రీ రూపమును ధరించునది

తృతీయ :

- ఇంద్ర సమానుడు = ఇంద్రునితో సమానుడు
వయో వృద్ధుడు = వయస్సు చేత వృద్ధుడు

చతుర్థి :

- హోమధేనువు = హోమము కొరకు ధేనువు
పని మనిషి = పని కొరకు మనిషి

పంచమీ :

- పాపభీతి = పాపము వలన భీతి
దొంగ భయము = దొంగ వలన భయము

షష్ఠీ తత్పురుష :

- రాముని బాణము = రాముని యొక్క బాణం
దేశ చరిత్రలు = దేశము యొక్క చరిత్రలు
పాండు కుమారులు = పాండు రాజు యొక్క కుమారులు

సప్తమీ తత్పురుష :

- వీరాగ్రగణ్యుడు = వీరుల యందు అగ్రగణ్యుడు
దేశభక్తి = దేశము నందు భక్తి

సజాత తత్పురుష :

అప్రియములు	=	ప్రియములు కానివి
అజ్ఞానము	=	జ్ఞానము కానిది
కర్మధారయము	=	విశేషణమునకు విశేష్యము తోడి సమాసము కర్మధారయము (సమానాధికరణము అని కూడా అంటారు)

విశేష్యము అంటే నామవాచకము.

1. విశేషణం పూర్వపరంగా (మొదటి పదంగా) ఉంటే అటువంటి సమాసాన్ని, విశేషణ పూర్వపద కర్మధారయ సమాసం అంటారు.

ఉదా : నల్ల కలువ = నల్లదైన కలువ

(ఇందు ' నల్ల' అనేది విశేషణం (పూర్వపదం) కలువ (రెండవ పదం - ఉత్తరపదం) విశేష్యం (నామవాచకం

తెల్ల గుఱ్ఱం = తెల్లదైన గుఱ్ఱం

పుణ్యభూమి = పుణ్యమైన భూమి

దివ్యాంబరములు = దివ్యమైన అంబరములు

2. విశేషణం ఉత్తరపదంగా (రెండవ పదం) ఉంటే విశేషణ ఉత్తర పద కర్మధారయ సమాసము అంటారు.

ఉదా : మామిడి గున్న = గున్నయైన మామిడి

(ఇందు 'గున్న' (రెండవ పదం - ఉత్తరపదం) విశేషణం. మామిడి నామవాచకం (విశేష్యము)

ఉదా : కార్మిక వృద్ధుడు = వృద్ధుడైన కార్మికుడు

పురుషోత్తముడు = ఉత్తముడైన పురుషుడు

కపోత వృద్ధము = వృద్ధమైన కపోతము

3. విశేషణోభయపద కర్మధారయము : అన్ని పదాలు విశేషణాలుగా ఉంటాయి.

విగ్రహవాక్యంలో చివరిపదం 'ఒనది' అని వస్తుంది.

- ఉదా: మృదుమధురము = మృదువైనది, మధురమైనది
 సరసగంభీరము = సరసమైనది, గంభీరమైనది
 శీతోష్ణము = శీతమును, ఉష్ణమును (అయిన కాలం)
 ధీరోదాత్తుడు = ధీరుడును, ఉదాత్తుడును (అయినవాడు)

4. ఉపమాన పూర్వపద కర్మధారయము : ఉపమానం పూర్వపదంగా ఉండునది.

- ఉదా: కలువ కన్నులు = కలువల వంటి కన్నులు
 తేనెమాట = తేనె వంటి మాట
 చిగురుకేలు = చిగురు వంటి కేలు
 పేకమేడలు = పేకల వంటి మేడలు

5. ఉపమానోత్తర పద కర్మధారయము : రెండవ పదము ఉపమానముగా ఉండునది.

- ఉదా : ముఖపద్మము = పద్మము వంటి ముఖము
 చరణ కమలములు = కమలములు వంటి చరణములు
 తనూలత = లత వంటి తనువు

6. రూపక సమాసం (అవధారణాపూర్వపద) ఉపమానం మొదటిపదంగా ఉపమేయం రెండవపదంగా ఉంటాయి.

- ఉపమాన ధర్మం ఉపమేయం మీద ఆరోపించబడుతుంది.
 విగ్రహవాక్యంలో మొదటి మాట అయిన ఉపమేయానికి 'అనేడి' చేరుతుంది.
 విద్యాధనం = విద్య అనేడి ధనం
 (' విద్య' ఉపమేయం, ' ధనం' ఉపమానం)

- ఉదా :హృదయ సాగరం = హృదయమనేడి సాగరం
 పుణ్యలక్ష్మి = పుణ్యమనేడి లక్ష్మి

7. సంభావనాపూర్వపద కర్మధారయము : మొదటి మాట సంజ్ఞానామవాచకంగా, రెండోమాట జాతి నామవాచకంగా ఉంటాయి. మొదటి మాట అయిన నామవాచకానికి 'అను పేరు గల ' అనునది అదనంగా చేరుతుంది.

ఉదా : గంగానది	=	గంగ అనే పేరు గల నది
మట్టి చెట్టు	=	మట్టి అనే పేరు గల చెట్టు
వింధ్య పర్వతం	=	వింధ్య అనే పేరు గల పర్వతం

8. ద్వంద్వ సమాసం

ఉభయ పదార్థ ప్రధానమైనది ద్వంద్వము.

సమాసము నందు రెండు పదములు యొక్క అర్థము ప్రధానముగా ఉండునదని అర్థం.

రెండుగాని అంతకంటే ఎక్కువుగా నామ వాచకములతో ఏర్పడే సమాసం.

పదములన్ని ప్రథమా విభక్తిలోనే ఉంటాయి.

చివర బహు వచన ప్రత్యయముంటుంది.

ఉదా : రామలక్ష్మణులు	=	రాముడు, లక్ష్మణుడు
తల్లిదండ్రులు	=	తల్లి, తండ్రి
సీతారాములు	=	సీతయును, రాముడును.
సూర్యచంద్రులు	=	సూర్యుడు, చంద్రుడు
వేషభాషలు	=	వేషము, భాష
లక్ష్మణ భరత శత్రుఘ్నులు	=	లక్ష్మణుడు, భరతుడు, శత్రుఘ్నుడు.

9. ద్విగు సమాసము : సంఖ్యా పూర్వక కర్మ ధారయమునే ద్విగు సమాసమంటారు.

ఇందు మొదటి పదము సంఖ్యా వాచకంగా ఉంటుంది.

ఉదా : ముల్లోకములు	=	మూడైన లోకములు
నాలుగడుగులు	=	నాలుగు సంఖ్య గల అడుగులు
పంచ భూతములు	=	పంచ సంఖ్య గల భూతములు
నవరసాలు	=	నవ (9) సంఖ్య గల రసాలు

10. బహువ్రీహి : అన్య పదార్థ ప్రధానమైనది బహువ్రీహి

విగ్రహ వాక్యము చివర కలది, కలవాడు అను పదములు వచ్చును.

ఉదా : లతాంగి	=	లత వంటి అంగములు కలది
ఏక వస్త్ర	=	ఒకే వస్త్రము కలది
ముక్కుంటి	=	మూడు కన్నులు గలవాడు (శివుడు)

చతుర్ముఖుడు	=	నాలుగు ముఖములు కలవాడు
చక్రపాణి	=	చక్రము పాణియందు (చేతిలో) కలవాడు విష్ణువు
నీలాంబరి	=	నల్లని అంబరము కలది
గరుడవాహనుడు	=	గరుత్మంతుడు వాహనంగా కలవాడు.

6.3 అలంకారములు

అలంకారము అనగా సౌందర్యం

విషయాన్ని అందంగా మలిచేవి

కావ్య సౌందర్యాన్ని ఇనుమడింపజేసేవి

ఇవి మూడు రకములు

శబ్దాలంకారములు : అర్థమును అపేక్షింపక, కేవలము శబ్దమును మాత్రమే ఆశ్రయించునవి.

అర్థాలంకారములు : శబ్దమును అపేక్షింపక, కేవలము అర్థమును మాత్రమే ఆశ్రయించునవి.

శబ్దమును, అర్థమును ఆశ్రయించునవి ఉభయములు.

విద్యార్థులు నేర్చుకోవలసిన అలంకారములు

అర్థాలంకారములు : ఉపమ, ఉత్పేక్ష, రూపక, స్వభావోక్తి అర్థాంతరన్యాస, అతిశయోక్తి.

శబ్దాలంకారములు : అనుప్రాస, (వృత్తానుప్రాస, ఛేకానుప్రాస, లాటానుప్రాస, అంత్యానుప్రాస)

(అ) అర్థాలంకారములు :

1. **ఉపమాలంకారము :** ఉపమాన ఉపమేయములకు చక్కని సాదృశ్యం చెప్పటం ఇందు నాలుగు అంశములుంటాయి.

ఉపమేయము (దేనిని పోలుస్తున్నామో అది) (వర్ణించే వస్తువు)- పోల్చబడే వస్తువు
ఉపమానము (దేనితో పోలుస్తున్నామో అది) (పోల్చే వస్తువు)- పోలికగా చెప్పే

వస్తువు

సమానధర్మం (ఉపమాన, ఉపమేయాలోని సమాన గుణం)

ఉపమావాచకం (ఉపమాన, ఉపమేయములను కలిపేది)

ఉదా: ఆమె ముఖము చంద్రబింబం వలె అందముగా ఉన్నది.

ఇందు ఆమె ముఖము =	ఉపమేయం
చంద్రబింబము =	ఉపమానం
అందము =	సమానధర్మం
వలె =	ఉపమావాచకం

ఉదా : సత్యభామ ముఖము పద్మము వలె మనోహరము.

2. ఉత్తేజ్జాలంకారం : ఉత్తేజ్జ అనగా ఊహ

ఉపమేయమును ఉపమానముగా ఊహించుట

ఉపమానము యొక్క గుణము, క్రియ వంటి వాటిని ఊహించుట

ఉదా : ప్రణయ కోపనయగు సత్యభామనేత్రములు, చెంగలువ దళములో యనునట్లున్నవి

సమన్వయం : సత్యభామ నేత్రములు అనే ఉపమేయము చెంగు కలువ దళములు అనే ఉపమానముగా ఊహించబడుతుంది.

3. రూపకాలంకారం :

రూపము యొక్క ఆరోపణయే రూపకము

ఉపమేయానికి, ఉపమానానికి అబేధం చెప్పుట

ఉపమేయమునందు ఉపమాన ధర్మాన్ని ఆరోపించుట

ఉదా : రుక్మిణి ముఖము పూర్ణ సుధాకర బింబము

ఇందు ఉపమానము : పూర్ణ సుధాకర బింబము

ఉపమేయము : రుక్మిణి ముఖము.

ఉదా : ఆయన మాట కఠినమైనా మనసు వెన్న

4. స్వభావోక్తి :

జాతి క్రియాదులు స్వభావములు సహృదయ హృదయంగముగా వర్ణించుట

వస్తువు స్వభావాన్ని ఉన్నది ఉన్నట్లు వర్ణించుట

ఉదా : జింకలు బిత్తర చూపులు చూస్తూ చెవులు నిగిడ్చి చెంగు చెంగున గెంతుతున్నాయి. పై వాక్యములో జింకలు స్వభావము రమ్యముగా వర్ణింపబడినది.

5. అర్థాంతరన్యాసము : విశేషాంశము చేత సామాన్యాంశము గాని, సామాన్యాంశము చేత విశేషాంశము గాని సమర్థించి చెబితే అది అర్థాంతరన్యాసము అవుతుంది.

విశేషముచే సామాన్యాంశమును సమర్థించుట

ఉదా: శివాజీ కళ్యాణ దుర్గాన్ని సాధించాడు. వీరులకు సాధ్యము కానిది లేదు.

శివాజీ కళ్యాణ దుర్గాన్ని సాధించడం విశేష విషయం. వీరులకు సాధ్యము కానిది లేదు సామాన్య విషయం

ఉదా: గొప్ప వారిలోనున్న సామాన్యులను గౌరవిస్తారు. పూలతో పాటు దారాన్ని కూడా సిగెక్కిస్తారు.

6. అతిశయోక్తి :

అతిశయించి పేర్కొనడం అతిశయోక్తి

ఉపమేయమును తక్కువ చేసి ఉపమానమును మాత్రమే చెప్పటం.

విషయాన్ని ఉన్న దాని కంటే ఎక్కువ చేసి చెప్పటం. గోరంతలు కొండంతలు చేసి చెప్పటం

ఉదా: ద్వారకా నగరము నందలి సౌధములు, గగన తలమును అంటుచున్నవి. ఇందు ఉపమేయమైన సౌధముల ఔన్నత్యానికి, ఉన్నతమైన గగనతలము (ఉపమానము) చేత న్యూనత్వము తోస్తుంది.

2. శబ్దాలంకారాలు

అను ప్రాస (ఇవి ఆరు విధములు)

1. వృత్తానుప్రాస : ఒకే వర్ణము అనేక పర్యాయములు ఆవృత్త అయినచో అది వృత్తానుప్రాస

ఉదా : చిలు కల కిల కి ల లు ల యాత్మకంగా ఉన్నాయి.

ఇందు 'ల' అనే వర్ణము అనేక పర్యాయములు వచ్చింది. కనుక ఇది వృత్తానుప్రాస.

ఉదా : కా కి కో కి ల కాదు కదా!

విష్ణు రోచిష్ణు సహిష్ణు కృష్ణు

2. ఛేదానుప్రాస : అవ్యవధానముగా హల్లుల సముదాయాన్ని అర్థభేదం ఉండేటట్లు ప్రయోగించడం

హల్లుల జంట వెంట వెంటనే అర్థ భేదంలో వచ్చట

ఉదా : సుందర దరహాస రుచులు

పై ఉదాహరణమున 'దర' అనే రెండు హల్లులు వెంట వెంటనే అర్థ భేదములో ఉపయోగించడం జరిగింది. సుందర' లో దర సుందరము, రెండవ 'దర' చిఱునవ్వు అనే అర్థమును సూచిస్తుంది.

ఉదా : నీకు వంద వందనాలు

3. లాటానుప్రాస : అర్థబేధం లేకుండా, తాత్పర్య బేధం ఉండేటట్లు శబ్దాలను అవ్యవధానంగా ప్రయోగిస్తే లాటాను ప్రాస అవుతుంది.

ఉదా : కమలాక్షు నర్పించు కరములు కరములు

ఇందు మొదటి కరములు ' చేతులు' అనే అర్థమున, రెండవ కరములు 'సార్థకమైన' అనే అర్థమున ఉపయోగించడం జరిగింది.

ఉదా : శ్రీనాథు వర్ణించు జిహ్వ జిహ్వ

4. అంత్యానుప్రాస : పదాలు, పాదాల, వాక్యాల, చరణాల చివరిలో ఒకే హల్లుగాని, అక్షర సముదాయంకాని పునరుక్తం కావటం

ఉదా : ' భాగవతమున భక్తి

భారతములో యుక్తి

రామకథయే రక్తి

ఓ కూనలమ్మ!

పై ఉదాహరణమున ప్రతి వాక్యం చివర ' క్తి ' అనే అక్షరం ఉంది.

ఉదా : లోకాలు

భవభూతి శ్లోకాలు

పరమేష్ఠి జుకాలు

నామహోద్రేకాలు

6.4 ఛందస్సు

పద్యములు 3 రకములు

1. వృత్తములు, 2. జాతులు, 3. ఉపజాతులు

వృత్తాలు : ఉత్పలమాల, చంపకమాల, శార్థులము, మత్తేభము

1. ఉత్పలమాల :

ఈ పద్యంలో నాలుగు పాదాలుంటాయి.

ప్రతిపాదంలోనూ భ, ర, న , భ, భ, ర, వ అనే గణాలు వరుసగా ఉంటాయి.

ప్రతిపాదంలోనూ 1-10 అక్షరం 'యతి' మైత్రి పాటించాలి

యతి మైత్రి అనగా పద్యపాదము యొక్క మొదటి అక్షరంతో ఆ పద్యములో నిర్ణయించబడిన స్థానమందలి అక్షరము మైత్రి కలిగి ఉండడాన్ని యతి మైత్రి అంటారు. హల్లుతోనూ, అచ్చుతోనూ మైత్రి ఉండాలి.

నాలుగు పాదాల్లో ప్రాసనియమం ఉండాలి.

పద్యము పాదములోని రెండవ అక్షరాన్ని 'ప్రాస' అంటారు

యతి 10 వ అక్షరం

మొత్తం అక్షరాలు - 20

U I I U I U I I I U I U U I I U I U I U

ఉదా : సారపు ధర్మమున్ విమల సత్యము పాపము చేతబొం కుచే
భ ర న భ భ ర వ

2. చంపకమాల :

ఈ పద్యంలో నాలుగు పాదాలుంటాయి.

ప్రతిపాదంలోనూ న, జ, భ, జ, జ, జ, ర అనే గణాలు వరుసగా ఉంటాయి.

ప్రతిపాదంలోనూ 1-11 అక్షరం 'యతి' మైత్రి పాటించాలి

ప్రాస నియమం ఉంది. మొత్తం అక్షరాలు 21 ఉంటాయి.

I I I I U I U I I I U I I U I U I U I U

అమిత ప రా క్ర మంబును రయంబు నులావు ను గల్గు ఖేచ రో
న జ భ జ జ జ జ ర

3. శార్దూలము :

నాలుగు పాదాలుంటాయి.

ప్రతిపాదంలోనూ మ, స, జ, స, త, త, గ అనే గణాలు వరుసగా ఉంటాయి.

ప్రతిపాదంలోనూ 1-13 అక్షరం 'యతి'

మొత్తం అక్షరాలు 19 ఉంటాయి.

U U U I I U U I U I I U U U I U U I U

ఆదుర్యో ధనుడం తమాత్ర మునుజే యంజాల దోకాని పెం
మ స జ స త త గ

4. మత్తేభం :

నాలుగు పాదాలుంటాయి.

ప్రతిపాదంలోనూ స, భ, ర, న, మ, య, వ అనే గణాలు వరుసగా ఉంటాయి.

ప్రతిపాదంలోనూ 1-14 అక్షరం మధ్య యతి

ప్రాస నియమం ఉంది. మొత్తం అక్షరాలు 20 ఉంటాయి.

I I U U I I U I U I I U U U I U U I U

ప్రవిపు ష్పంబగు నగ్నిమం చగుగు కూపారం బుభూమీ స్థలం
స, భ, ర, న, మ, య, వ

జాతులు

ఈ విభాగంలో ద్విపద, మంజరీ ద్విపద ప్రాసనియమం లేనిది కందము అనునవి ఉంటాయి.

1. ద్వీపద : లక్షణం.

ప్రతీ పద్యంలో రెండు పాదాలుంటాయి

ప్రాసనియమం ఉంటుంది.

UU I I I U I I I I U U I

ఉదా: గ ర్విం చి ద ను ది వ్య గ డ గి యే తె చు

2. కందం :

1, 3 పాదాలలో మూడేసి గణాలు, 2,4 పాదాలలో ఐదేసి గణాలు ఉండాలి.

ప్రతీ రెండు నాలుగు పదాలలో మొదటి అక్షరంలో యతి నియము పాటించాలి.

అనగా

4 వ గణం మొదటి అక్షరానికి

7 వ గణం మొదటి అక్షరానికి యతి చెల్లుతుంది.

ప్రాస నియమము పాటించాలి. భేసి సంఖ్యాగణాల్లో జగణము వాడకూడదు.

రెండు, నాలుగు పాదాలలో చివరి అక్షరం గురవయి ఉండాలి.

U I I I I I U U I I

ఉదా : కందము త్రిశరగణంబులు

భ నల భ

U I I U I I I I I U I I I U U U

నందము గాభజ సనలము లటవడి మాటన్

భ భ నల నల గగ

3. ఉపజాతులు : ఆటవెలది, తేటగీతి, సీసం, ముత్యాల సరాలు,

తేటగీతి :

నాలుగు పాదాలుంటాయి

ప్రతీ పాదంలోనూ వరుసగా ఒక సూర్యగణం 2 ఇంద్ర గణాలు, మరియు 2 సూర్య గణాలు ఉంటాయి.

ప్రతీ పాదంలోనూ మొదటి గణం తొలి అక్షరానికి, నాల్గవ గణం మొదటి అక్షరానికి యతిమైత్రి ఉంటుంది.

ప్రాస యతి పాటించవచ్చు.

ప్రాస నియమం లేదు.

I I I I I I I U U I U I

ఉదా : తి వి రి యిసుమున దైలంబు తీయ వచ్చు
న నల త హ హ

ఆటవెలది :

నాలుగు పాదాలుంటాయి.

ఒకటి, మూడు పాదాలలో వరుసగా మూడు సూర్యగణాలు, రెండు ఇంద్ర గణాలుండాలి.

రెండు, నాల్గవ పాదాల్లో 5 సూర్యగణాలు ఉండాలి.

మొదటి గణం తొలి అక్షరానికి, 4 వ గణం మొదటి అక్షరానికి యతి మైత్రి ఉంటుంది.

ప్రాసయతి చెల్లుతుంది.

ప్రాస నియమం ఉండదు.

I I I I I I I I I U I I U I

ఉదా : తిలక మిడదు నుదుట తిలకినీ తిలకంబు
న న న నగ సల

I I I I I I I I I U I

కమల గృహము జొరదు కమల హస్త
న న న న గల

సీసం :

ఇందు నాలుగు పాదములు ఉంటాయి.

ప్రతీ పాదము లోను 6 ఇంద్ర గణములు, 2 సూర్యగణములు ఉంటాయి.

(1- వ భాగములో 4 ఇంద్రగణాలు, 2 వ భాగంలో 2 ఇంద్ర గణాలు + 2 సూర్య గణాలు మొత్తం 8 గణాలు ఉంటాయి)

4 పాదాలు తరువాత ఆటవెలది లేదా తేటగీతి గాని ఉంటుంది. దీనిని ' ఎత్తుగీతి' అని కూడా అంటారు.

1-3 గణాలు మొదటి అక్షరం, 5-7 గణాల మొదటి అక్షరాలకు యతి వేయబడుతుంది.

I I I U I I I I I U I U I

ఉదా : మృగనాభి యలమదు మృగరాజు మధ్యమ

సల సల సల భ

II III U II I III U I

జలముల నాడదు జలజ గంధి

సల (ఇ) భా (ఇ) స (సూ) గల(ఇ)

ముత్యాలసరాలు

గురజాడవారు చేసిన సాహసోపేతమైన ప్రయోగాలలో ముత్యాలసరము ఒకటి ముత్యముల తెలుగు పలుకులకు ముచ్చటైన రూపమిచ్చిన వారు గురజాడ దేశచ్ఛందస్సులో కవిత్వము వ్రాసినందున మిశ్రగతిలో నడుచు ఛందస్సుకు తన అభిరుచికి అనుగుణంగా “ ముత్యాల సరాలు అని పేరు పెట్టుకున్నారు గురజాడ. ఒకజాతి పార్సీ గజల్ యొక్క నడక ముత్యాల సరములో తీసుకు వచ్చే ప్రయత్నం చేశానని గురజాడ వారు చెప్పుకున్నారు.

లక్షణాలు :

నాలుగు పాదాలుంటాయి.

మొదటి పాదములలో $3+4+3+4 = 14$ మాత్రలుండును.

నాలుగవ పాదములో 7 మాత్రల నుంచి 14 వరకు ఉండును.

ఉదా : వెలుగు నీటను గ్రుంకె చుక్కలు

బాదల చీకటి కాదల బారెను

యెక్కడనో వొక చెట్టు మాటు

నొక్క కోకిల పలుకసాగెను

విద్యార్థులకు అభ్యాసం : సంధులు

ఏకైక	అమరావగౌఘము	దివ్యోషధము
తన్వంగి	అత్యంతము	మాత్రంశ
భావమేలు	మనసైన	మధువాలితె
ఇవ్వధము	ఎచ్చోట	అక్కోమలి
పూచెన్గలువలు	వడిన్బట్టి	దెసన్జూచి
పోవునట్లు	తెల్లనడము	చేయునతడు
కట్టెదురు	నట్టిల్లు	నట్టేట
వాగ్వాదము	శరద్రాతి	తద్విదము

సమాసములు ఈ క్రింది పదములకు సమాస నామము, విగ్రహ వాక్యం వ్రాయుము.

ప్రతి దినము	అనుక్షణం	యధేచ్ఛ
స్త్రీ రూపధారిణి	పుత్రార్థి	జనవంద్యులు
భూతబలి	పాపభీతి	అమలోద్భవుడు
దేశచరిత్రలు	దేశభక్తి	అక్షయము
శాంతి వచనములు	తమ్ముకుఱులు	ధీరోదాత్తుడు
పేకమేడలు	చిగురుకేలు	ముఖపద్యము
నైలునది	విద్యాదానము	అమరావతీపట్టణము
కోటపేటలు	జారచోరులు	ఆలుబిడ్డలు
సీతారామలక్ష్మణుడు	పంచభూతములు	భీమార్జునులు
వారిజనేత్ర	ముక్కుంటి	చతుర్ముఖుడు
మల్లొకములు		

అలంకారములు : క్రింది వాక్యములో అలంకారమును గుర్తించుము

1. వేదశాఖల వెలిసెనిచ్చట
2. ఆది కావ్యంబలరె నిచ్చట
3. నాయనా! నేను నిన్నేమన్నా అన్నానా? నీవు నన్నెమన్నా అన్నావా?
4. నీకు వంద వందనాలు
5. హరిభజయించు హస్తములు హస్తములు
6. ఆమె ముఖం చంద్రబింబము వలె ఉన్నది
7. అతని ఇంటిముందున్న పెద్దకుక్కను చూసి సింహమనుకొని భయపడ్డాను.
8. ఆ పట్టణంలో భవనాలు ఆకాశాన్ని తాకుతున్నాయి.
9. ఆయన మాట కఠినమైనా మనసు వెన్న
10. ఓ రాజా నీవే కీర్తి మంతుఁవు - చంద్రుడే కాంతిమంతుడు.
11. రాజు కువలయానందకరుడు
12. గొప్పవారితో ఉన్న సామాన్యులను గౌరవిస్తారు. పూవులతో పాటు దారాన్ని సిగకెక్కిస్తాడు.

ఈ క్రింది వానికి గణ విభజన చేసి ఏ పద్యపాదమో కనుగొనుము.

1. సారపు ధర్మమున్ విమల సత్యము బాపము చేతబొంకుబేం
2. అయుత పరాక్రమంబును రయంబు నులావును గల్లు భేచరో

3. ఆదుర్యో ధనుడంత మాత్రమును జేయంజాల డోకాని పెం
4. వచ్చెద విదర్భ భూమికి
5. చొచ్చెద భీష్మకు పురంబు సురుచిర లీలన్
6. వండనలయదు వేపురు వచ్చిరేని
7. తిలక మిడదు నుదుట తిలకినీ తిలకంబు

అడనపు సమాచారం :

వివరణ : ఇంద్ర గణములు = (ఆరు) నల, నగ, సల, భ, ర, త

నలము	=	I I I I	ఉదా : అసురులు
నగము	=	I I I U	ఉదా : సరసిజం
సలము	=	I I U I	ఉదా : వనజాక్షి
భగము	=	U I I	ఉదా : రాముడు
రగణము	=	U I U	ఉదా : ఆముదం
తగణము	=	U U I	ఉదా : శ్రీరామ

సూర్య గణములు రెండు గల, న, గణములు

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	=	ఉదా : రామ
నలము	=	I I I
	=	ఉదా : వనిత

A Course in Communication and Soft Skills

***As per Choice Based Credit System (CBCS)
For Degree I-Year/I-sem
Common to all Branches***



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A Course in Communication and Soft Skills

Learning Outcomes

By the end of the course the learner will be able to:

- Use grammar effectively in writing and speaking.
- Demonstrate the use of good vocabulary
- Demonstrate an understating of writing skills
- Acquire ability to use Soft Skills in professional and daily life.
- Confidently use the tools of communication skills

Unit-1: Listening Skills

- i. Importance of Listening
- ii. Types of Listening
- iii. Barriers to Listening
- iv. Effective Listening

Unit-2: Speaking Skills

- a. Sounds of English: Vowels and Consonants
- b. Word Accent
- c. Intonation

Unit-3: Grammar

- a. Concord
- b. Modals
- c. Tenses (Present/Past/Future)
- d. Articles
- e. Prepositions
- f. Question Tags
- g. Sentence Transformation (Voice, Reported Speech & Degrees of Comparison)
- h. Error Correction

Unit-4: Writing

- i. Punctuation
- ii. Spelling
- iii. Paragraph Writing

Unit-5: Soft Skills

- a. SWOC
- b. Attitude
- c. Emotional Intelligence
- d. Telephone Etiquette
- e. Interpersonal Skills

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Unit-1

LISTENING SKILLS

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1.0 OBJECTIVES

After completion of this unit we should be able to understand:

- Importance of Listening
- Various types of Listening
- Different Strategies for Effective Listening and
- Overview of Barriers/ Obstacles to Effective Listening.

1.1 LISTENING SKILLS

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Listening Skill is a prerequisite skill to enhance communication. The power to listen is a remarkably sensitive skill, perhaps the greatest talent of human race. It is certainly the skill that makes interpersonal communication truly effective rewarding for all concerned. An efficient listening helps one to get along with others and learn. The listening is a key to all effective communication. Without an ability to listen effectively, messages are easily misunderstood. Listening is actually the interpretation of the sounds that can be heard. Listening is an active process of selecting and interpreting information from whatever we see and hear.

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Basically most of the languages on earth can be associated with four basic skills. These are generally referred to as LSRW (Listening, Speaking, Reading and Writing). These skills are like tools. Of all the skills, Listening is the one which made interpersonal communication truly effective and the rewarding. It involves a receiving, interpreting and responding to the message sent by the communicator. If the listening can be seen as fundamental to all communication, poor listening is the major barrier to communication.

“The World is giving you answers each day. Learn to LISTEN.”

2

Definition: Listening is the ability to accurately receive and interpret messages in the communication process. Listening is a skill of critical significance in all aspects of our lives from maintaining our personal relationships, to getting our jobs done, to taking notes in class, to figuring out which bus to take to the airport.

3

Listening is difficult, as human mind tends to distract easily. A person who controls his mind and listens attentively acquires various other skills and is benefited.

3

“Listening is the act of hearing attentively”. It is also a process similar to reading which should possess knowledge of phonology, syntax, semantics and text understanding.

“Active listening, which is very important for effective communication” - Thomlison

2

Regardless of how we are engaged with listening, it is important to understand that listening involves more than just hearing the words that are directed at us.

2

Listening Vs Hearing or Listening is not the same as ‘Hearing’

Hearing refers to the sounds that you hear, whereas listening requires more than that: it requires focus. Listening means paying attention not only to the story, but how it is told, the use of language and voice, and how the other person uses his or her body.

In other words, it means being aware of both verbal and non-verbal messages. Your ability to listen effectively depends on the degree to which you perceive and understand these messages.

1.2 IMPORTANCE

2

Listening is an active process by which we make sense of assess and respond to what we hear.

Listening skills are an important part of effective communication. Hearing is the physical ability, while listening is a skill. Listening skills allow one to make sense of and understand what another person is saying.

“Are you listening to me?” This question is often asked because the speaker thinks the listener is nodding off or day dreaming. You may have heard the adage, “We have two ears but only one mouth”. An easy way to remember that listening can be twice as important as talking.

The ability to actively listen demonstrates sincerity, and that nothing is being assumed or taken for granted. Active listening is most often used to improve personal relationships, reduce misunderstanding and conflicts, strengthen cooperation, and foster understanding.

2

If you listen effectively, you’re able to show your co-workers that you’re interested in and have respect for what they have to say. You encourage them to do the same and so develop mutual respect, which fosters strong and smooth work relationships.

27 1.2.1 Importance of Listening Skills

Good listening skills make workers more productive. The ability to listen carefully will be allowing a person to

- Understand assignments in better way and find and what is expected from him.
- Build rapport with co-workers, bosses and clients.
- Show support.
- Work better in a team-based environment.
- Resolve problems with customers, co-workers and bosses.
- Answer questions.
- Find underlying meanings in what others say.

1.2.2 Ways to Improve Listening Skill

Hearing and Listening are two different activities. Hearing is passive whereas Listening is active. Listening is the psychological process. It can be improved by regular practice. Listening is a very helpful skill. Here are some of the tips which can help the person to improve his Listening skill:

1. **Face the Speaker:** Sit up straight or lean forward slightly to show on your attentiveness through body language.
2. **Maintain Eye Contact.**
3. **Minimize External Distractions.**
- 3 4. An appropriate response to show that you understand. Murmur (“uh-huh” and “um-hmm”) and nod. Raise your eyebrows. Say words like “Really,” “Interesting,” as well as more direct prompts: “What did you do then?” and “What did she say?”
5. **Focus solely on what the speaker is saying.**
6. **Minimize Internal Distractions.**
7. **Keep an Open Mind.**
- 3 8. **Avoid letting the speaker know how you handled a similar situation.**
- 3 9. **Even if the speaker is launching a complaint against you, wait until they finish defending yourself.**
- 3 10. **Engage Yourself:** Ask questions for clarification, but, once again, wait until the speaker has finished.

1.3 TECHNIQUES TO IMPROVE LISTENING

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In order to consider how to improve listening skills, it can be useful to reflect on the aspects of listening. There are four main aspects which need to be considered in relation to the process of listening.

These are characteristics can be associated with a listener, the speaker, the message and the environment. The communication moves in a circular manner, alternating between a speaker and listener over the course of an interaction.

1.3.1 Characteristics associated with the Speaker and Listener

Characteristics of Listening

L = Look interested
I = Involve yourself by responding
S = Stay on target
T = Test your understanding
E = Evaluate the message
N = Neutralize your feelings



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The non-verbal aspects already discussed all impinge on the listening process. Number of positive correlations has been found between the characteristics of a listener and the ability to listen effectively. These include

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- **Linguistic Aptitude:** Those with a wider vocabulary are better listeners.
- **Motivation:** When the listener is highly motivated, he or she will remember more of the information.
- **Organizational Ability:** An ability to organize incoming information into appropriate categories facilitates listening. Good listeners can identify the key elements of a messages received.
- **Physical Condition:** The listening ability deteriorates as fatigue increases, an important consideration for busy professionals and clients.
- **Disposition:** Usually, introverts are better listeners than extroverts; usually they sit back and let the other person as the centre of attention.
- **Anxiety:** It reduces an ability to listen. When worried about self, animal or others, we do not listen carefully.
- **Feedback:** When given appropriately, it assists with the art of listening.

2

1.4 PROCESS OR STAGES OF LISTENING

2

The listening process involves five stages: *receiving, understanding, remembering, evaluating, and responding*. Basically, an effective listener must hear and identify the speech sounds directed toward them, understand the message of those sounds, critically evaluate or assess that message, remember what has been said, and respond (either verbally or nonverbally) to information they have received.

1. **Receiving:** This is the first and most basic stage of the listening process: the act of actually absorbing the information being expressed to you, whether verbally or nonverbally. Not all communication is done through speech, and not all listening is done with ears.

Focus all of your energy on them, by following these three simple tips:

- i. **Avoid Distractions:** This is obvious. Don't have your cell phone out, or your iPod in, or the television on. Don't try to divide your attention between the speaker and something else.
- ii. **Don't Interrupt the Speaker:** You might want to make an assumption about what the speaker is saying, or what they're about to say don't. It's rude, and you may find your assumption was wrong, which is beneficial to no one.
- iii. **Don't Rehearse your Response:** Not yet. At this stage, your job is only to listen. If you start to plan a speech while the other person is speaking, you're going to miss certain points and not be able to respond to their larger message when it's your turn to talk.

2. **Understanding:** This is the point in the listening process where you're able to plan your response. Understanding takes place after you've received the information from the speaker, and begin to process its meaning.

You can do this by asking questions, or rephrasing parts of the speaker's message. This allows you to demonstrate your active engagement with their words, *and* help you better understand their key points.

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3. **Remembering:** Listening serves a greater purpose when the message is recorded for its useful life. To aid one's memory, one may take notes or create mental pictures.

2

Make the Message Familiar: If the speaker touches some old memories and past experiences, it becomes easy to retain the attention of the listener. Use those to help you retain incoming information as a listener.

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Example: When an address is being explained. But written notes may sometimes put the speaker on high alert and halt his communication.

2

4. **Evaluating:** It's at this stage where you can begin to prepare for your response, but remember: you're still a listener, not a speaker. After the message has been absorbed, processed, and remembered, you can begin to sort the information into pieces.

What is fact, and what is opinion?

What parts of their message were interpreted, and which parts were unbiased?

What was the speaker's intent with their message?

After interpreting the speaker's message, through a combination of understanding, retention, and evaluation, you're ready to form a response.

5. **Responding:** If you've completed the receiving, understanding, remembering, and evaluating portions of the listening process, responding should be easier than ever. It's important to understand the transition between listening and speaking though, and be aware of the ways responding is still a part of the active listening process.
- i. **Don't Complete the Speaker's Sentences:** This is a presumptuous and rude way to segue into your own response. It impedes on the receiving process, and will make the original speaker want to listen to you less.
- ii. **Address the Speaker's Points:** It will make it easier for the speaker to transition into a listener when they know exactly what part of their message you're addressing.

1.5 LISTENING MODES

Basic Listening Modes

Following are three types of basic listening modes,

a. **Competitive (or) Combative Listening**

It happens when we are more interested in promoting our own point of view than in understanding or exploring someone else's view. We either listen for openings to take the floor, or for flaws or weak points we can attack. When we pretend to pay attention we are impatiently waiting for an opening, or internally formulating our rebuttal and planning our devastating comeback that will destroy their argument.

b. **In Passive or Attentive Listening**

If we are genuinely interested in hearing and understanding the other person's point of view. We are attentive and passively listen. If we assume that we heard and understand correctly. But stay passive and do not verify it.

c. **Active or Reflective Listening**

It is the single most useful and important listening skill. In active listening we are also genuinely interested in understanding what the other person is thinking, feeling, or what the message means and we are active in checking out our understanding before we responds with our own new message. When we restate or paraphrase our understanding of their message and

reflect it back to the sender for verification. This verification or feedback process is what distinguishes active listening and makes it can be effective.

1.5.1 Advantages of Listening

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a. **Listening Helps to know the Organization:** Listening, especially careful listening to the grapevine will be enabling you to know what the members of the staff think of the company's policies and activities. Thus, it will help you understand your organization better.

b. **Listening Helps to make Better Policies:** If we listen to your subordinates carefully, you will know which policies are suitable for your organization. You will not keep stumbling from one top-heavy policy to another. You will chalk out the policies which are acceptable to another members.

9

c. **Listening Modifies the Complaining Employee:** Very often employees have certain grievances which exist more in their mind than in reality, i.e., which are primarily psychological. If we listen to them patiently and sympathetically, their anger will subside and their attitude will be modified.

9

d. **Listening is Important for the Success of Open-door Policy:** Many managers takes pride in the fact that they believe in open-door policy, i.e., they always keep their door open for the employees to walk into their room and talk to them. No doubt, their door is always open, but they are themselves bad listeners. So their employees are inhibited to talk freely. The result is a total failure of upward communication. If the manager, listen sympathetically, your employees will be encouraged to talk and there will be free upward communication.

9

e. **Listening Helps to Spot Sensitive:** In an engineering firm, for instance, the management decided to meet the worker's union regularly whether there were any problems not to sort out. By this they began to listen to each other well for a first time. These were able to spot sensitive areas and find out solutions before they became explosive and many other problems which could have led to serious disputes just did not arise.

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f. The Following are some more advantages of listening:

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- To obtain information
- To solve problems
- To share experiences
- To persuade or dissuade
- It is easy to imagine that if people were bad listeners,
- Only inaccurate and incomplete information would be exchanged.

- The problems would not be clearly understood and would remain unsolved.
- They would not be able to share one another's experience.
- On account of being unable to understand each other through their own or others' inattentiveness, they would not be able to persuade or dissuade others.

1.5.2 Poor Listening Habits

Some people spend more time on listening than they spend on any other communication activities. Some people never learn to listen well; main reason is developing poor listening habits and continues it throughout their life. Some of the poor listening habits are,

- Not Paying Attention:** Listeners allow themselves to think of something else or to be absent minded and also not wanting to listen frequently gives to lack of attention.
- Not Hearing:** Some people listen only points or to the way they were presented and miss the real meaning.
- Pseudo Listening:** Some people who are thinking something else disparately try to look as though they were listening. Such acting leaves the speaker with an impression that the listener has heard some important information by speaker.
- Rehearsing:** Some people listen until they want to say something then they quit listening, start rehearsing what they will say and wait for an opportunity to respond.
- Interrupting:** Listener does not wait until the complete meaning can be determined, but interrupts so forcefully that the speaker stops in the middle of a sentence.
- Hearing What is Expected:** People frequently think they heard speakers say what they expected them to say. Instead they refuse to hear that they do not want to hear.
- Feeling Defensive:** The listener can be assume that they know the speaker's intention, or why something was said or for why reasons, they expect to be attacked.
- Listening for a Point of Disagreement:** Some listeners seem to wait for the chance to attack someone. These people listen intently for points on which they can disagree.

1.5.3 Good Listening Habits

- Concentrate on what a person is saying rather than on how he looks. Don't be distracted by his physical appearance or his mannerism.
- Repeat the key ideas to yourself. Particularly, while listening to a long lecture see when we can repeat to yourself all the important ideas the speaker has put before you. This will also help you to understand the lecture better.

Good Listening Skills!

-  Look at the speaker
-  Have a nice quiet mouth
-  Listen to what he or she is saying
-  Repeat it back
-  Check to make sure the message is correct

- iii. Try to relate the speaker's remarks to your personal background and the experience. It will be enables you to retain those remarks in your memory longer.
- iv. Do not let your mind wander away from what the speaker is saying. Do not think of pleasant or unpleasant experiences of your own. Be determined that you are going to shut everything out of your mind except the speaker's words. It is also advisable to keep your eyes fixed on a speaker. When we start looking out of the window around the room, your mind will go on unnecessary excursions.
- v. Listen with a positive attitude. Many listeners fail to listen because these are mentally unprepared to listen. Don't let your prejudices close your mind to what the other person has to say.
- vi. Try to grasp 'between-the-lines' messages. Listen to what you can't hear. Watch for body language, for changes in expression, for voice intonations, which might be very significant indicators of the real message.
- vii. Take notes if you feel desirable. But this might distract you from listening. So keep the notes to the minimum. Let them be aids to memory rather than detailed notes.
- viii. Don't be afraid to ask questions or seek clarification wherever you are in doubt. Interrupting is discourteous, not asking questions, for asking question is an evidence of your being interested.

1.6 TYPES OF LISTENING

Depending upon the quality of a listening, it can be divided into various types. The following are the various kinds of listening:

- i. **Discriminative Listening/ Ignoring:** Discriminative listening is the most basic type of listening; it is the lowest level of listening – not listening at all. When we are distracted by anything while talking to a user, they can get an impression that you are ignoring them. For example: while a user is speaking, you start a conversation or interject a comment with another IT technical support i.e., you are ignoring your user. Speaker might feel snubbed and

hurt which might further lead to a total break-down of a communication. Same preoccupation might also result in a listener not taking note of the speaker's reaction.

- ii. **Casual Listening:** Casual listening is hearing and understanding a message but not trying to remember the message in a long term. It is also called as passive listening. Casual listeners expend little effort or energy. Even though the listener may understand the message, remembering it for long time is not important. Casual thinking is relaxed, if we are talking with others you must be careful not to listen so casually that others think that you are not paying attention.
- iii. **Active Listening:** Active listening is hearing and trying to understand and remember a message. The active listening may be informative, evaluative, emphatic or reflective.
- iv. **Informative Listening:** Informative listening can be used to understand a message or to obtain specific information. Best example is doctors use informative listening when talking with their patients. Recall a time when you listened very intently because you had something to gain from what you said. You listened actively because you were motivated by your interests.
- 24 v. **Evaluative Listening:** In an evaluative listening, or critical listening, we make judgments about what the other person is saying. We seek to assess the truth of what is being said. We also judge what they say against our values, assessing them as good or bad, worthy or unworthy. It is particularly pertinent when the other person is trying to persuade us, perhaps to change our behavior. With this, we also discriminate between subtleties of language and comprehend the inner meaning of what is said. Typically also we weigh up the pros and cons of an argument, determining whether it makes sense logically as well as whether it is helpful to us. An evaluative listening is also called as critical, judgmental or interpretive listening.
- 24 vi. **Empathetic Listening:** When we listen empathetically, we go beyond sympathy to seek a truer understanding how others are feeling. It can be requires excellent discrimination and close attention to the nuances of emotional signals. If we are being truly empathetic, we actually feel what they are feeling. In order to get others to expose these deep parts of them to us, we also need to demonstrate our empathy in our demeanour towards them, asking sensitively and in a way that encourages self disclosure.
- 28 vii. **Reflective Listening:** It is the single most useful and important listening skill. In active listening we are also genuinely interested in understanding what the other person is thinking, feeling, wanting or what the message means, and we are active in checking out our understanding before we respond with our own new message. We restate or paraphrase our understanding of their message and reflect it back to the sender for verification. This verification or feedback process distinguishes active listening and makes it effective.

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viii. **Comprehension Listening:** Next step beyond discriminating between different sound and sights is to make sense of them. To comprehend the meaning requires a lexicon of words at our fingertips and also all rules of grammar and syntax by which we can understand what others are saying. Same is true, of course, for visual components of communication, and an understanding of body language helps us understand what the other person is really meaning. Comprehension listening is also known as content listening, informative listening and full listening.:

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ix. **Critical Listening:** Critical listening is a listening in order to evaluate and judge, forming opinion about what is being said. Judgment includes assessing strengths and weaknesses, agreement and approval. This form of listening requires a significant real time cognitive effort as listener analyzes what is being said, relating it to existing knowledge and rules.

3

x. **Biased Listening:** Biased listening happens when a person hears only what they want to hear, typically misinterpreting what the other person says based on stereotypes and other biases that they have. Such biased listening can be often very evaluative in nature.

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xi. **Appreciative Listening:** In appreciative listening, we seek certain information which will appreciate, for example that which helps meet our needs and goals. We use appreciative listening when we are listening to good music, poetry or maybe even the stirring words of a great leader.

xii. **Sympathetic Listening:** In sympathetic listening we care about other person and show concern in the way we pay close attention and express our sorrow for their ills and happiness at their joys.

xii. **Empathetic Listening:** When we listen empathetically, we go beyond sympathy to seek a truer understand how others are feeling. It requires excellent discrimination and close attention to the nuances of emotional signals. When we are being truly empathetic, we actually feel what they are feeling. To get others to expose these deep parts of them to us, we also need to demonstrate our empathy in our demeanour towards them, asking sensitively and in a way that encourages the self disclosure.

xiii. **Therapeutic Listening:** The listener has a purpose of not only emphasizing with the speaker but also to use this deep connection in order to help the speakers understand, change or develop in some way. This not only happens when you go to see a therapist but also in many social situations, where friends and family seek to diagnose problems from listening and also helps a speaker cure themselves, perhaps by some cathartic process.

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xiv. **Dialogic Listening:** A word 'dialogue' stems from Greek words 'dia', meaning 'through' and 'logos' meaning 'words'. Dialogic listening means learning through a conversation and

an engaged interchange of ideas and information in which we actively seek to learn more about the person and how they think. The dialogic listening is sometimes known as 'relational listening'.

- xv. **Relationship Listening:** Most important factor in listening is in order to develop or sustain a relationship. This is why lovers talk for hours and listen closely to what each other has to say but the same words from someone else would seem to be rather boring. Relationship listening is also important in areas like negotiation and sales, if the other person likes you and trusts you.

1.7 BARRIERS TO LISTENING

Listening can be often requires little physical input, laziness and failure to pay attention can create bad listening habits and resulting in a poor listening. There are different types of barriers that create poor listening habits. As pointed out earlier, listening is not easy and there are a number of obstacles that stand in the way of effective listening, both within and outside the workplace. These barriers may be categorized as follows;

1. **Physiological Barriers:** Physiology means the state of human body and mind. Physiological barriers of communication occur due to the physical condition of sender or receiver which might even be physical disabilities. It includes sensory dysfunction and other physical dysfunctions.
2. **Physical Barriers:** Physical barrier is the environmental and natural condition that act as a barrier in communication in sending message from sender to receiver. Organizational environment or interior workspace design problems, technological problems and noise are the parts of physical barriers.

These are referred to distraction in the environment such as the sound of an air conditioner, cigarette smoke, or an overheated room, which interfere with the listening process. They could also be in the form of information overload.

3. **Attitudinal Barriers:** Attitudes are commonly formed by an individual's opinions or personal feelings on a subject or person and can be difficult to alter. When attitudinal barriers override the sense of professionalism in a workplace, it can become difficult for a group to engage in productive communication.

One attitudinal barrier is pre-occupation. It means the state or condition of being preoccupied or engrossed with something. This results in the difficulty to focus one's attention completely on what speaker is saying. Another common attitudinal barrier is egocentrism, or the belief that you are more knowledgeable than the speaker and that you have nothing new to learn from his ideas. People with this kind of close minded attitude may very poor listeners.

4. **Wrong Assumptions:** The success of communication depends on the both the sender and receiver. It is wrong to assume that communication is the sole responsibility of the sender or

the speaker and that listeners have no role to play. Such an assumption can create a barrier to listening. For example, a brilliant speech or presentation, however well delivered, is wasted if the receiver is not listening at the other end. Listeners have as much responsibility as speakers to make the communication successful, by giving feedback. Another wrong assumption is to think that listening is a passive activity, in which a listener merely hears the thoughts of the speaker. On the contrary, real listening or active listening is hard work- it requires speaking sometimes to ask questions, agree or disagree with the speaker, give feedback etc.

2

5. **Cultural Barriers:** Wherever we live, you're going to be influenced by the attitudes, customs and practices of the people around us. Those basic elements are the definition of culture. When a person of one culture encounters the beliefs and resulting actions of another culture, a clash can occur. This is known as cultural barrier.

Accents can be barriers to listening, since they interfere with the ability to understand the meaning of words that are pronounced differently. Another type of cultural barrier is differing cultural values. The importance attached to listening and speaking differs in western and oriental cultures.

6. **Gender Barriers:** Communication research has shown that gender can be barrier to listening. Studies have revealed that men and women listen very differently and for different purposes. Women are more likely to listen for the emotion behind a speaker's words, when men listen more for the facts and the content.

Example

A salesperson giving a demonstration of a new type of office equipment may be asked by two colleagues if the equipment will work without problem and respond by saying "sure". A male user may take this at face value, whereas the female user may detect some hesitation in his voice. This is because the male users listen for the content of the message, whereas the female users listen for the tone of the message.

7. **Lack of Training:** Listening is not an inborn skill. People are not born good listeners. They have to develop the art of listening through practice and training. Lack of training in listening skills is an important barrier to listening, in the Indian context.
8. **Bad Listening Habits:** Most people are very average listeners who have developed poor listening habits that are hard to said and that act as barriers to listening. For example, some people have the habits of "faking" attention, or trying to look like a listeners, in order to impress the speaker and to assure him that they are paying attention. Others may tend to listen to each and every fact and, as a result, miss out on the main point.
9. **Bringing in Emotions:** Emotions erect barriers to effective communication. A listener's senses are not likely to be functioning at their optimum level when he or she is angry. Likewise,

it is not possible to understand or appreciate what the speaker is saying if the listener is excessively sad.

- 10. Fear:** Fear is a great barrier to listening. People who are afraid during a conversation are not likely to listen. They become defensive and tend to argue.

Tips to Overcome Fear: Be aware that fear can only worsen the situation. Listen to what the other person is about to say without fear.

Keeping calm will give you mental strength to face any situation.

Taking a deep breath helps in overcoming fear.

1.8 EFFECTIVENESS OF LISTENING

In today's high-tech, high-speed, high-stress world, communication is more important than ever, yet we seem to devote less and less time to really listening to one another. Genuine listening has become a rare gift - the gift of time. It helps build relationships, solve problems, ensure understanding, resolve conflicts, and improve accuracy. At work, effective listening means fewer errors and less wasted time. At home, it helps develop resourceful, self-reliant kids who can solve their own problems. Listening builds friendships and careers.

Here are eight tips to bring effectiveness to your listening.

Step-1: Face the Speaker and Maintain Eye Contact

Eye contact occurs when two people look at each other's eyes at the same time. In human beings, eye contact is a form of non-verbal communication and is thought to have a large influence on social behavior. This term came from the West in mid 1960s. This term defines the act as a meaningful and important sign of confidence, respect, and social communication. Eye Contact provides some of the strongest emotions during a social conversation. It provides details on emotions and intentions. Prolonged eye contact can tell someone you are interested in what they have to say.

Step-2: Be Attentive but Relaxed

Now that you've made eye contact, relax. You don't have to stare fixedly at the other person. You can look away now and then and carry on like a normal person. The important thing is to be attentive. Mentally screen out distractions, like background activity and noise. In addition, try not to focus on the speaker's accent or speech mannerisms to the point where they become distractions. Finally, don't be distracted by your own thoughts, feelings, or biases.

Step-3: Keep an Open Mind

Listen without judging the other person or mentally criticizing the things she tells you. Listen without jumping to conclusions. Remember that the speaker is using language to represent the thoughts and feelings inside his or her brain. Don't be a sentence-grabber.

Step-4: Listen to the Words and Try to Picture what the Speaker is saying

Allow your mind to create a mental model of the information being communicated. Your brain will do the necessary work if you stay focused, with senses fully alert. When listening for long stretches, concentrate on, and remember, key words and phrases. Finally, concentrate on what is being said, even if it bores you. If your thoughts start to wander, immediately force yourself to refocus.

Step-5: Wait for the Speaker to Pause to ask Clarifying Questions

When you don't understand something, of course you should ask the speaker to explain it to you. But rather than interrupt, wait until the speaker pauses. Then say something like, "Back up a second. I didn't understand what you just said about...".

Step-6: Try to Feel what the Speaker is Feeling

If you feel sad when the person with whom you are talking expresses sadness, joyful when she expresses joy, fearful when she describes her fears and convey those feelings through your facial expressions and words then your effectiveness as a listener is assured. Empathy is the heart and soul of good listening.

To experience empathy, you have to put yourself in the other person's place and allow yourself to feel what it is like to *be her* at that moment. This is not an easy thing to do. It takes energy and concentration. But it is a generous and helpful thing to do, and it facilitates communication like nothing else does.

Step-7: Give the Speaker Regular Feedback

Show that you understand where the speaker is coming from by reflecting the speaker's feelings. Or just nod and show your understanding through appropriate facial expressions and an occasional well-timed "hmmm" or "uh huh."

The idea is to give the speaker some proof that you are listening, and that you are following her train of thought-not off indulging in your own fantasies while she talks to the ether.

In task situations, regardless of whether at work or home, always restate instructions and messages to be sure you understand correctly.

Step-8: Pay Attention to what *isn't* said - to Non-verbal Clues

If you exclude email, the majority of direct communication is probably non-verbal. We glean a great deal of information about each other without saying a word. Even over the telephone, you can learn almost as much about a person from the tone and cadence of her voice than from anything she says. When I talk to my best friend, it doesn't matter what we chat about, if I hear a lilt and laughter in her voice, I feel reassured that she's doing well.

Face to face with a person, you can detect enthusiasm, boredom, or irritation very quickly in the expression around the eyes, the set of the mouth, the slope of the shoulders. These are clues you can't ignore. When listening, remember that words convey only a fraction of the message.

1.8.1 Strategies for Effective listening

In today's high-tech, high speed, high stress world, communication is more important than ever, yet we seem to allocate less time to listening to one another. Genuine listening has become a rare gift-the gift of time. It helps to build relationships, solve problems, ensure understanding, resolve friction and improve accuracy. At work, an effective listening means fewer errors and less wasted time. These are certain methods for an effective Listening.

1. **Face the Speaker and Maintain Eye Contact:** In most western cultures, an eye contact can be considered a basic element of effective communication. When we talk, we look at each other and turning face at each other. Look at them, even if they don't look at you. Shyness, uncertainty, shame, guilt or other emotions along with cultural boycott can inhibit eye contact under some circumstances, but stay focused yourself.
2. **Be Attentive but Relaxed:** Mentally screen out distractions like background activity and noise. Don't be distracted by your own thoughts, feelings or unfairness.
3. **Keep an Open Mind:** To listen without judging the other person or mentally criticizing the things he/she tells you. Listen without jumping to conclusions. The speaker is using the language to represent the thoughts and feelings inside his/her brain. You don't know what those thoughts and feelings are and the only way you will find it by listening. Don't be a sentence grabber by an interrupting and finishing another person's sentences.
4. **Listen to the Words and try to picturize what the Speaker is Saying:** Allow your mind to create a mental model of the information being communicated. Whether a literal picture, or an arrangement of abstract concepts, your brain will do the necessary work if you stay focused, with senses fully alert. If listening for long stretches, concentrate on, and remember, keywords and phrases.

When it's your turn to listen, don't spend the time planning what to say next. We can't prepare and listen at same time. Listen carefully and think what the other person is saying.

5. **Don't Interrupt and Don't Impose your Solutions:** Don't interrupt while listening to someone talk. If you interrupt him/her sends a variety of messages. It says
 - a. I am more important than you are.
 - b. I don't really care what you think.
 - c. I don't have time for your opinion.

We all think and speak at different rates. While listening to someone talk about a problem, avoid suggesting solutions. When we are absolutely bursting with a brilliant solution, at least get the speaker's permission. Ask, "Would you like to hear my ideas?"

6. **Wait for the Speakers to Pause to ask Clarify Questions:** When you don't understand something, of course you should ask the speaker to explain it to you. But rather than interrupt, wait until the speaker pauses. Then say something like, "Back up a second. I didn't understand what you just said about..."
- 2 19 7. **Try to Feel what the Speaker is Feeling:** If you feel sad when the person with whom you are talking expresses sadness, joyful, fearful if he describes his fears and convey those feelings through your facial expressions and words, then your effectiveness as a listener can be assured. *Empathy is the heart and soul of good listening.*
- 2 8. **Give the Speaker Regular Feedback:** Show that you understand where the speaker is coming from by reflecting the speaker's feelings. "I can see that you are confused", "You must be thrilled". When the speaker's feelings are hidden or unclear, then occasionally paraphrase the context of a message or just nod and show your understanding through appropriate facial expressions.
- 2 19 9. **Pay attention to what isn't said to non verbal cues:** Face to face with a person, we can detect enthusiasm, frustration or irritation very quickly in the expression around the eyes, the set of the mouth, slope of the shoulders. These are clues we can't ignore. If listening, remembering that words convey only a fraction of the message.

1.9 LISTENING COMPREHENSION

Listening is the one skill that you use the most in everyday life. Comprehension means the ability to understand completely and be familiar with a situation, facts, etc. Listening comprehension is the basis for your speaking, writing and reading skills. To train your listening skills, it is important to listen actively, which means to actively pay attention to what you are listening to. Make it a habit to listen to audio books, podcasts, news, songs, etc. and to watch videos and films in the foreign language. Following are the methods to achieve effective listening of comprehension.

1. **Set the Purpose:** Students need to understand the purpose for listening to get the most from the experience. Having an explicit purpose in mind will help them know where to focus, enabling them to achieve success.
2. **Set the Stage:** Getting ready to listen is like getting in the zone or warming up. A good first step in setting the stage is to tell students the purpose for listening. A second step is to prepare the environment. Eliminating background noise, sitting in an appropriate configuration, and third, telling students what will transpire after they have listened are three ways to set the stage for listening.

3. **Provide Follow up:** Immediately after students have listened, hold them accountable for whatever it was that they were attending to when listening. Many times this follow up will be in a written format so that there is a paper trail of student learning. Such follow-up enables you to see what they were able to ascertain while listening, thus serving as an authentic assessment of sorts.

1.9.1 Listening to Sounds: Sounds of English Language

In the English alphabet there are 26 letters, but these letters produce 44 sounds. For this reason, one letter is used to produce more than one sound. In order to know the correct pronunciation certain symbols denoting these sounds have been devised and standardized. By learning these symbols you will be able to find the correct pronunciation of any word in a standard dictionary. These symbols will also help you to go through the book with guidance for correct pronunciation of words and conversations. These sounds are classified into two types:

1. Vowel Sounds (20)

2. Consonant Sounds (24)

There are only 5 vowel letters in English (a, e, i, o, u), but the sounds indicated by these 5 letters are 20. A vowel sound is produced when the air comes out of the mouth freely without any blockage or closure in the mouth cavity by the tongue, teeth, lips, etc.

The vowel sounds are of two types;

I. Vowel Sounds in English

a. Monophthongs

2

- b. **Diphthongs:** These vowel sounds are a combination of two single vowel sounds and in pronouncing them the tongue moves from one position to another. For instance, in the word 'light' the sound of 'i' is a combination of the vowel sounds /a:/ as in 'art' and /i/ as in 'it'. The words 'hair', 'toy' and 'poor' also contain double vowel sounds.

Diphthongs consist of sounds such as,

2

II. Consonant Sounds: This list describes the consonant sounds of English.

Consonant Letters with more than one Sound

- i. "C" followed by "e, i or y" usually has the soft sound "s".
Examples: "cyst", "central", and "city".
- ii. "C" followed by "a, o or u" usually has the hard sound |k|.
Examples: can, cube, cone, cane.
- iii. "G" followed by "e, i or y" usually has the soft sound |d'| ("j").
Examples: "gem", "gym", and "gist".

Exceptions: give, gill, get, geyser, girl

iv. “G” followed by “a, o or u” usually has the hard sound |g|.

Examples: ‘good’, ‘gas’, ‘got’, ‘gun’, ‘gave’

v. The alphabet ‘s’ is pronounced

|s| in sight

|z| in rise

1.10 EXERCISES

Exercise-1

I. Imagine you are a doctor and your friend plays the role of a patient suffering from fever.

Patient : Good morning Doctor, I’m Vinod.

Doctor : Good Morning Mr.Vinod, what’s your problem?

Patient : I ‘ve been suffering from fever from the last two days, Doctor.

Doctor : Then let me take temperature first.

Patient : Yes, Doctor you can take.

Doctor : Your temperature is 103 degrees. You needn’t worry, It ‘s some viral fever very common in this season.

Patient : Can I get recovery from it within days doctor? I’ve some important work.

Doctor : Don’t worry.. I’m prescribing some medicines you will be alright by tomorrow.

II. In The Library

Imagine that you are at the Library. you have to return some books and take some other books.

Student : Excuse me sir, I want to return these two books.

Clerk : Oh! They were due four days ago. I’m afraid, you’ll have to pay the fine.

Student : Oh yes, I do know it. It’s due to sickness. I have’nt been coming to college for all these days.

Clerk : Please meet the librarian to get the permission for not paying the last fees.

Student : Very well, I’ll see the librarian and get the things done. Meanwhile, please issue me with these two new books.

Clerk : It's alright.

Student : Thank you very much sir.

III. In The Office of Your College

Imagine you are in the office of your college and you talk with the clerk about the Terminal fees.

Student : Please tell me about the last date of the Terminal fees.

Clerk : I don't know why you are asking me. The principal has already circulated the matter to your classroom.

Student : I was absent on the day, when the circular came to our class.

Clerk : Then you would have known the matter from your classmates.

Student : To know the matter officially, I'm asking it in the office.

Clerk : It's alright. You have to pay the fees by the end of February. Otherwise your Hall Ticket for the examination won't be issued.

Student : If it's, please take the amount for the fees now itself.

Circle the best answer to these questions.

1. The teacher wants the students to _____.
 (a) take notes after she has finished speaking. (b) take notes while she is speaking.
 (c) forget about taking notes.
2. The teacher suggests eating _____.
 (a) sugary snacks. (b) only apples. (c) fruit and cereals.
3. The teacher suggests finding a study place with a lot of _____.
 (a) light. (b) space. (c) books.
4. If students feel stressed they should _____.
 (a) go to bed. (b) go out for a walk. (c) drink some water.
5. Students are advised to _____.
 (a) select the important things to learn. (b) read through everything once.
 (c) make notes about every topic.
6. The teacher understands that repeating things can be _____.
 (a) difficult. (b) uninteresting. (c) tiring.
7. Students can do past exam papers _____.
 (a) in the library only. (b) at home if they take photocopies.
 (c) in the after-school study group.

8. The teacher recommends a break of five minutes every _____.
(a) hour. (b) two hours. (c) thirty minutes.
9. It's important to _____.
(a) eat regularly. (b) sleep when you feel tired. (c) keep hydrated.
10. The teacher is sure that the students will _____.
(a) pass their exams. (b) fail their exams. (c) do their best.

Key

1. (a)	2. (c)	3. (a)	4. (b)	5. (a)
6. (c)	7. (a)	8. (c)	9. (c)	10. (c)

1.11 CHECK YOUR PROGRESS

1. List some measures to improve listening.

Ans. _____

2. What are the different types of Listening?

Ans. _____

3. List some of the barriers that affect Listening.

Ans. _____

4. Discuss some elements of Communication.

Ans. _____

5. Underline the silent letters in the following;

Comb Psychology Hour Precis Learn

Ans. _____

1.12 OUTCOMES

- Listening skill is a technique used for understanding, what is being said by taking into account how something is said and the nonverbal signs and body language that accompanies it.

- Listening skill makes you successful in workplace, family and in the society.
- Good listening skill is mandatory to get into a profession in communications, management, planning, sales, etc.
- Listening skills involve a different set of etiquettes, questioning for explanation, showing empathy and providing a suitable response.
- Listening is a facility that most living beings possess. Notice how many people are unable to listen to teachers in college classrooms and to colleagues and employers in work places.

1.13 EXERCISE

1. What is the importance of listening skill?
2. What are the tips to improve listening?
3. What is the techniques to Improve Listening?
4. What are the advantages of listening?
5. Explain about the good listening habits.
6. What are poor listening habits?
7. What are the types of listening?
8. Explain about the barriers to effective listening.
9. What are the strategies for an effective listening?

1.14 PRACTICE EXERCISES

Activities to improve listening skills

1. Voice blogging

Using a free website (such as Voice Thread) have students record voice journals about their week. Encourage students with semi-personal topics or hypothetical questions (e.g. What would you do if you had one million dollars? Describe your best vacation. etc..) to prompt speaking. This works just like a blog but with student voices rather than writing. Even if your school doesn't have computers with microphones or recording capabilities, with Voice Thread students can use any phone to record their voice blog.

Students can then be assigned to listen to several of their classmates and give each other comments. By listening to each other and giving encouraging comments, you are building a positive classroom environment and cooperation within the classroom all while students build their listening skills.

2. Listen for the hidden phrase

An engaging whole class activity is to pair students up and give each pair a “secret” word or phrase. For easier dialogues, give a simple phrase such as “I love soccer,” or “My father works a lot;” etc... To challenge students, give a slightly more obscure phrase, such as “John does yoga every Saturday,” or “I saw a UFO in my yard last night.”

Students are then tasked with developing a dialogue with their partner that somehow uses this phrase. Students may script the dialogue if they wish, but only give them limited planning time (5-10 minutes). After they have prepared their dialogue, students perform the dialogue in front of the class, and the other students listen carefully to hear which words or phrases seem extra carefully planned to find the secret phrase. If you have individual white boards, have the students write down the phrase as they hear it and then show their board after the pair has finished the dialogue. If they found the correct secret phrase, they get a point. If no one finds the pair’s secret phrase, the pair that developed the dialogue gets a point.

3. Listen for the word

Using popular culture media is always a good way to practice listening skills. Using songs, watching TV shows, or even listening to podcasts will help build skills. To go an extra step, have an additional task while listening to the song or TV show such as assign students different words to listen for and have them keep track of how often they hear these words. This is particularly helpful with reductions like gonna, wanna, hafta.

Listening to various media is also a good time to practice unfamiliar words. Encourage students to write down words they have never heard before. Without subtitles or lyrics, students will have to rely on the sounds they think they heard to make a guess at how to spell this unfamiliar word. Encourage students to write down other surrounding words to help you decipher what the word might be or to write down the time when they heard the word so you can go back to the spot and listen again. These are important skills for students to master so that they can continue learning even outside of the classroom by hearing new words.

4. Student-designed quizzes

If students are in a computer lab or if they have iPads/iPhones, give each student a dialogue, lecture, or song to listen to. These can be easily found on various free listening websites. Have students listen to the lecture multiple times and then create a quiz for another student to take. Students will be excited to “play teacher” by creating quiz questions, and they will have to rely on their listening skills to write accurate questions.

5. Put the celebrity in the right place

Similar to the picture describing game, this game has a similar setup but without the drawing. Give students a chart with many different celebrities in the boxes/grid. This can be easily done by

creating a table in a word processing program and pasting internet images of celebrities in the table. Be sure to make several different versions with celebrities in the different spaces. It's okay if the students don't know all of the celebrities; in fact, it may be better if there are some they don't know, so they have to rely on describing physical features rather than giving names. Print a second blank grid with the pictures of the celebrities cut out into individual pieces but not attached to the grid.

Students should sit back to back and be instructed to not peek or cheat. The student with the table with pre-assigned celebrities should give the other student instructions on how to fill in his table with the celebrity picture pieces. For example, the first student might say "The picture of Brad Pitt goes in the first square, and Angelina goes in the square below Brad Pitt." It may be helpful to pre-teach the vocabulary "columns" and "rows."

6. Red Ball, Blue Ball

In this listening and communicating exercise, speed is not the point. The goal is make sure your message heard, not just spoken. To begin, everyone stands in a circle. The facilitator mimes holding a ball, which they pass to someone else in the circle while making eye contact and saying "Red ball."

The recipient then repeats, "Red ball" as they take it. They toss the imaginary ball to someone else, saying "Red ball" and making eye contact as they do. That person repeats "Red ball" as they receive it, and so on.

This continues until everyone in the circle has had the ball a couple of times. The Director then gives someone a mimed bowl, saying "Red bowl." That person repeats "Red bowl," and passes it on to someone else. Once the red bowl and red ball have gone around the circle, the Director can add another object a bread bowl, a Red Bull (miming a can), a red shawl, a lemon meringue pie, blue ball, green ball etc.

When all the items are in play, the facilitator stops everyone and asks who has each item by a show of hands. In debriefing the exercise, you might ask: If we were to do it again, what behaviours would improve communication? What behaviours displayed decreased communication? What lessons might we carry forward into our work?

7. Workstations

The Workstations puzzle uses a matrix of information and requires teams to use a process of elimination to find the answer to a set of questions. With one "fact" on each card in the deck, key information needed to solve the puzzle is divided up between members of a working team. Team members are not allowed to draw or write anything, so they are dependent upon gathering and collating verbal information in order to solve the puzzle.

Unit-2

SPEAKING SKILLS

2.0 OBJECTIVES

After completion of this module we should be able to understand

- Understand the effective speaking skills.
- To know about the Phonetics and exercises
- Discuss about Word accent with examples
- Discuss the Presentation Skills

2.1 INTRODUCTION

Language is a tool for communication. We communicate with others, to express our ideas, and to know others ideas as well. Communication takes place, where there is speech. Without speech we cannot communicate with one another. Without speech, a language is reduced to a mere script. The use of language is an activity which takes place within the confines of our community. We use language in a variety of situations. People at their work places, i.e., in a language laboratory, are supposed to speak correctly and effectively in-order to communicate well with one another. Any gap in communication results, lead to misunderstandings and problems.

When we communicate verbally with others, either in a conversation or in a presentation, our usual goal is to have people understand what are we trying to say. In order to accomplish this, we should remember the acronym KISS (Keep It Short and Simple). When we talk to others, we assume they will understand us. We know what are we trying to say, so obviously, our message will get through. Right? Not necessarily. People bring their own attitudes, opinions, emotions and experiences to an encounter. This often clouds their perception of the message.

Definition: Speaking is an act of making vocal sounds. We can say that speaking means to converse, or expressing one's thoughts and feelings in spoken language.

To speak often implies conveying information. It may be from an informal remark to a scholarly presentation to a formal address.

Speaking skills are the skills that give us the ability to communicate effectively. These skills allow the speaker, to convey his message in a passionate, thoughtful, and convincing manner.

Significance: English language has become an international language. Among nations it serves as a lingua franca. It is spoken, learnt and understood even in those countries where it is not a native language. English is playing a major role in many sectors including medicine, engineering, education, advanced studies, business, technology, banking, computing, tourism etc.

In all our software development today, the communication facilities available to us through internet, our access to a variety of websites, are all being carried out in English. Most of the research works are conducted and compiled in English. Anything written and recorded in this language is read and listened to, in wider circles. As a result, English is being taught and learned around the world as a second language today.

2.2 ESSENTIALS OF EFFECTIVE SPEAKING SKILLS

The Essentials of Effective Speaking are,

1. **The Audience is not the Enemy:** The reason why many people avoid public speaking, because they fear of it, which is partially feared of an unknown and possibly hostile audience. Just remember that the audience is not our enemy.

Think positively, why am I getting feared? Is it necessary. Just it is part in part of “barriers of communication”. Is it me thinking? Then, automatically, slow and stud, you practice and practice. Finally, you become a good speaker. Remember, it comes on practice. It is in your hands.

The audience will forgive an occasional mistake; Just remember to locate some friendly faces out there, those people who seem to be nodding and in general getting enthusiastic about your message. If you do happen to make a mistake, locate those friendly faces! Just remember that because you see somewhat who seems not to be enthusiastic, it could be a combination of culture, personality, or occupation that do not permit them to show it as openly as others.

2. **Write your Speech Word for Word:** Good speaking begins with good writing; good writing depends on good editing. For example, Gettysburg Address, delivered by Abraham Lincoln during American Civil War, this consists of 10 sentences that took a total of 2 minutes to deliver. There is an apocryphal story about how it was cobbled together by Lincoln on the back of an envelope on his way to give the speech: that is simply not true, because we have several drafts of his speech which prove otherwise. What is interesting in reading the drafts is not what was included in the speech; it was how much was taken out. Every word has a purpose.

3. **Bring Life to your Words with Colorful Images and Examples:** This is where style becomes apparent. Choose those words which evoke the audience's own imagination, so that they start to experience what are you saying, rather than just hearing it.
4. **Six Words that can Change the way you Speak: Make a Point; Tell a Story:** The speaker should have a point in his/her speech; rather than explain that point to audience. He needs to have them discover it through experiencing it as part of the story he tells.
5. **Six Emotions that will Connect with any Audience: Happiness, Sadness, Anger, Surprise, Disgust, and Fear:** Choose words which not only create an image, but evoke at least one of the emotions listed above. When people empathize with you, they are more willing to accept your message that you want to convey in your speech.
6. **Don't Underestimate the Power of Laughter:** When we laugh, we relax. When we relax, our minds are more receptive to learning. A professional joke-teller is a comedian; you don't have to be a comedian to make people laugh. Just ask yourself what makes you laugh. Take a notebook with you or a digital recorder and if you see something that makes you laugh, write it down and make a "humor file". In fact, this technique works with the six emotions listed above. Then have this on hand so that you can insert these into a speech, a place where they will have the most impact.
7. **Don't Tell us, Take us:** Rather than describing the incident like a reporter, take us as eyewitness to the event by acting it out with movements, gestures, vocal inflections that put us right there in the middle of the action.

2.2.1 Principles of Speaking Skills

Spoken communication or the communication employing speech is known as "oral communication". The following are the principles of Speaking skills.

1. **Clear Pronunciation:** The first important pre-requisite of effective oral communication is that words should be pronounced clearly and correctly. Oral messages are often misunderstood because the speaker does not talk distinctly. Inability to use the Jaws freely, to speak with a limber tongue, limber lips, and to speak slowly often makes particularly for the poor communication.
2. **Brevity:** People take pleasure in talking. So speaking skills tends to suffer from over-communication. If a speaker keeps on talking for long, his message will get lost in a sea of verbosity and distraction. So it is important to keep the message as brief as possible without appearing abrupt and discourteous.
3. **Precision:** Precision can make oral communication which is very effective.

4. **Conviction:** A person communicating orally must have conviction in what he says. Lack of conviction causes lack of confidence, so that he is not able to impress the receiver with the message. Conviction comes from sincere approach, careful thinking as well as planning.
5. **Logical Sequence:** If the speaker has given a proper thought to his message, he will be able to arrange the various ideas contained in it in their logical sequence. Jumbled ideas create confusion, while logically arranged ideas make the message forceful.
6. **Appropriate Word Choice:** Words have different meanings for different people. So it is important to be careful in the choice of words. In oral communication, it is very important to use the terms familiar to the listener rather than the terms that are familiar to the speaker.
7. **Avoiding Hackneyed Phrases and Cliches:** Speakers, often when they are graphing for words, make use of hackneyed phrases like, “what I mean”, “do you follow”, “is not it”, “I see” etc. Such words and phrases interrupt the flow of their speech and impede quick grasp of meaning. The speakers, therefore, should take deliberate pains to exclude them from their speech.
8. **Natural Voice:** The message should be presented in the natural voice. This voice should be made pleasing and clear with practice, confidence and emotional content. The sound of the voice should not be steady and flat. There should be variations in the voice according to the occasion. Such variations create interest and maintain the attention of the listener or listeners. Thus, the most effective speech is that which is correct, the same time natural and unaffected. One should, therefore, cultivate a pleasing voice, speak clearly and distinctly.

2.2.2 Improving Speaking Skills

Improving speaking skills is of great importance to communication. A speaker has to keep in mind the factors which can enhance his speaking skills.

1. Practice where you can, when you can. Any practice is good whether you speak to someone who is native English speaker or not.
2. Have knowledge of the subject as well as knowledge of the audience.
3. It is important to build confidence and having good command over language to deliver the message clearly with confidence.
4. If possible use simple words, simple and short sentences. Try to use words and phrases you know in new situations using correct grammar along with correct pronunciation.
5. Appropriate gestures and body language- eye contact, hand and head movements.
6. It is better not to speak too fast. It will be difficult for the people to understand you.

7. Maintaining good sense of humour while speaking and when you speak English at normal speed, you'll discover that many of the pronunciation skills such as linking between words, will happen automatically.
8. Having the ability of describing and explaining the concepts and problems to handle the questions from the audience.
9. When speaking English try to be less hesitant and more confident.
10. It is a better way to explain the concept by using examples and make comparisons.

2.3 BARRIERS OF SPEAKING SKILLS

It does not matter how effective you are in communicating with others, sometimes you may face communication barriers. Communication barriers are defined as the factors that break or interrupt a communication process.

They are roughly classified as,

1. Listening barriers and
2. Speaking barriers

Listening Barriers

1. Interrupting the speaker with improper body language and meaning-less questions.
2. Less concentration on speaker's facial expressions and not keeping eye contact with the speaker.
3. Provoking the speaker to conclude the topic as soon as possible.
4. Giving an impression that the speaker is wasting his/her time with his speech.
5. More concentration on distracting material which is not a part of the on going discussion.
6. Going ahead of the speaker and concluding his/her ideas.
7. Less memory power - this makes you out of the subject being discussed.
8. Asking too many questions to prove your attentiveness.

Speaking Barriers

1. Rough and unclear data or information about the topic.
2. Inconsistent communication - Missing the flow and going too fast or too slow.
3. Unclear pronunciation - abrupt sentences or words.
4. Miscommunication or not understanding the listener.
5. Using negative words - Meaning of some words may differ from region to region and culture to culture.

2.3.1 Effectiveness of Speaking Skills

- i. **Ability to Inform, Persuade, and Direct:** Ability to inform, persuade, and direct. Business managers, educators, military leaders, lawyers, politicians, among others, seek to develop their speaking skills to such a level that they are transformed into master communicators. Speaking clearly and confidently can gain the attention of the audience, providing the golden opportunity for the speaker to make the message known.
- ii. **Ability to Stand out from the Rest:** When one thinks of speaking skills, one tends to think of it as a common skill. Think again. The ability to stand before others and speak effectively is not an ordinary ability. Many people are afraid of public speaking; others have little ability to form thoughts into sentences and then deliver those words in a believable way.
- iii. **Career Enhancement:** Speaking skills are important for career success, but certainly not limited to one's professional aspirations. Speaking skills can enhance one's personal life, thereby bringing about the well-rounded growth we should all seek.

2.4 SOUNDS OF ENGLISH

English is a world language spoken and written by a vast majority of people around the globe. It is heterogeneous language accommodating all kinds of influences exerted upon it by the other languages of the world. The English language has been gaining in status as well as prestige all these days as a result of expertise persons' related efforts massively.

Nowadays, spoken language is given much importance as it prepares the ground for the young aspirants to get knowledged properly for themselves in order to face the challenges from the rest of the world.

We need to improve our speech habits and it is necessary that we remain all the time conscious of our speech habits. Once, we come to hear some strange or new ways of pronunciation, we come across the following;

a. Origin of English	b. Linguistic form
c. Variation Styles	d. Speech Formation
- a. **Origin of English:** The written form of English is based on the Latin alphabet. It has its existence for more than 1050 years. The change in English spelling is based on the pronunciation. There have been very few rights from 15th century. It got stabilized in the present form more or less. There is no relationship between spelling and pronunciation in English. It is clearly known, English is the world language influenced by regional languages irrespective of state or country.

- b. **Linguistic Form:** Linguistically, the sound system of English is strengthened enormously with the ideas from the experts in its field. The phonetics analysis in a linguistic investigation of the language has become a question but later on the years; this analysis is getting altered; as a result of massive work which was done by the expertise to improve linguistic ability.
- c. **Variation of Styles:** The English language is being used in different regions of the world in different styles, which show the variations according to the different regions and the social classes. The context in which the language itself takes responsibility for a change. All the time, nature of the language is responsible for the production of speech.
- d. **Formation of Speech:** The formation of speech is an integral part of communicative methodology. The speed of vibration of our vocal chords can be varied. There are various organs in our body which convert them into speech sounds. The organs of speech are
1. The respiratory system.
 2. The Phonetary system and
 3. The articulatory system.

2.5 INTRODUCTION TO PHONETICS

What is Phonetics?

Phonetics is the study of the actual sounds that make up the words of a language. Every language has its own characteristics and there are sounds in English that we may not use in our language. The sounds in our language, we use in English and one of the more difficult things about English is the spelling as well as pronunciation.

This introduction to phonetics will look at the difference between the written spelling and the actual pronunciation. We have only 26 letters in the alphabet but modern English uses about 44 different sounds. So when we look at a word, it can be difficult to know, from the spelling, how to pronounce it because the same letters can be pronounced differently in different words.

For example case-1: In the following words, the first letter of the alphabet, ‘a’ appears in all the five words.

At, cat, arm, ate, around

Here, ‘a’ looks the same in all the words. But when we pronounce or say these words aloud, we find how different the sounds are.

In the same way note how different ‘u’ sounds in the below words

Put, but, up, urgent, rude

In the four words given below, ‘s’ is common but sounds different in each.

Sad, sugar, music, vision.

Case-2: Sound of k - by letter **k** in kite, **ch** in chemistry, **c** in cut, **cc** in claim, **ck** in stock, **q** in question.

Here, one cannot spell a new word that has heard.

To overcome this problem, an alphabet was evolved in which words of any language could be written unambiguously. This alphabet is called the **International Phonetic Alphabet(IPA)**. It is claimed to have symbols to represent all the sounds that exist in the languages.

This phonetic script has one to one correspondence between the sounds and symbols: a given symbol represents one, and only one sound, and a given sound is always represented by the same symbol that is to say one symbol for one sound.

Phonetic Symbol: A phonetic symbol is a sign representing a speech sound. If we use the phonetic symbols to represent the sound of 's' in the below listed four words:

/s/	in	sad
/f/	in	sugar
/z/	in	music
/ \ /	in	vision

Phonetic symbols are placed between two slashes to indicate that we are referring to sounds and not letters. Thus 's' is the letter, '/S/' is the sound.

2.5.1 The Sounds of English

Every language is a set of sounds produced with the air that we breathe out. Different sounds are produced as different parts of the mouth and the throat take different positions and as the air comes out through these positions.

In English alphabet there are 26 letters, but these letters produce 44 sounds. As a result of this reason, one letter is used to produce more than one sound. In order to know the correct pronunciation certain symbols denoting these sounds have been devised and standardized. By learning these symbols you will be able to find the correct pronunciation of any word in a standard dictionary. These symbols will also help you to go through the book with guidance for correct pronunciation of words and conversations. These sounds are classified into two types:

1. Vowel Sounds (20)
2. Consonant Sounds (24)

Segmental Features of Sounds

The impact of the elimination of the Mother tongue is possible with the eventual improvement of Pronunciation, Vowels and Consonant sounds.

Speech is caused when an air-stream from the lungs passes through the windpipe and speech organs and escapes, creating a sound. The organs of speech are the larynx(windpipe), vocal chords, tongue, lips, nose and palate. These organs are shown in the figure below:

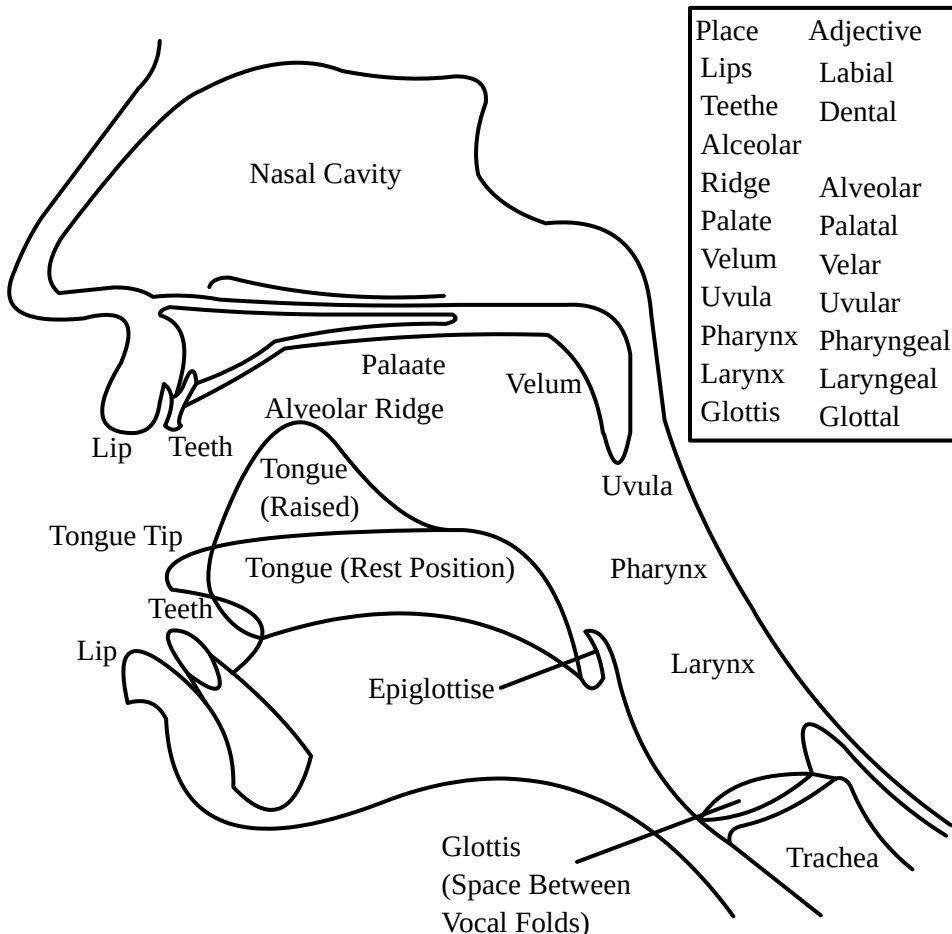


Figure-2.1: Articulators /Speech Organs

2.5.2 Task

TASK-1: In the following pairs of words, identify those that are pronounced alike.

a. sail - sale	f. trail - trial
b. quite - quiet	g. weather - whether
c. rain - reign	h. heard - herd
d. bough - bow	i. coat - quote
e. son - sun	j. tap - tape

Answers

b. quite - quiet

d. bough - bow

e. son - sun

f. trail - trial

g. weather - whether

h. heard - herd

i. coat - quote

TASK-2: Write in the blank another word with the same pronunciation but different spelling.

1. write = _____

6. might = _____

2. break = _____

7. team = _____

3. sight = _____

8. bear = _____

4. so = _____

9. cast = _____

5. roll = _____

10. tail = _____

Answers

1. write = right

2. break = brake

3. sight = site

4. so = sow

5. roll = role

6. might = mite

7. team = teem

8. bear = bare

9. cast = caste

10. tail = tale

TASK-3: Some of the words in each set have the some represented by the underlined letter (s) in the word in brackets. Identify the words that have the sound and underline the letter(s) that represent it.

a. four courage force

goes mouse loud (crown)

b. agree elephant furnace

leopard bell (rubber)

c. winter vine waste

cover tower cow stove (wash)

d. cash cease backward

crisp krait crane cell (cool)

e. sought normal not

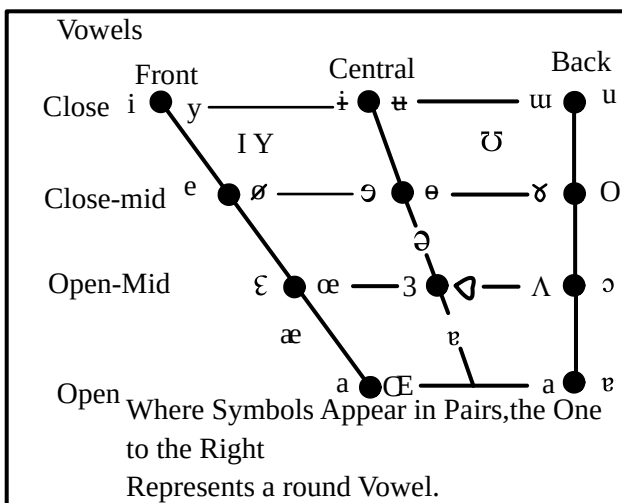
taught lotus horse soul (fall)

2.6 VOWELS

English has five vowels in its alphabet: **a, e, i, o u**. The International Alphabet Chart for the vowels in English is shown as mentioned below. However, there are many ways of pronouncing the vowels than the five sounds given by a,e,i,o,u.

/a/ can be pronounced as a 'short' sound as in the word <bad>, or pronunciations common such as <grass> and <bath>. It represents a 'long' sound, as in the word <laugh>, or <bath> or <grass>. The sound represented by /o/ is spelt in different ways, such as in the word <off> or <cough>.

The below sited diagram says the range of movement:



There are twenty vowels in English that include twelve monophthongs (Pure vowels) and eight diphthongs. Monophthongs are the symbols for single vowel sounds and the Diphthongs are the symbols for the double vowel sounds.

There are only 5 vowel letters in English (a,e,i,o,u), but the sounds indicated by these 5 letters are 20. A vowel sound is produced when the air comes out of the mouth freely without any blockage or closure in the mouth cavity by the tongue, teeth, lips, etc. The vowel sounds are of two types:

2.6.1 Pure Vowels or Monophthongs

In the below table, along with phonetical symbols, Telugu letters are given to understand in a easy manner.

S.No		Examples	Classification of tongue positions for vowels.
1	/i:/ -	Each, sea	Front close unrounded
2	/I/ -	In, pit	Front unrounded vowel between close and half-close
3	/e/-	Egg, set	Front unrounded vowel between half-close and half-open

4	/æ/ -	sad, mat	Front unrounded vowel just below the half-open position
5	/a:/ -	Ask, flask	Back open unrounded
6	/u/ -	Put, foot	Back rounded vowel between close and half-close
7	/u:/ -	Pool, fool	Back close rounded vowel
8	/ɐ/ -	Off, lot	Back open unrounded
9	/ɔ:/ -	All, tall	Back rounded vowel between half-close and half-open
10	/ʌ/ -	Up, fun	Central unrounded vowel between open and half-open
11	/ɜ:/ -	Earth, yearn	Central unrounded vowel between half-close and half-open
12	/ə/ -	Sofa, alike	Central unrounded vowel between half-close and half-open

1. Front Vowels

The most front and closed vowel is /i/ which is heard when you say /eee/; in this way you feel how small the cavity is, in which air has to vibrate in; in pronouncing vowel, the lips are also spread, opposite to lip rounding.

By the time, pronouncing this [i] sound, if you slightly open your mouth and lower your tongue with the jaw; articulating a short vowel in this position would resemble the [I] vowel heard in words like /sit/. The next vowel is lower in the mouth and its vowel height is closed-mid, the tongue is positioned halfway between a closed vowel and a mid-vowel; this vowel [e] is illustrated in some accents. Apart from this, the penultimate front vowel is [æ], which is almost completely open, but slightly constricted as the tongue is positioned somewhat at lower level. This

is found when pronouncing words such as ‘mad’, where you should be able to feel that the cavity though focused in the front of the mouth, still has space within the center.

Observe the phonemic symbol that is given to show the underlined sound.

sit / ɪ /

eat / i: /

set / e /

fan / æ /

These four sounds are called front vowels because they are uttered in the front of the mouth.

Examples

/ɪ/	/ i: /	/ e /	/æ/
miss	free	any	pan
many	ego	send	tab
coffee	key	bed	plait
money	quay	kettle	can
marriage	image	set	man
pretty	meal	ate	plait

Examples of the words in phonemic transcription

- I. /ɪ/** **/i:/**
- i. it = /ɪt/ eat = /i:t/
- ii. sit = /sɪt/ seat = /si:t/
- iii. will = /wɪl/ wheel = /wi:l/
- iv. sick = /sɪk/ seek = /si:k/
- v. bins = /bɪns/ beans = /bi:ns/
- vi. lid = /lɪd/ lead = /li:d/
- vii. wit = /wɪt/ wheat = /wi:t/
- II. /e/** **/æ/**
- i. pen = /pen/ pan = /pæn/
- ii. men = /men/ man = /mæn/
- iii. send = /send/ sand = /sænd/
- iv. lend = /lend/ land = /lænd/
- v. led = /led/ lad = /læd/

2. Back Vowels

The most open back vowel is [a] , which is the most extreme opposite of [i]; it is typically the vowel doctors ask you to say when looking down your throat. In articulation there is no contact between the tongue and the palate, the mouth is wide open and the lips are spread.

The remaining back vowels involve lip rounding, a key feature that distinguishes them from front vowels. The next most open back vowel is /ɜ/ , which is found in words such as /fox/ and /sausage/; in most British English accents. Furthermore, at the half closed position on the vowel chart, the long [ɔ] is found which occurs in words like /for/ and /floor/.

Moving up, the next closed back vowel [o] is closed mid, in that the tongue which is positioned halfway between a closed vowel and a mid-vowel, with its roundedness also protruded like [ɔ] ; this vowel is typically found in the cockney accent in words like /yawn/. Moreover, the penultimate rounded back vowel [ʊ] has a near close vowel height since the tongue is not so constricted like that of a closed vowel; it is also a near back vowel as the tongue is positioned like a back vowel, but slightly more forward in the mouth. This vowel is found in many English words like /cook/.

Observe the phonemic symbol that is given to show the underlined sound.

put	/ u /	fool	/ u: /
cot	/ ɜ /	fought	/ ɔ: /

These sounds are produced in the back of the mouth. So they are called back vowels.

Examples

/ u /	/ u: /	/ ɜ /	/ ɔ: /	/ ɔ: /
pull	fool	was	tall	four
foot	route	hot	fault	floor
woman	crew	cough	warm	board
could	blue	because	born	bought
cook	fruit	knowledge	awkward	broad

Examples of the words in phonemic transcription

I.	/ u /	/ u: /
i.	pull = /pul/	pool = /pu:l/
ii.	full = /ful/	fool = /fu:l/
iii.	book = /buk/	boot = /bu:t/
iv.	took = /tuk/	tool = /tu:l/
v.	foot = /fut/	food = /fu:d/

eater	journey	trouble	calm
beggar	word	does	clerk

Examples of the words in phonemic transcription

I. /ʌ/	/ɑ:/
i. hut = /hʌt/	heart = /ha:t/
ii. bun = /bʌn/	barn = /ba:n/
iii. luck = /lʌk/	lark = /la:k/
iv. cut = /kʌt/	cart = /ka:t/
v. but = /bʌt/	aunt = /a:nt/
II. /ə/	/ɜ:/
i. beggar = /begə/	bird = /bɜ:d/
ii. effort = /efət/	turn = /tɜ:n/
iii. for = /fə/	heard = /hɜ:d/
iv. pole = /pəul/	learn = /lɜ:n/
v. cold = /kəuld/	term = /tɜ:m/

2.6.2 Tasks

TASK-4: Read the following words, paying attention to the vowel sounds represented by the highlighted letter (s) . Write down two more words that have the same vowel sound.

a. won _____	b. fault _____
c. put _____	d. test _____
e. alike _____	f. rule _____
g. whale _____	h. dry _____
i. share _____	j. sound _____

Answers

a. son, fun	b. taught, what	c. look, took
d. best, rest	e. about, alot	f. wool, fool
g. male, tail	h. try, cry	i. care, bare
j. found, bound.		

TASK-5: Listen to the words below and write down the phonemic symbol for the vowel sound.

a. wood	f. dam
b. cord	g. bee
c. root	h. work
d. car	i. cud
e. hit	j. stock

Answers

a. wood = /u/	f. dam = /æ/
b. cord = /ɔ:/	g. bee = /i:/
c. root = /u:/	h. work = /ɜ:/
d. car = /a:/	i. cud = /ʌ/
e. hit = /ɪ/	j. stock = /v/

TASK-6: For each phonemic symbol, write a word that contains the corresponding sound, and underline the letter (s) that corresponding to it.

Symbol	Word	Symbol	Word
a. /e/	_____	h. /i:/	_____
b. /ə/	_____	i. /u/	_____
c. /a:/	_____	j. /ɔ:/	_____
d. /ɜ:/	_____	k. /æ/	_____
e. /e/	_____	l. /ɪ/	_____
f. /v/	_____		
g. /ʌ/	_____		

Answers

a. said	b. beggar	c. farm
d. work	e. let	f. hot
g. blood	h. wheel	i. book
j. hawk	k. mass	l. hill

TASK-7: Identify the words that have the sound represented by the highlighted letter in the word given before each set.

a. Pot:	drop	for	ball	lot	orange
b. Culture:	bull	dull	trouble	student	tusk
c. Content:	yell	oral	new	cover	madam
d. Ever:	head	central	lend	garment	often
e. Prove:	Soup	school	look	use	foot

Answers

a. pot: drop	b. culture: dull, trouble
c. content: yell	
d. ever: head, central	
e. prove: soup, school	

2.6.3 Diphthongs

These vowel sounds are a combination of two single vowel sounds and in pronouncing them the tongue moves from one position to another.

For instance, in the word ‘light’ the sound of ‘i’ is a combination of the vowel sounds /a:/ as in ‘art’ and /i/ as in ‘it’. The words ‘hair’, ‘toy’ and ‘poor’ also contain double vowel sounds.

Diphthongs are a combination of two different positions of the tongue with an audible guide from one to the next; three groups of diphthongs are present in English, those ending with a schwa [ə], ones ending in [ɪ] and those ending in [ʊ]. The first group is all centralising diphthongs as they move from one periphery of the mouth to a central vowel; there are three examples of this, ones that move from the front of the mouth include /ɪə/ which is found in /near/ and /eə/ which is found in /fair/. While ones that move from the back of the mouth include /ʊə/ which is found in words like /poor/.

The second group of diphthongs requires moving towards the front closed position of [ɪ]; in two instances the initiating position is a more open front one as in /eɪ/, which is exemplified in /say/, and /aɪ/ found in /high/. In the remaining case the diphthong moves from a half open back vowel, /ɔɪ/ for example in /boy/.

The final group of diphthongs end on the half back closed vowel [ʊ], from an open front vowel as in /aʊ/ which is found in /mouse/ or from a half back vowel, in the case of /oʊ/ as exemplified in /boat/.

Sounds	Description	Examples
/eɪ/	A glide from a front unrounded vowel just below half-close to a centralized front unrounded vowel just above half-close.	Ale, make
/aɪ/	A glide from a front – open unrounded vowel to a centralized front unrounded vowel just above half-close.	Ice, mike
/ɔɪ/	A glide from a back rounded vowel between open and half-open to a centralized front unrounded vowel just above the half-close position.	Oil, boy
/aʊ/	A glide from the back open unrounded position and moves in the direction of RP. (u)	About, mouth
/əʊ/	A glide from a central unrounded vowel between half-close and half-open to a centralized back rounded vowel just above the half-close position.	No, old
/ɪə/	A glide from a centralized front unrounded vowel just above half-close to a central unrounded vowel between half-close and half-open.	Serious, period
/ɔə/	A glide from the centralized back rounded vowel just above half-close to a central unrounded vowel between half-close and half-open.	Poor, cure
/eə/	A glide from a front half-open unrounded vowel to a central unrounded vowel between half-close and half-open.	Air, hair

I. Glides ending in /ɪ/

Double vowel sounds ending with /ɪ/ are /eɪ/ , /aɪ/ , /ɔɪ/ .

Example:

Word	Sound in phonemic symbol
race	/eɪ/
lime	/aɪ/
voice	/ɔɪ/

1. Some examples of the double vowel sound /eɪ/ are:

race	brain	break	veil	pay
ate	fail	great	eight	prey
plane	aim	pale	deity	they
trace	train	lane	rain	play

Examples of the words in phonemic transcription

1. pain = /peɪn/	6. plane = /pleɪn/
2. main = /meɪn/	7. name = /neɪm/
3. saint = /seɪnt/	8. hey = /heɪ/
4. lane = /leɪn/	9. day = /deɪ/
5. laid = /leɪd/	10. veil = /veɪ/

2. Some examples of the double vowel sound /aɪ/ are:

eye	lime	either	aisle	buy
bike	try	height	cried	site
time	dye	type	die	bite
high	sign	try	file	kite

Examples of the words in phonemic transcription

1. mine = /maɪn/	6. vice = /vaɪs/
2. file = /faɪl/	7. dice = /daɪs/
3. tie = /taɪ/	8. white = /waɪt/
4. buy = /baɪ/	9. live = /laɪv/
5. tile = /taɪl/	10. night = /naɪt/

3. Some examples of the double vowel sound /ɔɪ/ are:

oil	boy	boil	toy
toil	coy	soil	enjoy

coin	oyster	moist	employ
voice	doyen	rejoice	loiter

Examples of the words in phonemic transcription

1. poison = /pɔɪzn/	5. boy = /bɔɪ/
2. voice = /vɔɪs/	6. noise = /nɔɪs/
3. toil = /tɔɪl/	7. toy = /tɔɪ/
4. foil = /fɔɪl/	8. point = /pɔɪnt/

II. Glides ending in /u/

Double vowel sounds ending with /u/ are /əu/ , /au/ .

Example:

Word	Sound in phonemic symbol

old	/əu/

cow	/au/

1. Some examples of the double vowel sound /əu/ are:

old	road	toe	soul	bowl
no	oats	hoe	mould	throw
so	oath	foe	foul	show
coke	coat	town	gold	sow

Examples of the words in phonemic transcription

1. stove = /stəʊv/	6. comb = /kəʊm/
2. mauve = /məʊv/	7. cold = /kəʊld/
3. mole = /məʊl/	8. toe = /təʊ/
4. most = /məʊst/	9. coat = /kəʊt/
5. soul = /səʊl/	10. toe = /təʊ/

2. Some examples of the double vowel sound /au/ are:

out	cow	round	wow
ounce	howl	plough	now
oust	clown	house	how
outbid	gown	bounce	town

Examples of the words in phonemic transcription

1. bough	/bau/	6. hound	/haund/
2. bounds	/baundz/	7. town	/taun/
3. round	/raund/	8. sow	/sau/
4. drown	/draun/	9. drought	/draut/
5. house	/haus/	10. stout	/staut/

III. Glides ending in /ə/

Double vowel sounds ending with /ə/ are /eə/ , /uə/ , /ɪə/ .

Example:

Word	Sound in phonemic symbol

chair	/eə/
near	/ɪə/
tour	/uə/

1. Some examples of the double vowel sound /eə/ are:

various	chair	wear	care	their
there	airbag	pair	bear	bare
careless	airbase	rare	tear	heir

Examples of the words in phonemic transcription

1. bare = /beə/	5. bear = /beə/
2. dared = /beəd/	6. careful = /'keəfl/
3. mayor = /meə/	7. scarce = /skeəs/
4. pear = /pəu/	

2. Some examples of the double vowel sound /ɪə/ are:

zero	dear	idea	here
peer	indian	real	real
beard	deer	media	sphere
reel	clear	fear	period
weird	eardrum	hear	mere

Examples of the words in phonemic transcription

1. peers = /pɪəz/	6. tearful = /tɪəfl/
2. Gears = /gɪəz/	7. fearful = /fɪəfl/
3. pierce = /pɪəs/	8. fierce = /fɪəs/
4. dear = /dɪə/	9. deer = /dɪə/
5. weird = /wɪə/	10. here = /hɪə/

3. Some examples of the double vowel sound /uə/ are:

poor	tour	jury	manual
sure	purely	surely	actual
cure	moor	sour	furious

Examples of the words in phonemic transcription

1. poor = /puə/	5. tour = /tuə/
2. sewer = /sjuə/	6. truer = /truə/
3. gourd = /guəd/	7. fewer = /fjuə/
4. viewer = /vjuə/	

2.6.4 Tasks

TASK-8: Listen to the words and identify the diphthongs that you listen to.

1. float	/əu/	/au/	2. doubt	/əu/	/au/		
3. devour	/əu/	/au/	4. loaf	/əu/	/au/		
5. vowel	/əu/	/au/	6. career	/eə/	/uə/	/ɪə/	
7. affair	/eə/	/uə/	/ɪə/	8. sewer	/eə/	/uə/	/ɪə/
9. severe	/eə/	/uə/	/ɪə/	10. stair	/eə/	/uə/	/ɪə/

Answers

1. float = /əu/	2. doubt = /au/	3. devour = /au/
4. loaf = /əu/	5. vowel = /au/	6. career = /ɪə/
7. affair = /eə/	8. sewer = /uə/	9. severe = /ɪə/
10. stair = /eə/		

TASK-9: Transcribe the following words using the diphthongs phonemic symbols.

1. pane	_____	6. boat	_____

2. fate _____	7. window _____
3. fear _____	8. crow _____
4. near _____	9. drought _____
5. bear _____	10. plate _____

Answers

1. pane = /peɪn/	6. boat = /bəʊt/
2. fate = /feɪt/	7. window = /wɪndəʊ/
3. fear = /fɪə/	8. crow = /krəʊ/
4. near = /nɪə/	9. drought = /draʊt/
5. bear = /beə/	10. plate = /pleɪt/

2.7 CONSONANTS

A consonant is a speech sound produced by a partial or complete obstruction of the airstream which is influenced by tongue, lower jaw and upper jaw etc.

The consonants are b, c, d, f, g, h, j, k, l, m, n, p, q, r, s, t, v, w, x, y, z. The consonants in the table below are the consonant phonemes.

This list describes the consonant sounds of English.

Plosives		Examples
/p/	Voiceless	Pet, spill
/b/	Voiced	Bun, above
/t/	Voiceless	Talk, active
/d/	Voiced	Day, adopt
/k/	Voiceless	Keeper, speaker
/g/	Voiced	Goal, begin
Fricatives		Examples
/f/	Voiceless	fit, before
/v/	Voiced	Vow, avoid
/θ/	Voiceless	Thought, atheist
/ð/	Voiced	These, weather
/s/	Voiceless	Set, post
/z/	Voiced	Desert, reason
/ʃ/	Voiceless	Sheet, cash
/ʒ/	Voiced	Provision, occasion
/h/	Voiceless	Hay, behind

Affricates		Examples
/tʃ/	Voiceless	Chop, latch
/dʒ/	Voiced	Jew, jar
Nasals		Examples
/m/	Voiced	Man, calm
/n/	Voiced	Nose, banal
/ŋ/	Voiced	Ring, singing
Semi-vowels		Examples
/j/	Voiced	Yes, yesterday
/w/	Voiced	Wonder, widow
Lateral		Examples
/l/	Voiced	Live, calm
Frictionless continuant		Examples
/r/	Voiced–continuant	Ground, great

In IPA there are 24 symbols for consonant sounds. Most of them are the same those of the english alphabet; some of are different. Here in the following table, you can have a look at Telugu letters along with phonetics related symbols in order to understand easily.

Consonant Sounds

Examples

(phonetic symbols)

/p/ - ప	paper, pen, copy
/b/ - బ	back, job, baby
/t/ - త	tea, tight, temple
/d/ - డ & ఢ	day, ladder, die
/k/ - క & ఖ	key, clock, school
/g/ - గ & ఙ	get, ghost, good
/tʃ/ - చ & ఛ	church, match, nature
/dʒ/ - జ & ఝ	judge, age, large
/f/ - ఫ & భ	fat, photo, rough
/v/ - వ	view, live, visit
/θ/ - థ & ఌ	path, smooth, author

/ð/ - <ð>	this, other, bathe
/s/- dð	soon, sister, sun
/ʃ/ -wð	ship, sure, national
/ʒ/ - È	pleasure, music, vision
/h/- Vð²	hot, heavy, behave
/m/- eT	more, move, sum
/n/-q	nice, novel, no
/ŋ/ -+>´	ring, thanks, hang
/l/- \	light, laugh, tale
/r/- sÁ	right, run, rain
/j/- jáT	yet, few, beauty, use
/w/- e	wet, when, one
/z/- È	zoo, buzz, lose

- I. Plosives:** Plosives denotes a consonant that is produced by stopping the airflow using the lips, teeth, or palate, followed by a sudden release of air. The basic plosives in English are t, k, and p (voiceless) and d, g, and b (voiced). Plosives are made by fully blocking the flow of air as it leaves the mouth.

Sound is produced when the blocked air is released in an explosion.

There are 6 plosive sounds in English: /p/, /b/, /t/, /d/, /k/, /g/.

Example:

Word	Sound in phonemic symbol
pet	/p/
ribbons	/b/
right	/t/
dog	/d/
carefully	/k/
grand	/g/

TASK-10: With the help of the phonemic symbol and word, write words on your own with the sounds in the initial, medium and final positions.

1. pain /p/ _____	2. bane /b/ _____
3. taint /t/ _____	4. dane /d/ _____
5. cane /k/ _____	6. gain /g/ _____

Answers

1. people, appear, gap	2. book, about, mob	3. tough, attack, mat
4. dance, advance, mad	5. keep, account, mock	6. good, again, fog

TASK-11: Identify the sounds that are different in the given words and write the phonemic symbols.

words	symbol
1. pill, bill	_____
2. ton, done	_____
3. played, blade	_____
4. hit, hid	_____
5. cane, gain	_____

Answers

1. pill, bill = /p/, /b/	2. ton, done = /t/, /d/	3. played, blade = /p/, /b/
4. hit, hid = /t/, /d/	5. cane, gain = /k/, /g/.	

2. Affricates: The English affricates, the 'ch sound' /tʃ/ and 'j sound' /dʒ/ are two-part consonant sounds. They begin by fully stopping the air from leaving the vocal tract, then releasing it through a constricted opening.

The International Phonetic Alphabet symbols nicely show that /tʃ/ begins similar to a /t/ and is released similar to an 'sh sound' /ʃ/. The corresponding /dʒ/ begins similar to a /d/ and is released similar to a 'zh sound' /ʒ/.

Example:

Word	Sound in phonemic symbol
chair	/tʃ/
jar	/dʒ/

3. Fricatives: Fricative, in phonetics, a consonant sound, such as English f or v, produced by bringing the mouth into position to block the passage of the airstream, but not making complete closure, so that air moving through the mouth generates audible friction.

The nine english fricatives sounds are:

i. v sound /v/	ii. f sound /f/
iii. voiced th sound /ð/	iv. unvoiced th sound /θ/
v. z sound /z/	vi. s sound /s/
vii. zh sound /ʒ/	viii. sh sound /ʃ/
ix. h sound /h/	

Example:

Word	Sound in phonemic symbol
fit, offer, laugh	/f/
vain	/v/
thin	/θ/
that, teethe	/ð/
see, loss, scene, fancy	/s/
zeal, leaves, dazzle	/z/
shell, machine, sure, assure	/ʃ/
revision, decision, measure	/ʒ/
hat, whose	/h/

TASK-12: With the help of the phonemic symbol and word, write words on your own.

1. feel /f/ _____	2. very /v/ _____
3. wealth /θ/ _____	4. these /ð/ _____
5. seven /s/ _____	6. zebra /z/ _____
7. sharp /ʃ/ _____	8. visual /ʒ/ _____
9. house /h/ _____	

Answers

1. roof, fail, soft	2. love, prevent, alive, vanilla
3. thin, ethics, lengthy, month	4. that, either, bathe, although
5. see, loss, sixths, splash	6. zinc, graze, erase
7. sure, assure, special	8. usual, pleasure, seizure
9. whose, perhaps, herbal	

TASK-13: Identify the sounds that are different in the given words and write the phonemic symbols.

words	symbol
1. few, view	_____
2. thigh, thy	_____
3. seal, zeal	_____
4. ether, either	_____
5. composer, composure	_____
6. niece, knees	_____
7. fission, vision	_____
8. pressure, pleasure	_____

Answers

1. /f/, /v/	2. /θ/ , /ð/	3. /s/, /z/	4. /θ/ , /ð/
5. /z/, /ʒ/	6. /s/, /z/	7. /ʃ/ , /ʒ/	8. /ʃ/ , /ʒ/

4. Nasals: Nasal, in phonetics, speech sound in which the airstream passes through the nose as a result of the lowering of the soft palate at the back of the mouth. In the case of nasal consonants, such as English m, n, and ng (the final sound in “sing”), the mouth is occluded at some point by the lips or tongue and the airstream is expelled entirely through the nose. Sounds in which the airstream is expelled partly through the nose and partly through the mouth are classified as nasalized.

There are three nasal sounds in American English pronunciation: the 'm sound' /m/, 'n sound' /n/, and 'ng sound' /ŋ/ .

Example

Word	Sound in phonemic symbol
mad, summer, autumn	/m/
run, sign, knit	/n/
thing, think	/ŋ/

TASK-14: With the help of the phonemic symbol and word, write words on your own.

1. mother /m/	_____
2. knit /n/	_____
3. finger /ŋ/	_____

Answers

1. mad, climb, smashed, prism
2. needle, annual, melon
3. angry, long, amongst.

TASK-15: Listen to the words and identify the sounds.

1. master	_____	2. longer	_____
3. neighbour	_____	4. broom	_____
5. annoy	_____		

Answers

1. /m/
 2. /ŋ/
 3. /n/
 4. /m/
 5. /n/
5. **Laterals:** Laterals in phonetics, speech sound pronounced with partial closure of the air passage by the tongue, which is so placed as to allow the breath to flow on one or both sides of the point of contact.

One English consonant /l/ is formed laterally, that is instead of the breath passing down the centre of the mouth, it passes round the sides of an obstruction set up in the center.

Example

Word	Sound in phonemic symbol
let	/l/
hill	/l/

TASK-16: Write words with the sound /l/ in the initial, medium and final positions.

1. lake	/l/	_____	2. leap	/l/	_____
3. leaning	/l/	_____	4. lesson	/l/	_____
5. learn	/l/	_____			

Answers

1. leaf, fellow, all
2. laugh, plural, dimple
3. letter, foolish, kettle
4. late, holiday, tool
5. like, believe, sell

6. Friction-less continuant

/r/ is called a frictionless continuant. The /r/ sound involves moving your tongue close to the alveolar ridge (without touching it).

Example

Word	Sound in phonemic symbol
room	/r/
arrive	/r/

7. Approximants/Semivowels

They are vowel-like consonant sounds because we don't block the airflow fully.

The /j/ sound is similar in position to the vowel sound /i:/.

The /w/ sound is similar in position to the vowel sound /u:/, air is partly blocked at the back of the mouth and with the lips.

Example:

Word	Sound in phonemic symbol
yet, unit, onion	/j/
new, feud, argue, suit	/j/
west, which	/w/

TASK-23: Write words with the sound /j/, /w/ in the initial, medium and final positions.

1. room /r/ _____	2. yet /j/ _____
3. wise /w/ _____	4. unique /j/ _____
5. reply /r/ _____	

Answers

1. reach, arrive, injury	2. yoke, yes, yesterday
3. wine, aware, swallow	4. university, beauty, unique
5. radio, sorry, career.	

TASK-17: Listen to the words and identify the sounds.

1. variety _____	6. equality _____
2. winter _____	7. view _____
3. yacht _____	8. resent _____
4. equal _____	9. swimmer _____
5. curious _____	10. beautiful _____

Answers

1. /r/	2. /w/	3. /j/	4. /w/	5. /j/
6. /w/	7. /j/	8. /r/	9. /w/	10. /j/

2.7.1 Double Consonant Letters

Double consonants are frequently found in words that have a suffix added to them.

Ex: I dropped the heavy bags to the floor.

When adding certain endings such as -ed, -ing, -er, and -est to words, we sometimes double consonants.

All double consonant letters are pronounced as single consonant sounds except 'cc'. For example

1. acclaim = pronounced as /k/	2. occur = pronounced as /k/
3. accent = pronounced as /ks/	4. accept = pronounced as /ks/
5. accord = pronounced as /k/	

Others

1. fall as /l/	2. balloon as /l/ & /u:/
3. better as /t/	4. sunny as /n/

Thus, we observe that the **double c** is pronounced as /k/ in some cases and in others as /ks/. All other double consonant letter are pronounced as single consonant sounds.

Transcription of words with 'ed', 'd' endings

To form the past simple and past participle of regular verbs we add -ed:

Example

play ----played

work----- worked

start ----- started

Sound	Example	Pronunciation
/t/	worked	't' sound
/d/	played	'd' sound
/id/	started	'id' sound

1. It is pronounced /ɪd/ after /t/, /d/

a. painted = /peɪtɪd/	b. landed = /ləndɪd/
c. hated = /heɪtɪd/	d. headed = /hedɪd/

2. It is pronounced /t/ after consonants /p, k, tʃ, f, s, ʃ, θ/

a. looked = /lʊkt/	b. laughed = /lɑːft/
c. pushed = /puʃt/	d. matched = /mætʃt/

3. It is pronounced /d/ after all vowels and remaining consonants.

a. clubbed = /klʌbd/	b. logged = /lɒgd/
c. planned = /plænd/	d. called = /kɔːld/
e. prayed = /preɪd/	

Transcription of words with 's', 'es' endings

1. It is pronounced /ɪz/ after /s, z, ʃ, ʒ, dʒ/

a. horses = /hɔːsɪz/	b. crosses = /krɒsɪz/
c. roses = /rəʊzɪz/	d. benches = /bentʃɪz/

2. It is pronounced /s/ after consonants /p, t, k, f, θ/

a. books = /bʊks/	b. cats = /kæts/
c. fits = /fɪts/	d. shops = /ʃɒps/

3. It is pronounced /z/ after all vowels and remaining consonants except.

a. boys = /bɔɪz/	b. girls = /gɜːlz/
c. bags = /bægz/	d. loves = /lʌvz/

Consonant Letters with more than one Sound

- i. "C" followed by "e, i or y" usually has the soft sound "s".

Examples: "cyst", "central", and "city".

- ii. "C" followed by "a, o or u" usually has the hard sound /k/.

Examples: can, cube, cone, cane.

- iii. "G" followed by "e, i or y" usually has the soft sound /d/ ("j").

Examples: "gem", "gym", and "gist".

Exceptions: give, gill, get, geyser, girl

iv. “G” followed by “a, o or u” usually has the hard sound /g/.

Examples: ‘good’, ‘gas’, ‘got’, ‘gun’, ‘gave’

v. **The alphabet ‘s’ is pronounced**

/s/ in sight

/z/ in rise

2.7.2 Tasks

TASK-18: Read the following words, paying attention to the consonant sounds represented by the highlighted letter(s). For each item, write down three words that have the consonant sound represented by the highlighted letter(s).

a. pencil	_____	_____	_____
b. ache	_____	_____	_____
c. book	_____	_____	_____
d. pray	_____	_____	_____
e. twice	_____	_____	_____
f. earth	_____	_____	_____
g. noisy	_____	_____	_____
h. tomato	_____	_____	_____
i. breathe	_____	_____	_____
j. ugly	_____	_____	_____

Answers

a. pencil	pet	appoint	cap
b. ache	cat	acquire	check
c. book	bat	about	lab
d. pray	rose	arise	super
e. twice	water	flower	cow
f. earth	thanks	mother	faith
g. noisy	sink	assignment	bus
h. tomato	mango	common	palm
i. breathe	thumb	mathematics	depth
j. ugly	loyal	english	silly

TASK-19: Underline the letter(s) which correspond to the phonetic symbols given alongside the words below.

/θ/	<u>thumb</u>	/ʃ/	press <u>ure</u>
/ŋ/	br <u>ing</u>	/ʒ/	treas <u>ure</u>
/m/	pl <u>um</u> ber	/g /	beggar
/n /	<u>k</u> nee	/r /	<u>rh</u> yme
/z /	reas <u>on</u>	/dʒ/	lang <u>u</u> age
/k /	pock <u>e</u> t	/tʃ/	cat <u>ch</u>
/ʒ/	divis <u>ion</u>	/j /	new
/ð/	weath <u>er</u>		

TASK-20: Transcribe the following words using the phonemic symbols of both consonants and vowels you have learnt.

1. each	_____	6. than	_____
2. cable	_____	7. cycle	_____
3. thank	_____	8. style	_____
4. check	_____	9. though	_____
5. university	_____	10. treasure	_____

Answers

1. /i:tʃ/	6. /ðæn/
2. /keɪbl/	7. /saɪkl/
3. /θæŋk/	8. /stɑɪl/
4. /tʃek/	9. /ðeu/
5. /ju:nɪvɜːsɪti/	10. /treʒə/

TASK-21: From the given transcription write down the words in ordinary spelling:

1. /dʒu:t/	6. /kwɔːrə/
2. /bluː/	7. /rɪzʌlt/
3. mʌðə/	8. /θɜːzdeɪ/
4. /siːz/	9. /ʃɜːt/
5. /dʒest/	10. /sɔː/

Answers

1. jute	2. blue	3. mother	4. seize	5. jest
6. quarrel	7. result	8. thursday	9. shirt	10. saw

TASK-22: Transcribe the following words using the phonemic symbols you have learnt.

1. seized	_____	6. weaves	_____
2. licked	_____	7. legs	_____
3. coiled	_____	8. leaves	_____
4. batted	_____	9. walks	_____
5. chicks	_____	10. bushes	_____

Answers

1. seized = /si:zd/	6. weaves = /wi:vz/
2. licked = /lɪkt/	7. legs = /legz/
3. coiled = /kɔɪld/	8. leaves = /li:vz/
4. batted = /bætɪd/	9. walks = /wɜ:ks/
5. chicks = /tʃɪks/	10. bushes = /bʊʃɪz/

2.8 WORD ACCENT

Accent is the music of language. Pronunciation of individual words and the manner in which words glide one into the other, in addition to intonation patterns, determine the accent of a language. A single language can therefore have varied accents. English, for instance, can be spoken the British way, the American way, the Indian way, the Canadian way and the Australian way.

With the basic knowledge of a language, it is possible to learn a new accent in two ways: one can learn it either by just listening and imitating or by studying the accent in a systematic way.

Phonetics and its role in Accent

Phonetics is the systematic study of speech sounds. Every language has its own speech sounds. Phonetics is a branch of Linguistics and it deals with the medium of speech like production, transmission and reception of the sounds of human speech.

Languages like English and French are non- phonetic. By this, we mean that there isn't always a one-to-one correspondence between the letters of English alphabet and the sounds of the language.

For example, cat, c is usually pronounced like “k” as in pinyin “kan”.

sun, s is often pronounced like “s” as in pinyin “sun”.

It is therefore important to learn phonetics properly to become perfect in our pronunciation. The way Indians articulate certain sounds differs largely from the way that of the Americans do.

In Accent, one can listen natural pronunciation and observe lip movement. Accent is an important feature of Spoken English.

A word in English has one or more syllables. In each syllable, vowel is prominent which pushes the air out of the lungs. Vowels generally take the central position in syllables and consonants take the marginal positions.

2.8.1 Importance of Stress

The accent is the stress placed in varying degrees upon the vowel sounds in syllables. A word consists of one or more syllables. Every syllable usually has a vowel sound, but it may or may not have a consonant sound on either side of it.

In any word, if the syllables are more than one, only one syllable is prominent or louder than the rest of the syllables. One syllable occasionally, stands out and is said to be accented or carrying the primary stress.

Example

Ex-1: Consider the word 'tea' - has one vowel sound. It is a mono syllabic word, then it is not stressed in isolation.

Ex-2: Consider the word 'beggar' - has two syllables, beg-gar is a bisyllabic word with stress on the first syllable. So, the syllable 'beg' is spoken with greater stress than 'gar'.

Ex-3: Consider the word 'humanist' - has three syllables, hu-ma-nist is a trisyllabic word with stress on the first syllable 'hu'.

Consider the word 'gi-gan-tic'.

When it is pronounced in the way it should be, the syllable **gan** is heard with more force than the other two syllables. We use vertical line on the prominent syllable- gi-'gan - tic. This is called stressed syllable.

Since English has words with one, two, three, four and more syllables, this stress may be on any one of them.

2.8.2 Aspects of Word Stress

The first aspect of word stress is that stress in English is quite often irregular and unpredictable in which the syllables are stressed in words with two or more than two syllables. It is often difficult to say which syllable is the loudest or which receives the primary stress.

In a word like a e-du-ca-tion, there are four syllables. All the four are not said with the same energy. Only one syllable is made prominent. In this word, only /ke/ is stressed. In English there may be words with one syllable, two syllables, three syllables, and more. The stress may be on any syllable. The stress may be either on the first, second, third syllable or on any other syllable.

I. Stress in Disyllabic Words

Some disyllabic words such as 'always , 'battle are stressed on the first syllable, while other disyllabic words such as ad'vance , con'tain , have the main stress on the second syllable.

Examples of two syllable words with the primary stress on the first syllable

'Action	'EAger	'INstant
'Able	'EARly	'JEWel
'Body	'FOreign	'KITchen
'BEGgar	'GESure	'KIDnap
'CAREful	'GOLden	'MAxim
'DIFFerent	'HARvest	'HUSband
'MESsage	'DOCtor	'IMPulse

Examples of two syllable words with the primary stress on the second syllable

a'bove	con'trol	re'mind
a'bout	de'ceive	pre'vent
a'cross	de'fend	gi'raffe
be'tween	ne'glect	trans'late
be'yond	ob'tain	
con'fess	oc'cur	
con'firm	re'late	

II. Stress in Trisyllabic Words

There are trisyllabic words like ' interval, 'legacy which are stressed on the first syllable, but in other trisyllabic words like de'clare , en'tire , ma'chine, stress is placed on the second syllable and in words like under'stand , disap'pear , stress is placed on the third syllable.

Examples of tri syllable words with the primary stress on the first syllable

'advertise	'industry
'agency	'instrument

'capital	'legislate
'delicate	'manifest
'eagerly	'natural
'excellent	'obstinate

Examples of tri syllable words with the primary stress on the second syllable

a'bolish
be'haviour
com'munize
ef'fective
e'lectric

Examples of tri syllable words with the primary stress on the third syllable

addres'see	employ'ee	person'nel
ciga'rette	intro'vert	under'stand
coin'cide	intro'duce	volun'teer
devo'tee	recom'mend	seven'teen

2.8.3 Rules of Word Stress

There are **English Accent Rules** which are important to understand and apply in pronunciation and spell English words accordingly. In English, word stress is not fixed on a particular syllable. It can be first syllable, second, third and so on. But for some word endings there are certain rules of word stress.

1. **Accent Rule-1:** Each word with two or more syllables has one syllable whose vowel is accented. For example, for-g'et . Accents are very important to spelling rules. Accented means that the sound of that vowel is stressed, or louder, than those in other syllables.
2. **Accent Rule-2:** A long word may have more than one accent. The vowel that is stressed more or most is called the primary accent. The primary accent is key to many of the spelling rules. A second accented vowel is called the secondary accent. For example, c'on-ver-s'a-tion . Very long words can have even more stressed vowel sounds, but only one primary accent.
3. **Accent Rule-3:** The primary accent is usually on the root before a double consonant. For example, for-gét-ting.

4. **Accent Rule-4:** Unaccented vowel sounds frequently have the soft /uh/ schwa sound, especially when there is only one letter in the syllable. All vowels can have the schwa sound. For example, the a in a-bo'ut .
5. **Accent Rule-5:** The primary accent is usually on the first syllable in two-syllable words. For example, p'ay-ment .
6. **Accent Rule-6:** The primary accent is usually on the second syllable of two-syllable words that have a prefix in the first syllable and a root in the second syllable. For example, dis-tr'act .
7. **Accent Rule-7:** For two-syllable words that act as both nouns and verbs, the primary accent is usually on the prefix (first syllable) of the noun and on the root (second syllable) of the verb. For example, pró-duce as a noun; pro-d'uce as a verb.
8. **Accent Rule -8:** The primary accent is usually on the first syllable in three-syllable words, if that syllable is a root. For example, ch'ar-ac-ter .
9. **Accent Rule-9:** The primary accent is usually on the second syllable in three-syllable words that are formed by a prefix-root-suffix. For example, in-v'est-ment .
10. **Accent Rule-10:** The primary accent is usually on the second syllable in four-syllable words. For example, in-t'el-li-gent .

Apart from the above, we can have close look at the following rules:

Rule-1: The syllable having /ə/ vowel sound is usually unstressed.

Examples

a. 'Bro-ther	b. Po-'lice	c. A-'bout

Rule-2: When longer words are made from words, the accent tends to shift from Ist syllable to the second and so on. The third aspect of word stress is that there is a shift in the stresses syllable when some suffixes are added to the same word.

Examples

a. 'po-li-tics	po-'li-ti-cal	po-li-'ti-cian
b. 'pho-to-graph	pho-'to-gra-phy	pho-to-'gra-phic
c. 'hy-po-crite	hy-'po-cri-sy	hy-po-'cri-ti-cal
d. a'cademy	aca'demic	acade'mician

Rule-3: Most words ending in -self, -ee, -eer, -ette and -ique take the stress on the last syllable.

-self my'self , your'self , him'self , her'self

-ee absen'tee , refe'ree , lichen'see , devo'tee

- eer** volun'teer , ca'reer , auctio'neer , pio'neer
- ette** kitche'nette , ga'zette , geor'gette , ciga'rettee
- ique** an'tique , cri'tique , u'nique , o'blique

Rule-4: Words having the following suffixes are stressed on the syllable preceding i.e. second syllable from the end.

Suffix	Example
-ia	'ma-nia, 'm-edia
-id	'can-did, 'ac-id
-im	'de-nim, 'max-im
-ic; -ics	'pub-lic, 'lo-gic
-iac	'ma-niac, car-diac
-ial	'so-cial, con-fi-'den-tial
-ian	'In-dian, co-'me-dian
-iance	'bril-liance, 'ra-diance
-ual	'u-sual, in-di-'vi-dual
-ture	'pic-ture, 'tor-ture
-sure	ex-'po-sure, 'clo-sure
-ental	fun-da-men-tal, ac-ci-'den-tal
-ient	de-'fi-cient, ex-'pe-dient
-ier	'car-rier, 'fron-tier
-ion	va-'ca-tion, af-'fec-tion
-ious /eous	de-'li-cious, cou-'ra-geous
-ium	'cal-cium, 'pre-mium
-tor	'sculp-tor, 'doc-tor
-ience	'au-dience, o-'be-dience

Rule-5: Words having the following suffixes are stressed on the syllable just before the suffix i.e. third syllable counted from the last as the suffix has 2 syllables.

Suffix	Example
-ary	'pri-ma-ry, 'con-tra-ry
-eau	'bu-re-au, 'pla-te-au

-icle	'ar-ti-cle, 'par-ti-cle
-era	'cho-le-ra, 'ca-me-ra
-erie	're-ve-rie
-ery	'bra-ve-ry, 'art-er-y
-ical	e-co-'no-mi-cal, his-'to-ri-cal
-itive	pro-'hi-bi-tive, com-'pe-ti-tive
-logy	psy-'cho-lo-gy, phy-si-'o-lo-gy
-tory	'vic-to-ry, 'his-to-ry
-inal	o-'ri-gi-nal, me-'di-ci-nal
-iture	ex-'pen-di-ture, 'fur-ni-ture
-ity	pe-cu-'lia-ri-ty, ca-'pa-ci-ty
-itive	pro-'hi-bi-tive
-sory	com-'pul-so-ry
-cracy	de-'mo-cra-cy
-graphy	ge-'o-gra-phy
-gamy	'bi-ga-my
-nomy	as-'tro-no-my
-gyny	mi-'so-gy-ny
-metry	tri-go-'no-me-try
-scopy	ra-di-'o-sco-py
-phony	'eu-pho-ny
-sophy	phi-'lo-so-phy

Rule-6: The words having the following suffixes are stressed on the last syllable i.e. the syllable containing the suffix.

Suffix	Example
-aire	que-stion-'naire
-eer	en-gi-'neer
-ier	bri-ga-'dier
-ee	em-ploy-'ee
-ate	trans-'late, re-'late, cul-ti-'vate

Note: As we have seen in the above given examples, stress is affected by a change in the suffix. But there are some suffixes which do not affect stress. Some of them are -age, -ance, -en, -ess, -er.

-age	'parent , 'parentage
-ance	'clear , 'clearance
-en	'gold , 'golden
-ess	'host , 'hostess
-er	'teach , 'teacher

2.8.4 Stress Shift According to Function

Another aspect of word stress is the shift in stress in a number of disyllabic words, depending on whether the words are used as nouns, as adjectives or as verbs. If it is used as a noun or an adjective, the stress is on the first syllable. If the same word is used as a verb, the stress is on the second syllable.

Noun/Adj	Verb
'absent(adj)	ab'sent
'conduct(n)	con'duct
'confines(n)	con'fines
'dilute(adj)	di'lute
'desert(n)	de'sert
'exploits(n)	ex'ploits
'frequent(adj)	fre'quent

2.8.5 Stress in Compound Words

Compound words are made up of two words written as one word with or without hyphen. In a compound word, consisting of a combination of two words, the primary stress is generally on the first word.

Examples of primary stress on the first word

a. 'notebook	b. 'blackboard	c. 'bookcase
d. 'raincoat	e. 'cardboard	

Examples of primary stress on the second word

a. part'time	b. four'wheeler	c. middle'class
d. north'east	e. loud'speaker	

1. Compound words with fore, up, under and out as the first element are stressed as follows:

(a) If the second element is a noun then the accent is on the first element.

- a. 'forenoon b. 'upward c. 'underclothes d. 'outdoor

(b) If the second element is a verb then the accent is on the second element.

- a. fore'see b. up'hold c. under'take d. out'look

2. Compound words having here, there, where, over and self as the first element, irrespective of the status of the second element (i.e., whether it is a noun or a verb) have the accent on the second element.

(a) i. here'in ii. here'to iii. here'with iv. here'by

(b) i. there'after ii. there'in iii. there'of iv. thereu'pon

(c) i. where'as ii. where'by iii. where'in iv. where'ever

(d) i. over'whelm ii. over'flow iii. over'hear iv. over'night

2.9 TASKS

TASK-24: Listen to the following words and mark the syllable which receives the primary stress.

a. academy	b. academic	c. academician
d. advertise	e. advertisement	f. responsible g. responsibility

Answers

a. a'cademy	b. aca'demic	c. acade'mician
d. 'advertise	e. ad'vertisement	f. re'sponsible g. responsi'bility

TASK-25: Listen to the following compound words and identify the part on which the stress falls.

a. second-hand	b. bedtime	c. typewriter
d. airport	e. salesman	f. greenhouse
g. short-sighted	h. postgraduate	i. teacup j. vicechancellor

Answers

a. second-'hand	b. 'bedtime	c. 'typewriter
d. 'airport	e. 'salesman	f. 'greenhouse
g. short-'sighted	h. post-'graduate	i. 'teacup j. vice-'chancellor

TASK-26: Using the rules of words stress, mark the primary accent in the following groups of words and pronounce them correctly.

- a. conjunction, dissection, congratulations, vacation, participation, comprehension
- b. pathetic, sympathetic, grammatical, historically, characteristic, radical
- c. ambitious, luxuriant, industrial, casual, commercial, conscious
- d. unique, japanese, convalesce, incidental, zoology, plutocracy
- e. kingdom, clearance, brotherhood, wonderful, laziness, employment.

Answers

- a. con'junction, dis'section, congratu'lations, va'cation , partici'pation, compre'hension
- b. pa'thetic ,sympa'thetic, gram'matical, hi'storically, character'istic, 'radical
- c. am'bitious ,lux'uriant, in'dustrial, 'casual, com'mercial, 'conscious
- d. u'nique , japan'ese , conva'lesce, inci'dental, zo'o'logy, plu'tocracy
- e. 'kingdom, 'clearance, 'brotherhood, 'wonderful, 'laziness, em'ployment

2.10 ACCENT/STRESS AND RHYTHM IN CONNECTED SPEECH

When words are combined into sentences, some of the syllables receive greater prominence. When we listen to someone speaking, we can notice variation in the voice of the speaker. We need to determine the words that are normally to be stressed in a sentence.

Connected speech: We have seen that every word of two or more syllables, when said individual, has a stress on one of its syllables.

This is called word-stress. But in connected speech we do not hear a stress on every word. Some words lose their stresses, especially when we talk quickly, other words keep their stresses and these stressed syllables form what is called **sentence stress**.

In connected speech we put words together to form sentences.

For example, 'Mary and 'John 'went to the 'states is a sentence.

When we put words together to form sentences in English, In a sentence (or in a longer piece of connected speech) we stress some of the words and leave the others unstressed.

In the sentence “ 'Mary and 'John 'went to the 'states ” we stress only the word 'Mary , 'John , 'went , 'states and leave the other words unstressed.

Words which are usually stressed in English speech belong to **content words**. Namely, nouns, adjectives, numerals, notional verbs, adverbs, demonstrative, interrogative, indefinite pronouns and possessive pronouns functioning as nouns.

The words that are usually unstressed in English speech are **form words or structure words** namely, pronouns, auxiliary and modal verbs, verb to be, monosyllabic prepositions, monosyllabic conjunctions, articles and prepositions.

Examples

A few examples are given below, in which only the content words are stressed and the grammatical words are left unstressed.

- a. I 'gave him 'ten 'books.
- b. I 'love to 'live in 'Delhi.
- c. My 'son is a 'good 'driver.
- d. We have a 'grey 'cat in our 'house.

In the above examples, most of the content words are **monosyllabic**. If a content word that has more than one syllable occurs in a piece of connected speech, we stress only that syllable in it which we stress if we were to say the word by itself.

A few examples are given below in which the content words have **more than one syllable each**.

- a. Do you re'quire any as'sistance?
- b. To'morrow is a 'holiday'.
- c. I will 'never for' get you.

2.10.1 Rhythm in Connected Speech

English is a stress timed language, it is said to be having a stress-timed rhythm. Rhythm refers to the recurrence of an event at regular periods of time. The rhythm of English speech depends on the stressed syllables occurring at regular intervals of time by the alternation of stressed and unstressed syllables.

Example

Ex-1: Consider the following sentence:

'Go and 'post this 'card.

In the above sentence there is one stressed syllable, then one unstressed syllable, and then one stressed syllable, and so on and therefore it is easy for the speaker to speak in such a way that the stressed syllables occur at regular intervals of time.

Ex-2: Consider the following sentence:

My 'friend has ar'ranged for my re'turn trip

There are four stressed syllables. The first two stressed syllables have two unstressed syllables between them, the next two have three and the last two have none.

The time taken to pronounce a stressed syllable is approximately same as the time taken for the pronunciation of the following unstressed syllable. This stressing of some syllables and weakening of some syllables brings in the quality of the rhythm. This is very important feature of English connected speech and if it is neglected, the characteristic rhythm of the language is lost. To make the speech sound natural and fluent and to achieve the regularity of occurrence of stressed and unstressed syllables, we use the weak forms and contracted forms to maintain the rhythm of the language.

2.10.2 Strong/Weak Forms and Contracted Forms

Strong and Weak Forms

The structure of the form words or the structure words have two forms. The words which are spoken forcefully are called **Strong words**, pronounced when the words are uttered individually or when they are stressed in a given context.

The words that are spoken with a very low tone are called **Weak words**, that are unstressed and hence reduced when these words are uttered in connected speech.

For Example: I have **found** my **CD**.

In the above example, the words in bold are called the strong words, the words which underlined are called weak words.

The **strong words** are usually the nouns, main verbs, adjectives, adverbs. These words are always spoken loudly with stress while speaking. These words are important for conveying the meaning of the sentence.

The words that are spoken without stress, in a low voice are **weak words**. These are usually the pronouns other than the demonstrative and interrogative, prepositions, helping or auxiliary verbs, articles and conjunctions.

Some of the strong and weak forms of words are given below:

Word	Strong form	Weak form
Articles		
a	/eɪ/	/ə/
an	/æn/	/ən/
the	/ði:/	/ðɪ/

Auxiliary verbs

am	/æm/	/əm/
are	/a:/	/ə/
is		
was	/wɜz/	/wɔz/
were	/wɜ:/	/wə/
will	/wɪl/	/l/
would	/wud/	/wəd/
can	/kæn/	/kən/
does	/dʌz/	/dɔz/
had	/had/	/həd/
has	/hæz/	/həz/
have	/hæv/	/həv/
shall	/ʃæl/	/ʃəl/

Prepositions

at	/æt/	/ət/
for	/fɔ:/	/fɒ/
from	/frɔ:m/	/frəm/
to	/tu:/	/tə/
of	ɒv/	/əv/

Conjunctions

and	/ænd/	/ənd/
as	/æz/	/ɔz/
than	/ðæn/	/ðən/
that	/ðæt/	/ðət/

Pronouns

he	/hi:/	/hɪ/
him	/hɪm/	/ɪm/
his	/hɪz/	/ɪz/
me	/mi:/	/mɪ/
she	/ʃi:/	/ʃɪ/

her	/hɜ:/	/hə/
them	/ðem/	/ðəm/
some	/sʌm/	/ʃəm/
you	/ju:/	/ju/

Contracted Words: The words that are shortened or contracted are called the contracted words.

For Example

- a. He'll come at nine b. I've found my book.

In the above example, the words that are underlined are called the contracted words. “I’ve” is the contracted form of ‘I have’ and “He’ll” is the contracted form of ‘He will’. The contracted words are also another type of weak form words.

They are severely reduced forms of some auxiliary verbs, such as is, am, are, have, has, had, will, shall, would are attached to the preceding noun or pronoun.

Example

- a. He is - He's b. They are - they're
c. we have - we've d. I would - I'd

Look at the contracted forms given below:

Personal pronoun	Contraction
I	I'm
you	you're
he	he's
she	she's
it	it's
we	we're
they	they're

We would/should/had	we'd
They are	they're
They have	they've
They will	they'll
They would/should/had	they'd
He is/has	he's
He will	he'll
He would/had/should	he'd
She is/has	she's
She will	she'll
She would/should/had	she'd
It is/has	it's
It will	it'll
It would/should/had	it'd

Negative Contractions

does + not - doesn't
 has + not - hasn't
 can + not - can't
 would + not - wouldn't
 should + not - shouldn't
 will + not - won't
 do + not - don't

2.11 TASKS

TASK-27: Mark the stressed syllables in the following sentences. Say the sentences with the correct stress patterns.

- He's a good painter.
- Jack and Jill went to get some water.
- I'm afraid I'm very late today.
- The plane to London is delayed by two hours.
- He's extremely honest.
- He's a Professor of Physics

7. My neighbour has an imported car.	8. I worked in the States for two years.
9. She has a very pleasant personality,	10. Can you get me a cup of tea?

Answers

1. He's a 'good 'painter.	2. 'Sam and 'Ram 'went to 'get some 'water.
3. I'm a'fraid I'm 'very 'late to'day.	
4. The plane to 'London is de'layed by 'two hours.	
5. He is extremely 'honest.	6. He is a pro'fessor of 'Physics.
7. My 'neighbour has an im'ported 'car.	8. I 'worked in the 'States for 'two 'years.
9. She has a 'very 'pleasant perso'nality.	10. Can you 'get me a 'cup of 'tea?

TASK-28: Write the following sentences in phonemic transcription using the appropriate weak forms and read them aloud.

- I thought it was silly.
- It's not what I asked you for.
- Turn to the right at the end of the street.
- It's very kind of you to come.
- An apple a day keeps the doctor away.

Answers

1. /aɪ 'θʌ:t ɪt wəz 'sɪli/	2. /ɪts 'nɒt wɒt aɪ 'a:skt ju fɔ:/
3. /hɪ 'dʌznt 'wɒnt tə 'si: ðəm/	4. /ɪts 'veri 'kaɪnd əvju tə 'kʌm/
5. /ən 'æpl ə'deɪ 'ki:ps ðə 'dɒktər ə'weɪ/	

2.12 INTONATION

Intonation is the word used to describe the way in which the voice rises or falls is spoken English. It is very important in speech. The rise and fall of the voice while speaking is called Intonation.

Intonation is defined as “speech melody consisting of different tones”. An intonation is a melody that belongs to an entire sentence. Intonation plays an important role in the spoken language. Different intonation patterns are used to send out signals to express different attitudes that may “colour” a message.

Without intonation, our voices are flat and monotone. Without intonation, one cannot understand the speaker's feelings as well the speaker's attitudes.

For Example: Are they really happy? or Are they very angry?

Is there something exciting happening or perhaps a surprise of some sort? Thus, the person confident in what they think or say, or are they unsure of what they are thinking or saying?

Intonation is about how we say things, rather than what we say, the way the voice rises and falls when speaking, that is why, it is the music of the language.

2.12.1 Objective Factors

Few things must be kept in mind during a conversation:

a. Pitch

While some people naturally have higher voices than others. Women tend to speak in a high pitch voice than men. We convey emotions through our pitch of voice.

b. Pace

This is how fast and slow the speech is. While rapid speech may indicate that the speaker is nervous or excited, a steady pace shows confidence. It reflects a topic of a more serious nature.

c. Power

This refers to where you place the stress in a sentence, and can change the meaning of your speech almost entirely. For example, take a sentence “I didn’t say your behaviour was bad!”. Depending on where you place the stress in this sentence, you can elicit an entirely different response. The rate at which work is done is called power. One can practically name it by the way of utterance.

d. Tone

Tone is the easiest giveaway when it comes to emotion. We often think of vocal tones as being warm or cold. For example, the phrase “see you later” spoken in a warm tone implies excitement at the impending reunion, whereas spoken in a cold tone it could be a clue that the speaker isn’t particularly keen on seeing you after all! Tone makes the sender as well as the listener attentive.

2.12.2 Tone Groups

Intonation and stress are closely linked. They go hand in hand. Just as words have stressed syllables, sentences have regular patterns of stressed words. In addition, the voice tends to rise, fall or remain flat depending on the meaning or feeling we want to convey (surprise, anger, interest, wonder, gratitude, solitude etc.). It indicates the mood of the speaker.

There are two basic patterns of intonation in English:

1. Falling intonation and
2. Rising intonation.

In the following examples a downward arrow (↘) indicates a fall in intonation and an upward arrow (↗) indicates a rise in intonation.

I. Falling Intonation (?):- The pitch of the voice falls at the end of the sentence. But, voice must be clear till the end. Falling intonation is the most common intonation pattern in English. It is commonly found in statements, commands, wh-questions, confirmatory question tags and exclamations as well.

1. Statements

- a. Glad to meet ↘ you.
- b. I will be back in a ↘ minute.
- c. He doesn't seen here ↘ anymore.
- d. My mother wants to change her ↘ car.
- e. Here is the weather ↘ forecast.

2. Commands

- a. Write your name ↘ here.
- b. Show me what have you ↘ written.
- c. Keep it on the ↘ desk.
- d. Take that picture ↘ down.
- e. Throw that ↘ out.

3. Why-questions(requesting information)

(questions beginning with 'who', 'what', 'why', 'where', 'when', 'which', and 'how')

- a. What country do you come ↘ from?
- b. Where do you ↘ work?
- c. Which of them do you ↘ prefer?
- d. How many books have you ↘ bought?
- e. When does the shop ↘ open?
- f. Whose bag is ↘ this?

4. Questions Tags that are statements requesting confirmation rather than questions.

Not all tag questions are really questions. Some of them merely ask for confirmation or invite agreement, in which case we use a falling tone at the end.

- a. She thinks, she's so clever, doesn't ↘she?
- b. He is such an arrogant, isn't ↘he?
- c. They failed the test because they didn't revise, did ↘they?
- d. It doesn't seem to bother him much, does ↘it?

5. Exclamations

- a. How nice of ↘you!
- b. That's just what they ↘need!
- c. He doesn't ↘say!
- d. What a beautiful ↘voice!
- e. That's a ↘wonder!

II. Rising Intonation

The pitch of the voice rises at the end of a sentence. Rising intonation invites the speaker to continue talking. It is normally used with yes/no questions, and question tags that are real questions.

1. Yes or No Questions

- a. Do you like your new ↗teacher?
- b. Have you finished work ↗already?
- c. May I borrow your ↗bike?
- d. Do you have any ↗magazines?
- e. Do you sell ↗grocery?

2. Questions tags that show uncertainty and require an answer (real questions).

- a. We've met already, ↗haven't we?
- b. You like fish, ↗don't you?
- c. You're a new student ↗aren't you?
- d. The view is beautiful, ↗isn't it?

We sometimes use a combination of rising and falling intonation in the same sentence. The combination is called Rise-Fall or Fall-Rise intonation.

III. Rise-Fall Intonation (↗↘) : This is also called Rising Tone-Falling Tone. We use rise-fall intonation for choices, lists, unfinished thoughts and conditional sentences.

1. Choices(alternative questions)
 - a. Do you have ↗tea or ↘coffee?
 - b. Is Kavish leaving on ↗Monday or ↘Friday?
 - c. Does he speaks ↗French or ↘English?
 - d. Is your name ↗Rama or ↘Bima?
2. **Lists** (rising, rising, rising, falling) – 3 times rising and one time falling. Intonation falls on the last item to show that the list is finished.
 - a. We've got ↗apples, pears, bananas and ↘oranges.
 - b. The sweater comes in ↗blue, white pink and ↘black.
 - c. I like ↗football, tennis, basketball and ↘volleyball.
 - d. I bought ↗ a t-shirt, a skirt and a ↘ handbag.
3. **Unfinished thoughts(partial statements):** In the responses to the following questions, the rise-fall intonation indicates reservation. The speaker hesitates to express his/her thoughts completely.
 - a. Do you like my new handset? Well the ↗guard is ↘nice...
(but i don't like it).
 - b. What was the meal like? Hmm, the ↗ bitter guord dish was ↘ good...
(but the rest wasn't great).
4. **Conditional Sentences:** The tone rises in the first clause and falls gradually in the second clause.
 - a. If she ↗calls, ask her to leave a ↘message.
 - b. Unless he ↗insists, I'm not going to ↘go.
 - c. If you have any ↗problems, just ↘contact us.

IV. Fall-Rise Intonation (↘↗) : The voice falls and rises usually within one word. The main function of fall-rise intonation is to show, the speaker is not certain of the answer. It is also used in polite or suggestions.

1. Hesitation/reluctance

- a. So you'd be willing to confirm that? ...Well ... I \suppose so ...
- b. You didn't see him on Monday? I don't quite \remember ...

2. Politeness-Doubt-Uncertainty: (You are not sure what the answer might be.)

- a. Perhaps we could \visit the place?
- b. Do you think it's \allowed?

2.12.3 Some Important Points to be Remembered

The following are the most important aspects to be noted.

Pronunciation, Stress and Rhythm are the integral parts of intonation.

1. One must be a good listener.
2. Be attentive while you talk.
3. Observe lip movement and mouth while others pronouncing.
4. Initially, take one letter or two pairs of letters or small words – get on to the pronunciation.
5. One must observe oneself by standing in front of a mirror – practice accordingly.
6. Make a note from the sounds of English.
7. Tongue plays a vital role, for Eg – ‘l’, ‘R’.
8. Break the words into sounds, for Eg – ‘in’- ‘tro’- DUCE.
9. Take a video of your pronunciation and check twice.
10. Get improved by reading aloud.
11. This is going to act a key to speak.
12. Pronunciation mixed with stress sometimes become softer and sometimes hard.
13. Practice right form of the letters into words and then to sentences.
14. The tone and pitch of the voice sometimes incredible and listeners get impressed.
15. This has its own naturality with strength and sometimes the force of action.
16. Pronunciation along with stress joined with rhythm give natural sound.
17. It has its own fluency.
18. It develops confidence.
19. Improve listening skills and speaking ability.
20. This is music of English.

2.13 TASKS

TASK-29: Mark the stress and use falling intonation on the following sentences.

1. Nobody told me about it.
2. You can't be so disobedient.
3. There's some milk in the fridge.
4. I never understood him.
5. Very nice of you to have come.
6. Can you help me lift the box?
7. I'm very sorry.
8. Get me a glass of water please.
9. I bought a pen, a pencil, a scale and a book.
10. When I was young _____ .

Answers

1. 'Nobody 'told me a\bout it.
2. You\can't be'so dis'obedient.
3. 'There's some 'milk in the\fridge.
4. I never 'understood \him.
5. 'Very nice of 'you to have\come.
6. Can you ↗help me lift this box?
7. I'm 'very ↗sorry.
8. 'Get me a 'glass of 'water ↗please.
9. I bought a ↗pen, a ↗pencil, a ↗scale and a 'book.
10. When I was ↗young.....(incomplete sentence)

2.14 OUTCOMES

1. Communicate with professors or other professionals by phone to set up appointments for which to later conduct interviews; present interview results to the class
2. Use appropriate vocabulary and grammar in speaking at the advanced level.
3. Develop your public speaking abilities by giving you opportunities to speak in class, both informally and formally.
4. Increase your self-awareness about the English language and the culturally-bound conventions of American academic writing.

2.15 CHECK OUT

Assignment-1: Listen to the words below and write down the phonemic symbol for the vowel sound.

1. could
2. food
3. finger
4. large
5. cinema
6. father

7. little	8. where
9. pleasure	10. yellow

Assignment-2: For each phonemic symbol, write a word that contains the corresponding sound, and underline the letter (s) that corresponding to it.

Symbol	Word	Symbol	Word
1. /ŋ/		2. /ʃ/	
3. /ʌ/		4. /u:/	
5. /eɪ/		6. /ɔɪ/	
7. /tʃ/		8. /i:/	

Assignment -4: Listen to the following compound words and identify the part on which the stress falls.

a. grandmother	b. swimming pool
c. instruction	d. government
e. difference	f. tomorrow
g. autobiography	h. superstitious
i. politician	j. incredible

Assignment-6: Read aloud the sentences below as naturally as possible.

Please pay special attention to the weak pronunciation form of some words and the intonation of each sentence.

- I ordered an apple not a pear.
- Pass me the onion near the sugar bowl.
- Are you coming to our party?
- Is he the man you talked to me about?
- I already know him, but I haven't met her yet.
- Ask them all the questions you want.
- Where were your glasses?
- John'll do the work for you?
- I was cleaning the house when he arrived.
- There are eighteen students in my class.
- What's it mean?
- The teacher gave each one of us a piece of cake.

Unit-3**GRAMMAR****3.0 OBJECTIVES**

After completion of this module we should be able to understand

- To know about the Model, Concord, Tenses, Articles.
- Discuss about the preposition.
- Concept of Question tags, Active & Passive Voice, Degree of Comparison.
- Discuss the concept of Vocabulary

Grammar is the system of a language. People sometimes describe grammar as the “rules” of a language; but in fact no language has rules. If we use the word “rules”, we suggest that somebody created the rules first and then spoke the language, like a new game. But languages did not start like that. Languages started by people making sounds which evolved into words, phrases and sentences. No commonly-spoken language is fixed. All languages change over time. What we call “grammar” is simply a reflection of a language at a particular time.

Grammar is the breaking down of the building blocks, or parts of speech, in language, and the use of those pieces to form complete sentences. In this lesson, we will identify the eight primary parts of speech, look at their functions, and practice using them.



Do we need to study grammar to learn a language? The short answer is “no”. Very many people in the world speak their own, native language without having studied its grammar. Children start to speak before they even know the word “grammar”. But if you are serious about learning a foreign language, the long answer is “yes, grammar can help you to learn a language more quickly and more efficiently.” It’s important to think of grammar as something that can help you, like a friend. When you understand the grammar (or system) of a language, you can understand many things yourself, without having to ask a teacher or look in a book.

3.1 IMPORTANCE OF GRAMMAR

Correct grammar is your key to speaking English fluently and confidently. Knowing your grammar will help you avoid errors that make your English sound strange to native speakers.

But there are certain situations in which English grammar is especially important. For example, if you’re going for a job interview in an English-speaking country, the employer will be interested in the quality of your spoken and written English. In fact, in a recent survey of U.K. job recruiters, 50% said that bad spelling and grammar was the biggest reason they would dislike an application.

Correct grammar won’t just demonstrate your English skills—it’ll also show that you’re diligent and have an eye for detail.

This is equally important if you’re aiming to study abroad. Colleges and universities are likely to assess your academic English based largely on your knowledge of English grammar.

Grammar is even important for your social life. Did you know that people on online dating apps are 14% less likely to chat with someone who uses poor grammar? Plus, when you’re meeting new people or visiting new places, the last thing you want is to be misunderstood! To avoid confusing your friends, or even ordering more drinks than you intended, you need to have a firm idea of how to structure your words.

With all that said, remember that in some situations it’s okay to relax your grammar. When you’re texting a close friend, for example, it’s fine to use casual or more simplified language. Talking online is a fantastic way to connect with native speakers and other English learners in a friendly and pressure-free environment.

3.2 CONCORD

The word concord is derived from the Latin for agreement. When applied to English grammar, the term is defined as the grammatical agreement between two words in a sentence. Some linguists use the terms concord and agreement interchangeably, although traditionally, concord is used in reference to the proper relationship between adjectives and the nouns they modify, while agreement refers to the proper relationship between verbs and their subjects or objects.

Mixed concord, also known as discord, is the combination of a singular verb and a plural pronoun. This structure happens when there's a substantial distance between a noun and its modifier and shows up most frequently in informal or spoken language. Discord is motivated when the abstract preference for a phrase's meaning to be in agreement outweighs the desire for the formal subject noun phrase to agree.

Concord, as it is also often referred to, mainly focuses on subject-verb agreement. This is subdivided into three categories:

1. Grammatical concord
2. Concord of Proximity
3. Notional concord

1. Grammatical Concord: Some Rules for Grammatical Concord

The grand rule of subject-verb concord is that a singular subject takes a singular verb and a plural subject takes a plural verb. And it is needful to establish this fact that singular verbs are inflected with suffix '-s' while plural verbs maintain the base form. In other words, a singular verb ends with an 's' and a plural verb has no 's'.

Singular	Plural
comes	come
greet	greet
prays	pray

Let's check some of the guiding rules under grammatical concord:

3.2.1 Rules for Concord

Rule 1: Singular subjects take singular verbs.

- The student advocates for free lunch after the extra mural lesson.
- A serious situation calls for a serious approach.
- The period between pregnancy and childbirth is sometimes critical.
- Anxiety solves no problem.

Rule 2: Plural subjects take plural verbs.

- The children wake up late every day.
- Serious issues call for serious approaches.
- The young boys on the pitch play

Note: The focus is on the subject of the verb, not what comes in between the subject and the verb.

Rule 3: When a subject is joined to another noun by subordinator, disregard the subjoined noun or noun phrase. Focus on the first noun.

- The chairman alongside other members visits the orphanage quarterly.
- The teachers with the principal encourage the students to perform well.
- The senior prefect, as well as, other students never likes the physics teacher.
- From the examples above, we have two nouns in each subject slot as highlighted below:
- The chairman alongside other members ...
- The teachers with the principal ...
- The senior prefect, as well as, other students...
- The subjoined nouns are members, principal and students. Going by the rules, the focus of the expression is on chairman, teachers and senior prefect. Hence, they determine the nature of the verbs. Moreover, the sentence can be restructured thus for further clarity:
- Alongside other members, the chairman visits the orphanage quarterly.
- With the principal, the teachers encourage the students to perform well.

So, the main subject determines the status of the verb.

Other examples

- The man with his children attends to customers.
- The soldiers as well as the vigilante team watch over the small community.

Rule 4: When more than one is used as a subject of a verb in simple present tense, the verb should be singular because the headword is one.

- More than one man was asked to embark on the journey.
- More than one mango was shared among the children.

Rule 5: When two nouns refer to one person at the subject position, the verb should be singular, of course, because it is one person.

- My husband and boss never goes late for meetings.
- Here the speaker's husband is also her boss. So, one pre-modifier is used for both nouns as it is one person. Compare, "My husband and my boss never go late to meeting". Here, the speaker is referring to two different people.
- The president and Commander-in-chief of the armed forces lives his life fighting corruption.
- The class captain and best student of our set is just too proud.

Note: Always check for the pre-modifier when you have two nouns in the subject slot. When the nouns refer to one person, we use one pre-modifier.

Rule 6: When an indefinite pronoun pre-modifies a subject or acts as the main subject, the verb should be singular.

- Everyone loves to be respected.
- Every boy and girl loves his or her mother.
- Nobody cares for everybody's job.

Rule 7: Some nouns end with 's' but they are singular. You need to be careful because they are meant to go with singular verbs.

- Measles is caused by uncleanliness.
- Mathematics has been the problem of most students.

Rule 8: When a relative/adjectival clause qualifies a noun, the verb in the relative/adjectival clause works with the noun it qualifies.

For instance, 'One of the girls that sit in the front row has been suspended'. 'sit' in the relative clause agrees with 'girls' as the relative clause, 'that sit in the front row' qualifies the noun, 'girls'. Then, the main verb in the sentence 'has' agrees with 'one'.

- Semantically, it means many girls sit in the front row only one has been suspended.

Other examples

- Algebra is one of the topics that confuse
- Dr Osoba is one of the lecturers who teach well in LASU.

Rule 9: When a generic reference is used with the definite article 'the' as a subject of the verb, the verb should be plural.

Generic reference is used when you make a reference to all the members of a class of people or things.

Examples

- The rich also cry.
- The less privileged look after one another.

Rule 10: When a result of a survey is issued or reported, caution should be exercised to avoid error of overgeneralization.

For instance, 'One in ten prefer coffee to tea'; Not, 'One in ten prefers coffee to tea'. In the real sense, more than one person prefers coffee. So, if we have thirty-two people in a group and we say one in ten, it then means at least two. Such expressions attract the plural.

Other examples

- One in every five boys go to the local cinema.

Rule 11. When an uncountable noun is introduced with a quantifier or percentage, it attracts a singular verb. In the same vein, when a countable noun is introduced in percentage, it goes with a plural verb.

- A quarter of the land is occupied by the aborigines.
- Two cups of flour is enough for the cake.
- Only ten percent of people in the world actually believe in self-actualization.

Rule 12. When a modal auxiliary verb precedes a main verb, the verb maintains the base form.

- The boy might come
- He came in so that we could discuss the issue.

Rule 13: Mandative Subjunctive: Mandative Subjunctive is used to express a demand, requirement, request, recommendation or suggestion. When it is used with either a the singular or the plural subject, the verb takes the base form:

- I recommend he attend the seminar alone.
- The board suggests the chairman resign immediately.

3.2.2 Concord of Proximity

The rule here says when a subject of a sentence is initiated by ‘either...or’, ‘neither...nor’, ‘not only...but’ only the noun after the correlative conjunction, that is, the one closer to the main verb is considered to determine the status of the verb.

For instance

Neither the vice principal nor the teachers honour the principal.

Neither the teachers nor the vice principal honours the principal.

Either the main man or I am supposed to anchor the event.

Not only the king but his subjects swear to the gods of the land.

Not only the people of the land but also the priest defies the tradition.

1. Notional concord

Here under notional concord we consider the relationship between collective nouns and their verbs. A collective noun is a noun used to refer a group of people or thing e.g. committee, team etc.

With collective nouns, the context determines whether the verb is singular or plural. If the noun is taken as a unit. Then the singular verb will be used but if the members in the group are seen as separate. Then, the plural will be used.

Examples

- The committee contribute to issues as they are empowered.
- The jury vote according to their consciences.

3.2.3 The Basics of Subject-Verb Concord

In subject-verb concord, if the subject of the sentence is singular, the verb must also be singular. If the subject is plural, the verb must be plural as well.

- The window is open. (Incorrect)
- The windows are open. (Correct)

Of course, these are easy examples but where people tend to get confused is when a phrase is containing another noun is inserted between the subject and the modifying verb and that noun has a different numeric value (singular or plural) than the subject noun.

- In this example, the first sentence is incorrect:
- The crates in the warehouse is ready to be loaded. (Incorrect)
- The crates in the warehouse are ready to be loaded. (Correct)

While “warehouse” is singular, it is not the subject of the sentence. The second sentence is correct. The word “crates” is the subject of the sentence, so must take the plural form of the vowel (in this case, “are”) to be in agreement.

When two singular subjects are linked in a sentence by “either/or” or “neither/nor,” correct usage requires the singular verb.

Neither Mary or Walter is available at present.

What happens when one subject is singular and the other is plural? Agreement depends on the subject placement in the sentence:

- Either the dog or the cats are in the basement.
- Either the twins or Mandy is waiting for you now.
- Two subjects connected by “and” take a plural verb.
- Orville and Wilbur are over by the fence.
- The rooster and the chickens are missing.

There are two exceptions to these rules. The first is when a compound subject is connected with “and” but through popular use is considered a singular subject. While “Bacon and eggs is my favorite breakfast” is not grammatically correct, “bacon and eggs” is considered a singular item on the average American breakfast menu. The second exception is when both subjects are the same entity: The author and illustrator of “Where the Wild Things Are” is Maurice Sendak.

Meanwhile, some plural subjects call for singular verbs:

- Fifty dollars is too much to pay for that dress.
- Twenty seconds is all you get before I scream.

The following all take singular verbs: each, everyone, everybody, anyone, anybody, somebody, nobody, someone, none, and no-one.

- Each candle is burning.
- Everyone is having a good time.
- Nobody is going to mind if you get to the party on time.
- Someone is likely to know where the house is.
- None of us is to blame.

3.2.4 Tasks

TASK-1: Fill in with the correct form of the verb given in brackets.

1. Every boy _____ a pair of shoes. (needs/need)
2. Jai or her sister _____ done this. (has/have)
3. Either John or his wife _____ dinner. (cooks / cook)
4. Neither my brother nor my sister _____ come today. (has/have)
5. Raju or his brothers _____ home every Sunday. (come/comes)
6. Neither I nor my mother _____ heard the sound. (has/have)
7. The boy as well as his parents _____ arrived. (has/have)
8. The guest, along with others _____ left. (has/have)
9. All the students, together with their teacher _____ arrived. (have/has)
10. One of the students _____ fined. (was/were)
11. More than one invitee _____ arrived. (has/have)
12. A good number of students _____ passed. (have/has)
13. None of the passengers _____ injured. (was/were)
14. A lot of money _____ spent on education. (is/are)

15. A dozen oranges _____ Rs.50/- (cost/costs)
16. The furniture _____ old. (is/are)
17. Physics _____an interesting subject. (is/are)
18. My trousers _____new. (are/is)
19. The poet and philosopher _____ the award. (deserves/deserve)
20. The police _____searching for a clue. (are/is)
21. Antony and Cleopatra _____an absorbing film. (is/are)
22. Each man and woman __the same rights.
(a) has (b) have (c) had (d) is having
23. Every means _____tried but without much result.
(a) has been (b) have been (c) are (d) is
24. There _____in this room.
(a) are too much furniture (b) is too many furnitures
(c) are too much furnitures (d) is too much furniture
25. _____is to attend our evening.
(a) both the singer and the dancer (b) Either the singer or dancers
(c) The singer or dancers (d) The singer and dancer
26. Not only I but also David and Iris _____ fond of playing basketball.
(a) am (b) is (d) are
27. _____ was wrong.
(a) Not the teacher but the students (b) Both the students and the teacher
(c) Neither the teacher not the students (d) Not the students but the teacher
28. More than one worker _____ dismissed.
(a) have been (b) are (c) has been (d) has
29. The Prime Minister together with his colleagues _____ attending the dinner.
(a) is (b) are (c) been (d) has been
30. The public _____generous in their contributions to the earthquake victims.
(a) is (b) was (c) are (d) has been

Answers

1. need	2. has	3. cooks	4. have	5. come
6. have	7. have	8. has	9. have	10. was
11. has	12. have	13. were	14. is	15. costs
16. is	17. is	18. are	19. deserves	20. is
21. is	22. a (has)	23. d (is)	24. d (is too much furniture)	
25. a (both the singer and the dancer)			26. a (am)	
27. b (Both the students and the teacher)			28. c (has been)	
29. a (is)	30. c (are)			

Examples on Subject Verb Concord

TASK-2: Choose the correct subject verb combinations in the sentences below.

- The captain with his crew **was/were** drowned.
- Many a boy **is/are** doing their work.
- If **you work/ will work** hard, you will pass.
- Each of those mangoes **is/are** rotten.
- Neither he nor I **was/ were** there.
- Either he or his brother **has/ have** made the mistake.
- Man and woman **is/ are** complementary to each other.
- Plenty of mangoes and bananas **is/ are** available in this season.
- A dictionary and an atlas **is/ are** missing from the library.
- The leader as well as his brothers **belong/ belongs** to the same tribe.
- Cats and dogs **do/does** not get along.
- The brothers as well as their sister **is/ are** good at their studies.
- The teacher with his students **has/have** gone on a picnic.
- A Lot of houses **has/ have** collapsed in the storm.
- The children as well as their mother **is/ are** missing.

Answers

1. Was	2. Is	3. Work	4. Is	5. Was
6. Has	7. Are	8. Are	9. Are	10. Belongs
11. Do	12. are	13. Has	14. Have	15. Are

3.2.5 Check Out

Assignment-1: Choose the correct form of the verbs given in the brackets in the following sentences

1. Each of these producers _____ his own advantage, (has, have)
2. Ten miles _____ long distance, (is, are)
3. Many a student _____ hard to pass his entrance exam, (try, tries)
4. The furniture in his house _____ impressive, (look, looks)
5. Few students _____ present in the class today, (is, are)
6. Ramesh, my best friend _____ leaving for Japan next week, (is, are)
7. Most of my friends _____ government employees, (is, are)
8. The level of intoxication _____ from subject to subject, (vary, varies)
9. Either men or women _____ telling lies, (is, are)
10. A number of people _____ reported to be missing in the train accident at Sruthi.(was, were)
11. The Ritesh _____ divided in their opinions, (was, were)
12. There _____ many exceptions to this rule, (is, are)
13. Bread and butter _____ my favourite breakfast, (is, are)
14. Neither Naresh nor his friends _____ hurt, (was, were)
15. Slow and steady _____ the race, (win, wins)

Assignment-2: Correct the following sentences: (concord)

1. Siri as well as Ramya like fruit.
2. The owner of these houses are very clever.
3. There is eleven players in the ground.
4. Rice and curry are his favourite dish.
5. 'Great Expectations' are a good book.
6. Both of the books requires careful reading.
7. Neither Tarun nor his friends is going there.
8. A doctor as well as a nurse are working in the hospital.
9. A doctor and a nurse is working in the hospital.
10. A number of books is missing.

3.3 MODALS

Modals (also called modal verbs, modal auxiliary verbs, modal auxiliaries) are special verbs which behave irregularly in English. They are different from normal verbs like “work, play, visit...” They give additional information about the function of the main verb that follows it. They have a great variety of communicative functions.

Here are some characteristics of modal verbs

- They never change their form. You can't add “s”, “ed”, “ing”...
- They are always followed by an infinitive without “to” (i.e., the bare infinitive.) in most cases, except Ought to: You can go home. You ought to go home.
- They are used to indicate modality allow speakers to express certainty, possibility, willingness, obligation, necessity, ability.

Note: Here you must recall the similarity and differences between Primary auxiliaries verbs and Modal auxiliaries verbs

Primary Auxiliaries	Modal Auxiliaries
1. Form tenses and voices.	1. Don't have "s", "ed", "ing" forms.
2. Form negatives and questions.	2. Form questions and negatives.
3. May stand alone.	3. Never stand alone. Always used with main verbs.
4. Change form according to the number and person of the subject.	4. Express a wide variety of meanings.
5. Help the main verb to carry the different times of action.	5. Their form does not change according to the number or person of the subject.

3.3.1 List of Modal Verbs

Here is a list of modal verbs: can, could, may, might, will, would, shall, should, must.

The verbs or expressions dare, ought to, had better, and need not behave like modal auxiliaries to a large extent and may be added to the above list.

Modal verbs are used to express functions such as:

1. Permission	2. Ability	3. Obligation	4. Prohibition
5. Lack of necessity	6. Advice	7. Possibility	8. Probability

Examples of modal verbs

Here is a list of modals with examples:

1. *can*

Use	Examples
ability to do sth. in the present (substitute form: to be able to)	I can speak English.
permission to do sth. in the present (substitute form: to be allowed to)	Can I go to the cinema?
request	Can you wait a moment, please?
offer	I can lend you my car till tomorrow.
suggestion	Can we visit Grandma at the weekend?
possibility	It can get very hot in Arizona.

2. *could*

Use	Examples
ability to do sth. in the past (substitute form: to be able to)	I could speak English.
permission to do sth. in the past (substitute form: to be allowed to)	I could go to the cinema.
polite question *	Could I go to the cinema, please?
polite request *	Could you wait a moment, please?
polite offer *	I could lend you my car till tomorrow.
polite suggestion *	Could we visit Grandma at the weekend?
possibility *	It could get very hot in Montana.

3. may

Use	Examples
possibility	It may rain today.
permission to do sth. in the present (substitute form: to be allowed to)	May I go to the cinema?
polite suggestion	May I help you?

4. might

Use	Examples
possibility (less possible than may) *	It might rain today.
hesitant offer *	Might I help you?

5. must

Use	Examples
force, necessity	I must go to the supermarket today.
possibility	You must be tired.
advice, recommendation	You must see the new film with Brad Pitt.

6. must not/may not

Use	Examples
prohibition (must is a little stronger)	You mustn't work on dad's computer.
	You may not work on dad's computer.

7. need not

Use	Examples
sth. is not necessary	I needn't go to the supermarket, we're going to the restaurant tonight.

8. ought to

similar to *should* – *ought to* sounds a little less subjective

Use	Examples
advice	You ought to drive carefully in bad weather.
obligation	You ought to switch off the light when you leave the room.

9. shall: used instead of *will* in the 1st person

Use	Examples
suggestion	Shall I carry your bag?

10. should

Use	Examples
advice	You should drive carefully in bad weather.
obligation	You should switch off the light when you leave the room.

11. will

Use	Examples
wish, request, demand, order (less polite than would)	Will you please shut the door?
prediction, assumption	I think it will rain on Friday.
promise	I will stop smoking.
spontaneous decision	Can somebody drive me to the station? - I will .
habits	She's strange, she'll sit for hours without talking.

12. would

Use	Examples
wish, request (more polite than will)	Would you shut the door, please?
habits in the past	Sometimes he would bring me some flowers.

Examples

- You **must stop** when the traffic lights turn red.
- You **should see** to the doctor.
- There are a lot of tomatoes in the fridge. You **need not buy** any.

Modals in the present and past

Generally speaking modals in the past have the following form:

- modal + have + past participle

Example

- Present**

You **should see** a doctor.

- Past**

You **should have seen** a doctor

Except for modals that express obligation, ability and lack of necessity:

- Obligation**

Present = I **must / have to** work hard. Past = I **had to** work hard.

- Ability**

Present = I **can** run fast. Past = I **could** run fast when I was young.

- Lack of necessity**

Present = You **don't have to / needn't** take your umbrella. Past = You **didn't have to / didn't need** to take your umbrella.

	Modals in the Present	Modals in the Past
Obligation	You must / have to stop when the traffic lights are red.	You had to stop .
Advice	You should see a doctor.	You should have seen a doctor
Prohibition	You mustn't smoke here.	You mustn't have smoked there.
Ability	I can run fast.	I could run fast. now I am old.

	Modals in the Present	Modals in the Past
Certainty	He has a Rolls Royce. He must be very rich. He can't be American. His English is terrible.	He must have been rich. He had a big house and an expensive car. He can't have written that poem. He was illiterate.
Permission	Can I go out?	She could drive her father's car when she was only 15.

Possibility	It may / can / could / might rain. It's cloudy.	I guess it may / can / could / might have been Lacy on the phone.
Lack of necessity	You don't have to / needn't buy any tomatoes. There are plenty in the fridge.	You didn't have to / didn't need to buy tomatoes.

3.3.2 Tasks

TASK-3: Choose the right modal verb

- There are plenty of drumsticks in the fridge. You _____ buy any.
- It's a nursing care. You _____ smoke.
- He had been working for more than 12 hours. He _____ be tired after such hard work. He _____ prefer to get some rest.
- I _____ speak Arabic fluently when I was a child and we lived in Morocco. But after we moved back to Canada, I had very little exposure to the language and forgot almost everything I knew as a child. Now, I _____ just say a few things in the language.
- The teacher said we _____ read this book for our own pleasure as it is optional. But we _____ read it if we don't want to.
- _____ you stand on your head for more than a minute? No, I _____.
- If you want to learn to speak English fluently, you _____ to work hard. .
- Take an umbrella. It _____ rain later.
- You _____ leave small objects lying around. Such objects _____ be swallowed by children.
- People _____ walk on grass.
- Drivers _____ stop when the traffic lights are red.
- _____ I ask a question? Yes, of course.
- You _____ take your umbrella. It is not raining.
- _____ you speak Spanish? No, I _____.

Answers

- There are plenty of drumsticks in the fridge. You needn't buy any.
- It's a nursing care. You mustn't smoke.

3. He had been working for more than 12 hours. He must be tired after such hard work. He may prefer to get some rest.
4. I could speak Arabic fluently when I was a child and we lived in Morocco. But after we moved back to Canada, I had very little exposure to the language and forgot almost everything I knew as a child. Now, I can just say a few things in the language.
5. The teacher said we can read this book for our own pleasure as it is optional. But we needn't read it if we don't want to.
6. Can you stand on your head for more than a minute? No, I can't.
7. If you want to learn to speak English fluently, you need to work hard.
8. Take an umbrella. It might rain later.
9. You shouldn't leave small objects lying around. Such objects may be swallowed by children.
10. People mustn't walk on grass.
11. Drivers must stop when the traffic lights are red.
12. May I ask a question? Yes, of course.
13. You needn't take your umbrella. It is not raining.
14. Can you speak Spanish? No, I can't.

TASK-4: Choose the right on modal forms in the following sentences

1. May I use your mobile phone?
2. May I help you?
3. You mustn't walk on grass.
4. What do you think I should do?
5. Can you help me with this exercise?
6. I can speak Arabic.
7. I think you should see a doctor.
8. You must stop when the traffic lights are red.
9. You needn't take your umbrella. It isn't raining.
10. You may pass the exam. It is not very difficult. You only have to work harder.

Answers

1. Asking for permission	2. Making an offer	3. Expressing prohibition
4. Asking for advice	5. Making a request	6. Expressing ability

7. Giving advice
8. Expressing obligation
9. Expressing lack of necessity.
10. Expressing possibility.

TASK-5: Choose the correct Modal Verbs

He had been working for more than 11 hours. He _____ be tired after such hard work. He _____ prefer to get some rest. 2. _____ stand on your head for more than a minute? No, I _____. 3. If you want to learn to speak English fluently, you _____ to work hard. 4. Take an umbrella. It _____ rain later. 5. You _____ leave small objects lying around. Such objects _____ be swallowed by children. 6. People _____ walk on grass. 7. I _____ speak Arabic fluently when I was a child and we lived in Morocco. But after we moved back to Canada, I had very little exposure to the language and forgot almost everything I knew as a child. Now, I _____ just say a few things in the language. 8. The teacher said we _____ read this book for our own pleasure as it is optional. But we _____ read it if we don't want to. 9. There are plenty of tomatoes in the fridge. You _____ buy any. 10. It's a hospital. You _____ smoke.

1. Must, may
2. Can, can't
3. Need
4. Might
5. Shouldn't, may
6. Mustn't
7. Could, can
8. Can, needn't
9. Needn't
10. Mustn't

3.3.3 Check Out

Assignment-3: Choose the right modal verb

1. I didn't feel very well yesterday. I _____ eat anything.
(a) cannot (b) couldn't (c) mustn't
2. You _____ look at me when I am talking to you.
(a) could (b) should (c) would
3. I was using my pencil a minute ago. It _____ be here somewhere!
(a) can (b) could (c) must (d) would
4. You really _____ be late again.
(a) must not (b) don't have to be
5. If you don't start working harder, you _____ repeat the course next year.
(a) have to (b) must (c) will have to
6. His parents spoil him. He's always _____ to do whatever he wants.
(a) been able (b) been allowed

7. Phone her now. She _____ home by now.
(a) has to be (b) must to be (c) would be
8. You _____ forget your sun cream. It's going to be very hot!
(a) don't have to (b) mustn't (c) needn't
9. I _____ be able to help you, but I'm not sure yet.
(a) might (b) would
10. Entrance to the museum was free. We _____ pay to get in.
(a) needn't (b) didn't need to

Assignment-4: Fill in the blanks in the following sentences with modals - Will / Shall , Would/ Should or Can/Could.

1. She told me that she was unwell so she _____ not go to office.
2. The visitors _____ not carry eatables with them in the hotel.
3. As he is in dire need of money, we _____ help him immediately.
4. _____ you please lend me your book for a week?
5. His son is not so brilliant in his studies but he _____ pass the examination.
6. I _____ be thankful to you if you help me at this time of need.
7. Drive fast lest you _____ miss the flight.
8. _____ you like to accompany us to the market tomorrow?
9. The lady has grown so old that she _____ not walk without a stick.
10. Had he worked hard, he _____ have passed the examination.

3.4 TENSES (PRESENT/ PAST/ FUTURE)

Tenses play a crucial role in the English language. It denotes the time an action takes place, whether some time in the past, in the present or will take some time in the future.

Tense is the form taken by a verb to indicate time and continuance or completeness of action. Mainly verbs come in three tenses namely past, present, and future. Then these three continuance or completeness of action is classified into four subcategories

The past is used to describe things that have already happened (e.g., earlier in the day, yesterday, previous week, five years ago). The present tense is used to describe things that are happening (e.g., right now, or things that are continuous). The future tense describes things that have yet to happen (e.g., later, tomorrow, next week, next year, five years from now).

3.4.1 Present Tense

1. Simple present tense
2. Present progressive or continuous tense
3. Present perfect tense
4. Present perfect continuous tense

1. Simple present tense

Subject + V1 + s/es + object

We use **present** tense from: **subject** + **stem** verb to communicate

- i. It is used to express habitual action.
 - She **goes** for a walk every evening.
 - I get up early in the morning.
- ii. It is used in Repetition of action
 - Promotion exercises **occur** twice a year
 - **"I spend** two or three days a week in New York besides Detroit."
- iii. General statements not bound to specific time
 - Oil **floats** on water.
 - You **take** one step towards god and god **takes** ten steps towards you, they say.
 - Heated ice **turns** to water.
 - Delayed premium payments **attract** a fine.
- iv. Action in future time in 'if' and 'time' clauses
 - If you **agree** to the conditions, you'll get the contract.
 - You'll know what I mean when she **speaks** to you.
- v. Certain verbs only in present tense form in present time
 - "Twenty million?" He gasped in mock horror. "That's outrageous!"
 - "I've seen the algorithm. I **assure** you it's well worth it."
 - "We both **know** Mr. Tarun would never stand for this".
 - "And Takanado gave this ring to a total stranger moment before he died? Why?" "What do you **think**?"

2. Present Continuous Tense

We use present progressive/continuous tense form: Subject + **be** + **v-ing** to communicate

- i. It is used to express an action that is going on at the time of speaking.
 - What you're **offering** is peanuts.

- Tell him I'm talking to the Governor on line one
- "How much are you asking for both keys?"
- ii. It is used to express an action that will happen in the future.
 - Are you **doing** anything this evening?
 - "Mommy is with me. She's **catching** a plane from Boston to London and will be home with you tomorrow."
- iii. It is used an action in process but not necessarily occurring in the present time
 - **I'm doing** part-time PhD.
 - "The pass-key is worth hundreds of times what he **is paying** me to handle it for home."
 - **I'm** Seriously **thinking** of reporting the matter.
 - **I'm** always forgetting people's names

3. Present perfect tense

We use present perfect tense form: subject + **have/has** ['s] + [been] **past participle** to communicate

- Action completing in the present • **I've done** my job; it's up to you now.
- ii. It is used to express a past action the result of which continuous at present [as knowledge/information/ Experience]
 - She say she's **read** the instructions but doesn't understand them.
 - "The list of [paintings] **has been circulated** to museums, art dealers and collectors."
- iii. It is used to express an action starting in the past and going on in the present time.
 - **I've lived** here for twenty years/since 1998.
 - **I haven't visited** my parents for five years.

4. Present perfect continuous tense

We use present perfect continuous tense form: subject + **have/has** + **been** + **v-ing** to communicate

- It is used to refer to an action that begins in the past and continuous through a given period of time up to the present moment.
- My wife **has been pestering** me for some platinum jewellery.
- Sudhakar **has been seeing** a lot of Swarna lately.
- He has been painting the door since 2 p.m.

Note on when to use present perfect and present perfect progressive tenses

- a. Present perfect tense is used to describe permanent situations:
 - I've lived here all my life. This mosque has stood here for two hundred years.
- b. Present perfect progressive is used to describe temporary situations:
 - I've been waiting here for two hours. We've been living here since last month.
- ii. Present perfect progressive can also describe an action completed in the present [The emphasis here is on the effect of the action rather than on the action itself.]:
 - Please excuse my dirty clothes. I've been dusting the Sitting room.
 - Be careful! I've been painting the door. [The paint is still wet.]

3.4.2 Past Tense

1. Simple past tense	2. Past continuous tense
3. Past perfect tense	4. Past perfect continues tense

1. Simple past tense

We use simple **past** tense form: subject + stem verb to communicate

- i. It is used to express the action completed in the past. Adverbs and adverbial phrases expressing past time are often used with this tense.
 - The train **reached** half an hour late.
 - She **underwent** a training course for a month.
- ii. It is used to express a habitual action in the past.
 - I never **believed** in ghosts.
 - She always carried an umbrella.
- iii. It is used to express that not real in the present time or future time but imagined to be real
 - If you brought a lawsuit, the company would fire you.
[I know you don't intend to bring a lawsuit.]
[I'm just imagining it as a condition.]
 - "I'd rather you **didn't look** at that."
 - It's time you **slept**.
 - You look as if you **were** slapped.

2. Past Continuous Tense

We use past progressive tense form : subject + **was/were** + **v-ing** to communicate

- i. It is used to express an action that was still going on the past time.

- Why **were** you weeping?
- When I saw him last, he **was watering** the plants in the garden.

3. Past perfect tense

We use past perfect tense form: subject + had+ [verb] past participle to communicate

- i. It is used to express an action which had been completed at some point in the past time before another action was started.
 - She had to stay away from school because she had been suspended for a week.
“..... but when Dana asked him what **had happened**, he could not tell her the truth.”
- ii. In indirect speech a message that had been expressed in past tense or present perfect tense in direct speech
 - He said, “She has resigned.” ● He said she **had resigned**
 - He said, “she **reached** the station in time to board the train.”
 - He said she **had reached** the station in time to board the train.
- iii. It is used to express that a condition in the past time with an implied negative meaning
 - If I had known you would be offended, I wouldn’t have treated the matter so lightly.
[meaning : I didn’t know you’d be]
[offended, so I treated the matter lightly.]

4. Past perfect continuous tense

We use past perfect continuous tense form: subject + **had + been +v-ing** to communicate

- i. It is used to show an action that had begun in the past and continued till some point of time in the past.
 - We **had been trying** to get her on the phone but were unsuccessful.
 - She wanted to know what I **had been doing** before becoming freelance journalist.

3.4.3 Future Tense

1. Simple future tense	2. Future continuous tense
3. Future Perfect tense	4. Future perfect continuous tense

1. Simple future tense: We use simple future tense form

will/shall +v [for first person: I, we] **will** +v [for second and third person “ you, she, he, **it**, they]
to communicate

- i. It is used to express an action that will take place in the future.
 - I **shall/will** post the letter.
 - **Will** he grant permission?
 - I wonder if they **Will** accept the terms of the contract.

Note: I **won't** see her again. [I am determined not to see her again.]

- I **won't be seeing** her again. [I will have no chance of meeting her again.]

2. Future Progressive/Continuous Tense

We use future progressive tense form: subject + **shall/will** + **be** + **v-ing** to communicate

- i. It is used to express an action going on at some point in future.
 - "Are you free tomorrow morning?"
 - "I'll **be giving** a lecture."

3. Future Perfect Tense

We use future perfect tense form: subject + **will** + **have** + **past participle** to communicate

- i. It is used to express an action that will be completed at some point in the future.
 - On 25 July we **shall have been** married thirty years.
- ii. It is also used to express that possibility or assumption
 - By this time, next year I'll have retired from service.
 - It's six o' clock; they'll **have arrived** by now.

Note: Verbs **rarely** used in progressive [**continuous**] form-present, past, future

- i. State verbs like 'be,' become, 'taste'
- ii. Verbs of perception and appearance: **notice, perceive, see, hear, seem, appear, resemble**
- iii. Verbs of belief and knowledge: **believe, consider, regard, think, imagine, suppose, suspect, know, realise, recognise, understand, see, remember, recall, remind, forget**
- iv. Verbs of emotion, desire and attitude
 - Like, love, adore, admire, respect, trust, please, appeal,
 - Amuse, attract, interest, desire, need, prefer, require,
 - Want, wish, dislike, hate, detest, despise, care about,
 - Mind, concern, fear, frighten, shock, surprise, amaze,

4. Futures perfect continuous tense

- i. The future perfect progressive emphasize the duration of an activity that will be in progress before another time or event in the future.

- This time tomorrow, I will be enjoying the cricket match in the stadium.
- ii. It is also used to talk about planned actions or actions expected to happen.
- They will be staying for a week's

Table Format of Tenses

Tense	Formula	Example
Present tense		
Simple present tense	Subject + V1 + s/es + object	She writes a letter
Present continuous	Subject + be +v-ing	she is writing a letter.
Present perfect	subject + have/has ['s] + [been] past participle	She has written a letter.
Present perfect continuous	subject + have/has + been + v-ing	She has been writing a letter.
Past tense		
Simple past tense	subject + stem verb or v2 form verb	She wrote a letter
Past continuous	subject + was/were + v-ing	She was writing a letter.
Past perfect	subject + had+ [verb] past participle	She had written a letter.
Past perfect continuous	subject + had + been +v-ing	She had been writing a letter.
Future tense		
Simple future tense	will/shall +v [for first person: I, we] will +v	She will write a letter.
Future continuous tense	subject + shall/will + be + v-ing	She will be writing a letter.
Future perfect	subject + will + have + past participle	She will have written a letter.
Future perfect continuous	Will/Shall + Have been + Verb (1st form) + ing	She will have been writing a letter.

3.4.4 Tasks

TASK-6: Choose the correct tense from the following brackets

- When I opened my eyes, I _____ a strange sight. (saw, was seeing, have seen)
- Every morning she _____ up early and gets ready for work.
(is waking, wakes, has woken)

3. If I knew what he wanted, I _____ this.
(will not permit, would not permit, would not have permitted)
4. I _____ anything from her in a long time. (didn't hear, haven't heard, am not hearing)
5. The headmaster _____ to talk to you. (want, wants, is wanting)
6. Jane _____ with her parents. (is living, lives, has lived)
7. We _____ Greece next month. (visit, will visit, would visit, are visiting)
8. The moon _____ around the earth. (is revolving, has revolved, revolves)
9. She _____ a novel. (wrote, writes, has written)
10. All students _____ in their work. (handed, have handed, hand)

Answers

1. Saw	2. wakes	3. would not permit
4. haven't heard	5. wants	6. lives
7. are visiting	8. revolves	9. has written
10. have handed		

TASK-7: Choose the correct tense on simple past and present.

1. Dad _____ tea in the morning, but today he _____ coffee.
(drinks, drank; drinks, drinks; drank, drinks)
2. All children _____ love. (need, needed, needs)
3. I _____ a strange dream yesterday. (have, had)
4. I _____ a Sci-fi movie yesterday. (watch, watched)
5. I _____ my phone while I was on vacation in Greece. (lose, lost, lost)
6. He _____ gently to the child. (speaks, spoke)
7. Plants _____ carbon dioxide and release oxygen. (absorb, absorbed)
8. Kind words _____ others happy. (absorb, made)
9. Birds _____ in the sky. (fly, flies, flew)
10. Money _____ on trees. (do not grow, does not grow, did not grow)
11. They _____ the car to pay off the loan. (sold, sell, had sold)
12. She _____ me a story the other day. (tell, told, has told)

Answers

1. drinks, drank	2. need	3. had	4. watched	5. lost
6. spoke	7. absorb	8. absorb	9. fly	10. does not grow
11. sold	12. told			

TASK-8: Choose the correct verb form from those in brackets:

- Abdul _____ to be a doctor. (wants, wanting, is wanting)
- The Soup _____ good. (taste, tastes, is tasting)
- He _____ TV most evening. (watches, is watch, is watching)
- He _____ out five minutes ago. (has gone, had gone, went)
- When he lived in Hyderabad, he _____ to the cinema once a week. (goes, went, was going)
- The baby _____ all morning. (cries, has been crying)
- I _____ Rahim at the zoo. (saw, have seen, had seen)
- I _____ Kumar this week. (haven't seen, did't see, am not seeing)
- This paper _____ twice weekly. (is appearing, appearing, appears)
- Ashok fell off the ladder when he _____ the roof. (is mending, was mending, mended)
- I _____ something burning. (smell, am smelling, have been smelling)
- Look, the sun _____ over the hills. (rises, is rise, is rising)
- She _____ unconscious since four o'clock. (is, was, has been)
- He used to visit us every week, but he _ now. (rarely comes, is rarely coming, has rarely come)
- I _____ him since we met a year ago. (didn't see, haven't seen, hadn't seen)

Answers

1. Wants	2. Tastes	3. Watches	4. Went	5. Went
6. Has been crying	7. Saw	8. Haven't seen	9. Appears	10. Was mending
11. Smell	12. Is rising	13. Has been	14. Rarely comes	15. Haven't seen

TASK-9: Complete the following dialogues by using the perfect form of the verb.

- A: Did suma write to her parents about the problems in her hostel?
B: I don't think she _____ home since January. (write)
- A: Did you see Lavanya? I've to return her book.
B: I _____ not _____ her since Monday. (see)

3. A: The police are search in for the thief everywhere. They even went to his village.
B: Yeas, I know. People say he _____ (be, not) home for six months.
4. A: Have you completed your work?
B: I _____ (not, be) able to because I was busy.
5. A: _____ you _____ in Hyderabad for many years? (lives)
B: No, I haven't.
6. A: _____ you ever ____ a tree? (climb)
B: Of course, I have so many times.
7. A: Will you come for the movie?
B: No, I _____ (see) it.
8. A: Shall I add the tea powder now to the water?
B: The water _____ not _____ yet. (boil)

Answers

1. has written	2. have ... seen	3. has not been	4. have not been
5. Have ... lived	6. Have ... climbed	7. have seen	8. has ... boiled

TASK-10: Complete the following sentences by using the appropriate modal.

1. The train will leave at 9.00 pm; we (must be / can be) ready by 8.00 pm so that we can reach the station in time.
2. In order to save petrol, motorists (should be / can be) very cautious while driving along the highways.
3. Rash driving (can / must) be dangerous.
4. (Can't / mustn't) you ever understand what I'm saying?
5. Neither of us (could / can) attend the function tonight.
6. Shamala said she (will / would) come.
7. What (will / may) you do if this class is cancelled?
8. You (can / ought to) know what I like.

Answers

1. The train will leave at 9.00 pm; we **must be** ready by 8.00 pm so that we can reach the station in time.

2. In order to save petrol, motorists **should be** very cautious while driving along the highways.
3. Rash driving **can** be dangerous.
4. **Can't** you ever understand what I'm saying?
5. Neither of us **can** attend the function tonight.
6. Shamala said she **would** come.
7. What **will** you do if this class is cancelled?
8. You **ought to** know what I like.

TASK-11: Fill in the blanks with the past tense form of the verb given in brackets.

1. I ____ to you about him. (speak)
2. Venu ____ the letter a week ago. (receive)
3. Ramu ____ (see) the Tai Mahal when she ____ to Agra last year. (go)
4. Bharat ____ the entrance exam well. (write)
5. After he ____ his homework, he went out within. (do)
6. I ____ cricket every morning last year. (play)
7. While I ____ a letter, I heard a loud sound. (write)
8. Meena l ____ when the phone rang. (study)
9. When Sita reached home, the children ____ TV.(watch)
10. They ____ the old wall when it collapsed.(paint)

Answer

1. spoke	2. received	3. saw/went	4. wrote	5. did
6. played	7. was writing	8. was studying	9. were watching	10. were painting

TASK-12: Fill in the blanks with the future tense form of the verb given in brackets.

1. He ____ a house by the end of next year. (build)
2. She ____ in hospital for 6 months by the end of July. (be)
3. The Prime Minister ____ 5 years office by March. (complete)
4. Let us leave at 5 p.m. I ____ my exercise by then. (finished)
5. He ____ by the time you reach. (leave)
6. By the end of this month, we ____ here for 25 years. (work)
7. She ____ for eight months by the end of this year. (travel)

8. They ____ in Vijayawada for five years by the end of 2011. (live)
9. I ____ in this college for two twenty years by the end of February this year. (teach)
10. Sachin Tendulkar ____ for India for twenty years by 2010. (play)

Answer

1. will have built	2. will have been	3. will have completed
4. shall have finished	5. will have left	6. will have been working
7. will have travelling	8. will have been living	9. shall have been teaching
10. will have been playing		

3.4.5 Check Out

Assignment-5: Fill in the correct form of the verb – All tenses

1. My family have _____ (buy) some land in southern France recently. They _____ (build) a summer house there at the moment.
2. Andy and Mary _____ (go) to a concert tomorrow night. They _____ (look forward to) it the whole week.
3. Jonathon _____ (watch) the news on TV every day and it _____ (help) him with his English.
4. My car _____ (break) down when I _____ (drive) home from work. I _____ (fix) it if I _____ (know) what was wrong. But I didn't so _____ (have) to take it to the garage.
5. When he _____ (found) Microsoft, Bill Gates was only 20 years old. He _____ (already write) his first computer programme six years earlier.
6. An accident _____ (happen) near my house last night. A car _____ (hit) a young man. He _____ (ride) his bike when someone in front of him suddenly _____ (open) a car door. Many people _____ (see) the accident. The police _____ (interrogate) them last night.
7. Mrs Smith said that one day she _____ (retire) from teaching. She said that she _____ (spend) her new free time learning about computers.
8. I ____ (not sleep) at all last night. Someone _____ (listen) to music all night.
9. I _____ (see) a film a week ago, but I _____ (not enjoy) it very much because I _____ (already read) the book. If I _____ (not read) the book I _____ (probably enjoy) the film more.

10. The judge sentenced the man to eight years in prison because he _____ (rob) a bank.
11. They _____ (stand) in the queue for over an hour when the manager _____ (tell) them that there were no more tickets.
12. Alan _____ (be) in the car accident yesterday. The other driver _____ (lose) control of his car because he _____ (fall) asleep.
13. She _____ (not see) her father since he _____ (start) to work in Marseille two years ago.
14. I _____ (sleep) when the fire broke out.
15. Linda phoned and explained that she _____ (not can) to come to the party the next day because she _____ (be) still sick.
16. I _____ (just see) the film "The Da Vinci Code". _____ (you see) it too? – No, I _____ (not have) but I _____ (read) the book.
17. My sister _____ (fly) home from London today. Her flight _____ (arrive) in an hour so I _____ (leave) for the airport right now to get there in time.
18. Unless he _____ (sell) more he won't get much money.
19. While he _____ (wait) for the bus there _____ (be) a robbery at the bank. After the robbers _____ (go) away the police _____ (come) but they _____ (not can) to catch them.
20. I _____ (use) to ski when I was at the university but I _____ (break) a leg five years ago and since then I _____ (not ski) any more.

Assignment-6: Fill in the blanks with the present tense form of the verb given in brackets.

1. Shriya cannot talk to you because she ____ her home work.(do)
2. What ____ you ____ about? (talk)
3. The beggar ____ for alms. (beg)
4. I ____ my home work. (finish)
5. The clock ____ just ____ twelve. (strike)
6. I ____ him for a long time. (know)
7. Mr. Martin ____ a book on English Grammar. (write)
8. Rahul ____ disobedient.(be)
9. Tripura ____ for three hours. (dance)
10. My clothes are wet because I ____ the garden.(water)

Assignment-7: Complete the following dialogues by using the past tense of the verb.

1. A: When did Rajini finish reading the book?
B: I think she _____ sixteen minutes ago. (finish)
2. A: Did Revanth agree to help?
B: Yes, he _____ to do so. (promise)
3. A: Did you go to watch the movie last night?
B: No, I didn't. I _____ (have another engagement)
4. A: _____ you _____ (drink milk) this morning.
B: I sometimes do, but I didn't drink milk this morning.
5. A: The phone _____ (ring) a short time ago.
B: I didn't hear it but Annaya _____ it. (hear)
6. A: Vani _____ a purse in the market. (find)
B: What did she do about it ?
7. A: I believe Raja _____ the silver medal this year. (win)
B: Yes, he did, But last year he _____ the gold medal. (win)
8. A: Sid _____ a wrong ticket at the railway station. (buy)
B: What _____ then? (happen)
A: He _____ (explain) the mistake to the clerk and _____ (ask) for another ticket.
9. A: When did the children finish eating?
B: I think they _____ about an hour ago. (finish)
10. A: We _____ to a beach resort last week. (go)
B: Yes, but the Sharmas _____ (go) to a hill station.

Assignment-8: Fill in the correct form verb – All Tenses

1. I _____ a great film yesterday. (see)
2. _____ a new car? (you ever buy)
3. I _____ him last Monday. (meet)
4. The band _____ while I _____. (play, write)
5. She _____ the new car in 2005. (buy)
6. Her mother _____ in Victoria for the past five years. (live)

7. They _____ in Germany when we arrived a few days ago. (already be)
8. _____ to get married? (you plan)
9. I _____ so much fun since I was a kid. (have)
10. When I got up I _____ out of the window and _____ that it _____. (look, see, rain)
11. Janet _____ for Smith and Brothers before she came to work for us. (work)
12. I _____ three movies so far this week. (see)
13. How long _____ for me? (you wait)
14. I _____ over Loch Ness last week. _____ the Loch Ness monster? (fly, you see)
15. I'm afraid I'm not hungry. I _____. (already eat)
16. Peter _____ football in the afternoon when he got the call. (play)
17. "What _____ between 9 and 12 yesterday morning", the detective said. (you do)
18. He kept looking at her, wondering where he _____ her before. (see)
19. The doctor's waiting room was full of people. Some _____ a magazine, a woman _____ and a child _____ with a doll. Suddenly the door _____ and a nurse _____ out. (read, knit, play, open, come).
20. Travelling _____ much easier and more comfortable in the past hundred years. (become)
21. I _____ cake. That's why my hands are full of flour. (bake)
22. When I first came to this house it _____ quite a noisy area. (be)
23. He twisted his ankle while he _____ (ski)
24. _____ the doors before you leave the house? (you ever lock)
25. My best friend and I _____ each other for 15 years. (know)
26. Jack usually _____ but he _____ when his father comes. (smoke, not smoke)
27. _____ breakfast yet? – Yes I had it together with Sue at 7. (you have)
28. I _____ this kind of work when I was a small boy. (do)
29. He _____ the paper when his wife came home. (read)
30. He _____ for an hour now. I'll be finished soon. (speak)
31. How long _____ John and Maria? – We met the couple over thirteen years ago. (you know)
32. He _____ in Oxford for two years and when his mother died he moved to London. (live)

33. After Harry _____ his work he _____ Jude from the office. (finish, call)
34. You _____ your homework for two hours. Haven't you finished yet? (do)
35. He always _____ to the supermarket alone, but today he _____ his son with him. (go, take)
36. He never _____ in the evening, only on Sundays. (work)
37. I _____ to South America but I have been to New York several times. (never, be)
38. _____ Jean? – No, she probably went to her friend's place. (anybody, see)
39. I _____ to the bank yesterday but when I got there it was closed. (go)
40. She _____ in school all day. (be)
41. Lee _____ late every day since Tuesday. (be)
42. Herbert's father _____ his son's birthday (never forget)
43. I _____ my report because I had a problem with my computer. (not finish)

Assignment-9: A. Put in the present continuous form of the verb in brackets.

1. Please be quiet. I _____ (try) to read my book.
2. I _____ (not/use) the computer at the moment so you can use it.
3. Mary is ill so Sue _____ (teach) her lessons today.
4. Excuse me, I _____ (look) for a hotel. Is there one near here?
5. _____ (you/wait) for someone?
6. Jack, you are very careless. You _____ (always/forget) to do your homework!
7. The cost of living _____ (rise) very fast. Every year things are more expensive.
8. What _____ (you/do)? I _____ (clean) my shoes.
9. Why _____ (not/wear) shorts? It's so hot today.
10. The neighbours are so noisy! They _____ (always/argue) loudly.

B: Put the verb in brackets into the present simple or the present continuous

1. She always _____ (remember) my birthday.
2. Mr Brown _____ (work) in a supermarket.
3. I _____ (work) in this factory until I find a better job.
4. Look! It _____ (snow).
5. Can you hear those girls? What _____ (they/talk) about?
6. _____ (you/know) Helen?
7. We _____ (never/go) to work by tube. It is too busy.

8. When I'm in Paris I _____ (usually/stay) in the Hotel du Pont, but this time I _____ (stay) in the more expensive Hotel Notre Dame.
9. Ruth _____ (be) a vegetarian. She _____ (not/eat) meat or fish.
10. My father _____ (be) an engineer, but he _____ (not/work) right now.
11. _____ (you/believe) in ghosts?
12. My parents _____ (live) in Sydney. Where _____ (your parents/live)?
13. We _____ (own) two cars, an estate car and a sports car.
14. Can you drive? No, but I _____ (learn) at the moment.
15. Look! That woman _____ (try) to steal that man's wallet.
16. The River Nile _____ (flow) into the Mediterranean.
17. _____ (you/like) Bon Jovi?
18. I _____ (get) thirsty. Let's get something to drink.
19. Those flowers _____ (smell) lovely. What are they?
20. Jane _____ (repair) her bike. She _____ (know) exactly what to do.

Assignment-10 Past Simple and Past Continuous

A: Put one of these verbs in each sentence. Use the past simple: eat bring write buy see meet

1. The party was fantastic. Every guest _____ something to eat and a bottle of wine.
2. I had an extravagant weekend. I _____ some clothes and a plant.
3. Three weeks ago Tracy _____ her ex-husband in Mallorca. What a coincidence!
4. When I lived in Italy, we always _____ lamb at Easter.
5. Shakespeare _____ a lot of plays.

B: Put the verb in the past simple

1. Tom _____ (not/come) to the office yesterday because he _____ (be) ill.
2. She _____ (not/read) the book because she _____ (not/be) very interested in that author.
3. The students _____ (not/finish) their group project because they _____ (run out) of time.
4. We _____ (not/eat) anything for breakfast because we _____ (be) in a hurry.
5. Mary _____ (not/catch) the train to Mexico City because she _____ (arrive) at the station too late.

C: Put the verb in the correct form: past simple or past continuous

1. I _____ (dream) when the alarm clock _____ (go off).
2. They _____ (wait) for me when I _____ (arrive).
3. The phone _____ (ring) while I _____ (have) a shower.
4. We _____ (not/go out) last Sunday because it _____ (rain).
5. I _____ (see) Kim at the party. She _____ (wear) a new dress.
6. I _____ (break) a bowl this morning. When I _____ (wash) the dishes it just _____ (slip) out of my hand onto the floor!
7. When he _____ (carry) the table, he _____ (feel) a sharp pain in his back.
8. Sarah _____ (go) down the stairs when the lights _____ (go out).
9. We _____ (watch) TV when someone _____ (come) to the door and _____ (knock) very loudly.
10. What _____ (you/do) at this time yesterday? Oh, I _____ (prepare) the dinner.
11. I _____ (fall) asleep while I _____ (watch) television.
12. At 12:45 yesterday, Mr Alright _____ (see) a client in his office.

D: Complete the sentences using the present perfect continuous and add since or for.

1. Maria _____ (learn) English _____ two years.
2. I _____ (write) letters _____ 8:00.
3. Robert and Jane _____ (travel) around Europe _____ five weeks.
4. We _____ (go) to Ireland for our holidays _____ 1968.
5. It _____ (rain) _____ this morning.
6. Anne _____ (look) for a new job _____ a long time.
7. Mark _____ (sell) computers _____ he started his job with Olivetti.
8. We _____ (wait) for the bus _____ twenty-five minutes.
9. She _____ (play) piano _____ she was eight.
10. They _____ (watch) TV _____ hours.

E: Put the verb in the most suitable form, present perfect simple or continuous.

1. You look tired. _____ (you/study) hard?
2. Mr Brown is new here, isn't he? How long _____ (he/work) for the company?

3. I _____ (lose) my wallet. Have you seen it anywhere?
4. I _____ (read) the magazine you lent me, but I _____ (not/finish) yet.
5. _____ (you/hear) the bad news? Simon _____ (break) his leg!
6. How many articles _____ (you/write)?
7. What _____ (you/do)? I _____ (wait) for you for an hour!
8. Bob and his friends _____ (play) golf since this morning.
9. I _____ (know) Louise for ten years.
10. Mr Brown _____ (mark) the exams all morning, but he _____ (not/read) them all.

F: Put in the correct verb form: present perfect or past simple.

1. How long _____ (she/study) German?
2. When _____ (he/begin) to study Business Administration?
3. Who _____ (write) the play Dancing at Lughnasa.
4. _____ (you/visit) any museums when you were in Sofia.
5. Henry has a perfect school record. He _____ (not/be) sick this year.
6. Prices _____ (go) up. Things are much more expensive this week.
7. What _____ (happen) to you. I waited all afternoon for you.
8. Marilyn ____ (have) an accident. She was running for the bus when she ____ (fall) down.
9. Mr Arnold _____ (win) the Exporter of the Year prize twice.His brother _____ (win) it four times already.
10. Alfred Hitchcock _____ (make) lots of films in his long career.
11. I _____ (just/remember) something.
12. _____ (you/reply) to Mr Aston's letter yet?
13. Mr Miller _____ (work) in a travel agency for years. Then he gave it up.
14. Melanie lives in Bucharest. She _____ (live) there all her life.
15. My uncle died in 1960. I _____ (never/have) the opportunity to meet him.

G: Complete the sentences using the past simple or the past perfect.

1. When the teacher came in, everybody _____ (stand up).
2. I arrived two hours late because my car _____ (break down).
3. I was really tired last night. I _____ (have) a hard day.
4. Sam felt ill, so he _____ (go) to bed.
5. When we _____ (write) the letter, we went to the post office.

H: Complete the sentences using the past perfect or the past perfect continuous.

1. By the time I got home they _____ (eat) all the cake.
2. The room was very smoky. I could tell that my brother _____ (smoke) in there all afternoon.
3. She retired at fifty-five, but she _____ (work) hard all her life.
4. James was very irritable. He _____ (look) for his contact lens for an hour and he still _____ (not / find) it!
5. I was furious with Tom when he arrived. I _____ (wait) for him for hours.
6. Harry was sad to sell his car. He _____ (have) it for a long time.
7. Mary was covered in white paint. She _____ (decorate) the kitchen all afternoon.
8. Lucy went into the sitting room. The TV was on. Her brother _____ (watch) it and _____ (forget) to switch it off.
9. Hattie felt terribly sick. She _____ (eat) too many cream cakes.
10. The journey was incredibly long. We _____ (travel) for ten hours and we weren't even half way yet.

I: Complete the sentences using the present perfect or past perfect.

1. The park looked awful after the music festival. People _____ (leave) litter everywhere.
2. You _____ (make) a mistake. I am not the person you are looking for.
3. When we arrived at the cinema, the film _____ (already/start).
4. It isn't raining now. It _____ (finally/stop).
5. I am really not very hungry. I _____ (just/have) lunch.
6. His apartment was really dirty. He obviously _____ (not/clean) it for weeks.
7. At last the Board of Directors were ready to announce their decision. They _____ (make) up their mind.
8. I am so exhausted. _____ (really/have) a tough week.
9. The ball hit the back of the net before the goalkeeper _____ (notice).
10. The CEO didn't speak until he _____ (hear) all the arguments.

3.5 ARTICLES

Articles are words that define a noun as specific or unspecific. Consider the following examples:

After the long day, the cup of tea tasted particularly good.

By using the article *the*, we've shown that it was one specific day that was long and one specific cup of tea that tasted good.

After a long day, a cup of tea tastes particularly good.

English has two types of articles: Definite and Indefinite. Let's discuss them now in more detail.

3.5.1 The definite article

The definite article is the word *the*. It limits the meaning of a noun to one particular thing. For example, your friend might ask, "are you going to the party this weekend?" The definite article tells you that your friend is referring to a specific party that both of you know about. The definite article can be used with singular, plural, or uncountable nouns. Below are some examples of the definite article *the* used in context:

Please give me the hammer

Please give me the red hammer; the blue one is too small.

Please give me the nail.

Please give me the large nail; it's the only one strong enough to hold this painting.

Please give me the hammer and the nail.

3.5.2 The indefinite article

The indefinite article takes two forms. It's the word *a* when it precedes a word that begins with a consonant. It's the word *an* when it precedes a word that begins with a vowel. The indefinite article indicates that a noun refers to a general idea rather than a particular thing.

For example, you might ask your friend, "should I bring *a* gift to the party?" Your friend will understand that you are not asking about a specific type of gift or a specific item. "I am going to bring *an* apple pie," your friend tells you. Again, the indefinite article indicates that she is not talking about a specific apple pie. Your friend probably doesn't even have any pie yet. The indefinite article only appears with singular nouns. Consider the following examples of indefinite articles used in context

Please hand me a book; any book will do.

Please hand me an autobiography; any autobiography will do.

Exceptions: Choosing a or an

There are a few exceptions to the general rule of using *a* before words that start with consonants and *an* before words that begin with vowels. The first letter of the word *honor*, for example, is a consonant, but it's unpronounced. In spite of its spelling, the word *honor* begins with a vowel sound. Therefore, we use *an*.

Consider the example sentence below for an illustration of this concept.

My mother is a honest woman.

My mother is an honest woman.

Similarly, when the first letter of a word is a vowel but is pronounced with a consonant sound, use *a*, as in the sample sentence below:

She is an united states senator.

She is a United States senator.

This holds true with acronyms and Initialisms, too: an CD display, a UK-based company, an HR department, a URL.

Article before an adjective

Sometimes an article modifies a noun that is also modified by an adjective. The usual word order is article + adjective + noun. If the article is indefinite, choose *a* or *an* based on the word that immediately follows it. Consider the following examples for reference:

Eliza will bring a small gift to Sophie's party.

I heard an interesting story yesterday.

3.5.3 Indefinite articles with uncountable nouns

Uncountable nouns are nouns that are either difficult or impossible to count. Uncountable nouns include intangible things (e.g., information, air), liquids (e.g., milk, wine), and things that are too large or numerous to count (e.g., equipment, sand, wood). Because these things can't be counted, you should never use *a* or *an* with them - remember, the indefinite article is only for singular nouns. Uncountable nouns can be modified by words like *some*, however. Consider the examples below for reference.

Please give me a water.

Water is an uncountable noun and should not be used with the indefinite article.

Please give me some water.

However, if you describe the water in terms of countable units (like bottles), you can use the indefinite article.

Please give me a bottle of water.

Please give me an ice.

Note that depending on the context, some nouns can be countable or uncountable (e.g., hair, noise, time):

We need a light in this room.

We need some light in this room.

3.5.4 Uses of article ‘a’

- I. Before a word which begins with a consonant sound.
a man, a horse, a cat, a dog, a girl, a man, a woman and a pen.
- II. Before a vowel which has a consonant sound ‘yu’ or ‘w’:
a utensil, a university, a union, a uniform, a useful thing, European and a one rupee note.
- III. Before a common noun in the singular to represent the whole class.
A lion is a dangerous animal.
A dog is a faithful animal
- IV. Before Mr./miss/ Mrs. /Ms. And a surname when he or she is a stranger to the speaker.
a Mr. Rao left his card for you
- V. Before the names of professions/ a trade/ an occupation/ a class/ a religion, etc.
a teacher, a doctor, a lawyer, a farmer, a Hindu, a Christian and a Muslim.
My father is a farmer.
- VI. A is used with a proper noun used as a common noun.
He thinks he is a Bheema.
He thinks he is a Tendulkar.
- VII. Before numerical expressions such as:
Dozen/ hundred/ thousand/ million.
I ordered a hundred chairs.
She bought a dozen mangoes.
- VIII. Before phrases of time/speed/ratio and measurements.
He was driving at 50 miles an hour.
Tomatoes are rs.20 a kilo.
- IX. A is used in exclamations before singular countable nouns.
What a beautiful monument!
What a pretty child!

X. A is used with few and little in a positive sense.

We've had a few replies.

I need a few things from the store.

A stitch in time saves nine.

XI. Used before certain words: noise, headache, distance, hurry, walks.

Don't make a noise.

He is suffering from a headache.

3.5.5 Uses of article 'an'

I. Before a word beginning with a vowel or a vowel sound

(a, e, i, o, u).

An event, an egg, an hour, an x-ray, an Indian, an orange and an umbrella.

an event in history.

II. Before a word which starts with a silent 'h'.

An hour, an honest man, an honourable man, etc.

III. A consonant in an abbreviation which begins with a vowel sound.

An M.L.A., an M.P, an M.A., etc.

3.5.6 Omission of articles/Zero Article

Occasionally, articles are omitted altogether before certain nouns. In these cases, the article is implied but not actually present. This implied article is sometimes called a "zero article."

I Often, the article is omitted before nouns that refer to abstract ideas.

Examples

Let's go out for a dinner tonight.

Let's go out for dinner tonight.

The creativity is a valuable quality in children.

Creativity is a valuable quality in children.

II. Many languages and nationalities are not preceded by an article.

Example: *I studied the French in high school for four years.*

I studied French in high school for four years.

III. Sports and academic subjects do not require articles.

Examples

I like to play the baseball.

I like to play baseball.

My sister was always good at the math.

My sister was always good at math.

IV. a + nouns starting with a pronounced “h”: a horse

In some cases where “h” is pronounced, such as historical,” you can use an. However, a is more commonly used and preferred.

A historical event is worth recording

V. If the noun is modified by an adjective, the choice between a and an depends on the initial sound of the adjective that immediately follows the article:

Examples

A broken egg

An unusual problem

a European country (sounds like ‘yer-o-pi-an,’ i.e. Begins with consonant ‘y’ sound)

VI. Remember, the indefinite articles are used to indicate membership in a group:

I am a teacher. (I am a member of a large group known as teachers.)

Brian is an Irishman. (Brian is a member of the people known as Irish.)

Seiko is a practicing Buddhist. (Seiko is a member of the group of people known as Buddhists.)

VII. Before plural nouns.

Cows give milk.

Dogs are pet animals.

VIII. Before uncountable nouns.

Luggage, news, information, furniture, water, rice, milk, coffee and money.

I like coffee.

IX. Before material nouns

Gold, silver, glass, paper, cloth, wood, fiber and milk.

The table is made of wood.

3.5.7 Use of the definite article ‘the’

- I. Before a noun which refers to a specific or particular thing.
The boy in blue shirt is my brother.
The people i met there were very friendly.
- II. To refer to persons or things mentioned for the second time.
I met a girl and the girl was beautiful.
- III. To signify persons or things understood from the context.
I left the luggage (which I had with me) at the cloak room at the airport.
- IV. Before a singular noun which represents the whole class.
The lion is a ferocious animal.
The dog is a faithful animal.
The rose is a lovely flower.
- v. Before the names of unique things. (which there is only one in the universe)
The earth, the sky, the sun and the moon.
The sun rises in the east.
The sky is in blue color.
- VI. Before the names of rivers/ oceans/ seas/ gulfs/ mountain ranges and groups of islands.
 - (a) The Godavari, the Ganges, the Narmada, the Nile, the Krishna, etc.
 - (b) The Indian Ocean, the Arabian sea, the Persian gulf.
 - (c) The Himalayas, the vindhyas, the Andaman and Nicobar islands, the Maldives.
- VII. To tell the names of well known/ famous books. (Holy books)
The Ramayana, the Koran, the bible, the Bhagavad-Gita, etc.
The bible is a scripture.
- VIII. Before the names of ships/ trains/ aero planes and rockets.
The minar express, the jumbo, the Aryabhata.
The Boeing 707 is a supersonic flight.
- IX. Before the names of public/ historical buildings/ hotels/ shops/ theatres/ clubs/ companies etc.
The parliament house, the taj-banjara, the shopper’s stop and the lions club.
The maharaja palace is in Mysore.

- X. Before the plural names of the countries or where the type of the government is mentioned.
The west indies, the Netherlands, the Indian republic, the united kingdom.
He went to the U.S.A. last month.
- XI. Before the names of inventions.
The telescope enables us to see distant stars.
- XII. Before proper noun, when it is used as a common noun.
Kalidasa is the shakespeare of India.
- XIII. Before superlative degree (adjectives).
He is the best player in the team.
He is the smallest boy in class.
It was the best day of my life.
- XIV. Before ordinals (first, second, etc).
He came here on the fifth of October recently.

3.5.8 Omission of the article ‘the’

- I. Before proper nouns/ material nouns/ collective nouns/ abstract nouns/ plural nouns (used in general sense).
(a) Joy, sorrow, intelligence, ram, Hyderabad and India.
India is a great country.
Gold is a valuable metal.
Fruits are good for health.
Knowledge is power.
- II. Before institutions and places of assembly like school, church, college, hospital and university etc., (when these places are visited for their primary purpose).
We went to church on Sunday.
Children go to school.
- III. Before names of meals unless specially qualified. (when used in general sense)
Dinner is ready.
Children are waiting for breakfast.
- IV. Before the names of the days/night/week/month/year, proceeded by next or last.
We will meet next year.
Went to a film last night.

- V. Before parts of the body (when they are used with possessives)
My legs, his eyes
- VI. Before names of substances (used in general sense).
(a) Iron, flour and dough etc.
- VII. Before words showing nationality used in plural form.
Indians are very good at heart.
- VIII. Before title/positions like president, king, pope etc., if the name follows;
Pope Benedict is a good Samaritan.
- IX. Before the names of mountains and hills.
Mt. McKinley is the highest peak in North America.
- X. Geographical use of the
There are some specific rules for using 'the' with geographical nouns.

Do not use the before

Names of most countries/territories: Italy, Mexico, Bolivia; however, the Netherlands, the Dominican republic, the Philippines, the united states is correct.

Names of cities, towns, or states: Mumbai, Delhi

Names of streets: Gandhi Street

Names of lakes and bays: Lake Kolleru, Lake Panama except with a group of lakes like the great lakes of Africa.

Names of mountains: Mount Everest, mount Fuji except with ranges of mountains like the Andes or the Rockies or unusual names like the Matterhorn

Names of continents: Asia, Europe

Names of islands (Easter island, Maui, key west) except with island chains like the aleutians, the Hebrides, or the canary islands.

3.5.9 Task

TASK-13: Choose the suitable article from the following

- Are you coming to _____ party next Saturday?
- I bought _____ new TV set yesterday.
- I think _____ man over there is very ill. He can't stand on his feet.
- I watched _____ video you had sent me.
- She was wearing _____ ugly dress when she met him.
- I am crazy about reading _____ history books.

7. She is _____ nice girl.
8. Do you want to go to _____ restaurant where we first met?
9. He is _____ engineer.
10. He thinks that _____ love is what will save us all.

Answers

1. Are you coming to the party next Saturday?
2. I bought a new TV set yesterday.
3. I think the man over there is very ill. He can't stand on his feet.
4. I watched the video you had sent me.
5. She was wearing an ugly dress when she met him.
6. I am crazy about reading x history books.
7. She is a nice girl.
8. Do you want to go to the restaurant where we first met?
9. He is an engineer.
10. He thinks that x love is what will save us all.

TASK-14: Choose the correct article: (a or an)

1. I am going to _____ concert tomorrow.
2. My boyfriend is _____ actor.
3. Her cousin has _____ very good job.
4. That was _____ interesting game.
5. She is _____ honest person.
6. We had _____ really good time yesterday.
7. Bring _____ umbrella. It is going to rain.
8. Tomorrow will be _____ hot day.
9. Mary is _____ good friend.
10. I want to eat _____ apple.

Answers

1. a	2. an	3. a	4. an	5. an
6. a	7. an	8. a	9. a	10. an

Mixed Articles

TASK-15: For each blank space, choose the proper article (a, an, the, or no article)

1. Denver is located at the foot of _____ Rocky Mountains. a) a b) the c) no article
2. Toronto is located on _____ Lake Ontario. a) a b) the c) no article
3. San Diego is located near _____ Mexican border. a) a b) the c) no article
4. Let's go to _____ Mexico. a) a b) the c) no article
5. _____ Nile is the longest river in the world. a) A b) The c) no article
6. _____ Sahara is the world's biggest desert. a) A b) The c) no article
7. I spoke with _____ Chinese film director that I told you about. a) a b) the c) no article
8. Do you speak _____ Chinese? a) a b) the c) no article
9. I need _____ bottle of water. a) a b) the c) no article
10. Spain is one of _____ largest European countries. a) a b) the c) no article

Answers

1. b	2. c	3. b	4. c	5. b
6. b	7. b	8. c	9. a	10. b

TASK-16: Fill in the blanks below with either a, an, the, or no article:

1. Q: Is dad picking us up today?
A: Nope, _____ mom's picking us up.
2. Q: Who's that?
A: That's _____ guy I told you about last week.
3. Q: Why are you so upset?
A: I'm not upset. You're _____ one who's upset.
4. Q: Is this _____ bad time? Should I call you later?
A: Yes, please call me in 30 minutes.
5. Q: How do you like my dress?
A: Wow! That's _____ one beautiful dress!
6. Q: Why won't your brother talk to me?
A: Because you told him he was stupid! That was _____ very mean thing to say.

7. Q: Do you like cats or dogs?

A: I like them both, but I think I like _____ cats more than _____ dogs.

8. Q: Is this _____ road to San Francisco?

A: Yes, it is.

9. Q: Do you know the name of _____ artist who painted this portrait?

A: Yes, it's Henri

10. Q: We'll never make it on time!

A: Sure we will! I know _____ shortcut

Answers

1. no article	2. the	3. the	4. a	5. no article
6. a	7. no article	8. the	9. the	10. a

TASK-17: Please complete the following exercise using a/an/the/zero (no article) in the underlined spaces where appropriate. (Some articles have been included for you, but others are missing.) Change capital letters to lower case letters at the beginning of a sentence if necessary.

There has never been (1) _____ more exciting time to produce (2) _____ new dictionary. Everything is changing and expanding: the English language itself, the technology that helps us to describe it, and (3) _____ needs and goals of those learning and teaching (4) _____ English. (5) _____ 1960s saw the development of (6) _____ first large corporate (special collections) of English text. (7) _____ another of the Macmillan English dictionary's innovations is that two similar but separate editions have been created from (8) _____ same database: one for learners whose main target variety is (9) _____ American English, (10) _____ other for learners of British English. The differences are small but significant.

Answers

1. A	2. A	3. The	4. No article	5. The
6. The	7. No article	8. The	9. No article	10. The

3.5.10 Check Out

Assignment-11: Fill in the blanks below with either a, an, the, or no article:

1. Q: What did you get for your birthday?

A: I got _____ lot of good presents.

2. Q: What did you get for your birthday?
A: I got _____ lots of good presents.
3. Q: Where are you going for your vacation?
A: I'm going to _____ Dominican Republic.
4. Q: What do you think of Mexico?
A: I think it's _____ very beautiful country.
5. Q: Do you have a scarf I could borrow?
A: Yes, I have two. _____ blue one and _____ beige one.
6. Q: How is your grandfather?
A: He's _____ little sick, but it's nothing serious.
7. Q: Where were you _____ last night? I called you three times.
A: Oh, sorry. My cell phone was off all day yesterday.
8. Q: Do you think he's lying?
A: No, he's the kind of _____ guy that always tells the truth.
9. Q: Do you remember _____ exact date when the war started?
A: No, I don't.
10. Q: Are you watching _____ Lakers-Celtics game? What's _____ score?

Assignment-12: Choose the correct article: (a or an)

1. I moved to _____ USA when I was 15 years old.
(a) a (b) the (c) no article
2. I can spell as well as _____ most students.
(a) a (b) the (c) no article
3. He is _____ most famous actor I know.
(a) a (b) the (c) no article
4. Hurry up. We don't have _____ lot of time.
(a) a (b) the (c) no article
5. I live around here = I live in _____ neighborhood.
(a) a (b) the (c) no article

6. I don't know at all = I don't have _____ clue.
(a) a (b) the (c) no article
7. I have _____ idea!
(a) a (b) the (c) no article
8. _____ tea in my cup is too hot to drink.
(a) a (b) the (c) no article
9. The US President lives in _____ White House.
(a) a (b) the (c) no article
10. My parents live in _____ white house.
(a) a (b) the (c) no article

Assignment-13: Complete the following exercise with a / an, or the, put "X" where no article is needed.

1. Have you got _____ car?" "No, I've never had _____ car in my life."
2. Don't stay in that hotel. _____ beds are very uncomfortable.
3. "Is that your wife?" "No, my wife's _____ woman in _____ red dress."
4. After I leave _____ school, I want to go to _____ university.
5. What's in _____ newspaper?
6. Can you show me _____ that book, please?
7. What's _____ name of _____ woman in _____ blue dress?
8. _____ water turns into _____ ice at 0 degree c.
9. I go to _____ hospital to treat _____ patient.
10. She lives in _____ nice flat on _____ fifth floor of _____ old house.

Assignment-14: Put a suitable article wherever necessary.

1. I have _____ little money left; let's have dinner in _____ restaurant.
2. I had _____ very bad night; i didn't sleep _____ wink.
3. He is _____ vegetarian; you won't get _____ meat at his house.
4. Tobacco is one of _____ most important products of _____ south.
5. Like many women, she loves _____ tea parties and _____ gossip.
6. _____ coffee which comes from Brazil is _____ best.

7. _____ fresh air is needed by everyone.
8. I get on _____ train at _____ same place every day.
9. _____ telephone seldom rings in our home.
10. _____ coffee is very strong.

Assignment-15: Fill in the blanks with the suitable article.

I am from Winchester, Hampshire. Winchester is ____ city in ____ united kingdom. I live in ____ town called taunt on which is on ____ river tone. I live in ____ house in ____ Quiet Street in the country side. ____ street is called Hudson street and ____ house is old more than 100 years old! I am ____ English lecturer at ____ college near ____ centre of the town. I like books, music and taking photographs. I usually have lunch at college. I usually go home by car. We have all kinds of food in England. I like polish food very much. Sometimes, I go to ____ polish restaurant in bath. ____ restaurant is called magda's. ____ Polish food is delicious!

Assignment-16: Complete the following exercise with a / an, or the, put "X" where no article is needed.

1. Have you got _____ car?" "No, I've never had _____ car in my life."
2. Don't stay in that hotel. _____ beds are very uncomfortable.
3. "Is that your wife?" "No, my wife's _____ woman in _____ red dress."
4. After I leave _____ school, I want to go to _____ university.
5. What's in _____ newspaper?
6. Can you show me _____ that book, please?
7. What's _____ name of _____ woman in _____ blue dress?
8. _____ water turns into _____ ice at 0 degree c.
9. I go to _____ hospital to treat _____ patient.
10. She lives in _____ nice flat on _____ fifth floor of _____ old house.

Assignment-17: Put a suitable article wherever necessary

1. I have _____ little money left; let's have dinner in _____ restaurant.
2. I had _____ very bad night; i didn't sleep _____ wink.
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4. Tobacco is one of _____ most important products of _____ south.
5. Like many women, she loves _____ tea parties and _____ gossip.

6. _____ coffee which comes from Brazil is _____ best.
7. _____ fresh air is needed by everyone.
8. I get on _____ train at _____ same place every day.
9. _____ telephone seldom rings in our home.
10. _____ coffee is very strong.

3.6 PREPOSITIONS

Prepositions are short words (on, in, to) that usually stand in front of nouns. The prepositions are a part of the parts of speech which connect words, clauses and sentences together and show the relations between them. In a sentence, the preposition shows relationships among other words in the sentence that include direction, place, time, cause, manner and amount.

Prepositions are those words in a sentence that show how the nouns, pronouns and phrases are related with other parts of the sentence.

Example: In the sentence the cow is in the field, the preposition in shows the relationship between the words cow and the field. The relations that prepositions express can be as follows:

(a) Time relation	(b) place relation	(c) Position relation
(d) state relation	(e) Cause relation	(f) purpose relation.

By using the relations we have the following examples

- (i) He came at five o'clock. (Expresses time relation of the noun to the verb.)
- (ii) He is in the room. (Expresses place relation of the noun to the verb.)
- (iii) He is standing between John and Jack. (Between expresses position relation.)
- (iv) She is in a trouble. (Expresses state relation of the noun to the verb.)
- (v) They jumped up for joy. (For expresses cause relation.)
- (vi) They stood firm for their rights. (Expresses purpose relation.)

3.6.1 Types of Prepositions

Prepositions may be arranged in the following classes

1. Simple preposition

At, by, for, from, in, of, off, on, out, through, till, to, up, with.

2. Compound preposition

Which are generally formed by prefixing a preposition to a noun, an adjective or an adverb.

Ex: About, above, across, along, amidst, among, before, behind, beside, between, inside, outside, underneath, within, without.

3. **Phrase preposition:** Phrase preposition is a group of words used with the force of a single preposition: according to, in accordance with, in place of, along with, in course of, owing to, with a view to, in order to, for the sake of.
4. **Preposition of place:** About, across, among, before, between below, behind, from, through, near, on, over, under, upon, within, round, without, beside into.
5. **Preposition of time:** After, at, in, on, during, since, through, throughout, towards, from, during, into, behind.

At: Is used to indicate a definite point of time:

Ex: He came *at* 8 o'clock; I shall tell him the fact *at* the right time.

In: Is used to indicate year, century, morning, evening, time period (in years, hours, days, months) seasons etc.

Ex: I get up early *in* the morning. It shall be completed *in* four hours/months.

On: Is used in expressing days and dates, as

Ex: My school shall reopen on Monday

India was declared independent on 15th august 1947.

From and to: From is used to indicate the beginning of an action, and to indicate the time when the action ends.

Ex: The diwali vacation is from 15th October to 22nd October 2005.

6. **Preposition of direction:** Prepositions are those indicative of direction, such as across, up, and down.

Ex: look to the left and you'll see our destination.

Ending a sentence with a preposition

The old claim that it's wrong to end a sentence with a preposition has been utterly debunked. It's not true and it never was true. Writers who always insist that a preposition can't end a sentence often end up with stilted and unnatural sentences:

There's no one else to hide behind. (Grammatically correct and natural)

There's no one else behind whom to hide. (Grammatically correct, but unnatural)

Where did you come from? (Grammatically correct and natural)

From where did you come? (Grammatically correct, but unnatural)

That said, it is sometimes more elegant to move a preposition to an earlier spot in a sentence, especially in very serious and formal writing. But if you do move the preposition, remember to delete it from the end.

This is something we must meditate on.

This is something on which we must meditate.

This is something on which we must meditate on.

3.6.2 Unnecessary Prepositions

One of the most common preposition mistakes is adding an unnecessary at to the end of a question.

Where is your brother at?

Although this is common in some English dialects, it's considered an error in writing. You can fix the problem by simply deleting the at.

Where is your brother?

On the bright side, if you're not sure which preposition to use, sometimes you can just get rid of it altogether. In fact, you should always get rid of unnecessary prepositional phrases. Too many prepositions can be a sign of flabby writing.

Getting rid of the prepositions forces you to tighten up the sentence. The result is shorter, more direct, and easier to understand:

Here's another example

Alex hit the baseball up over the fence.

Get rid of the up. You don't need it:

Alex hit the baseball over the fence.

3.6.3 Other Uses of Preposition

1. **`About'** shows nearness.

Example: I am about to reach.

2. **`After'** refers to sequence.

Example: She came just after her husband.

3. **`Across'** means from one side.

Example: Rahul shouted my name from across the road.

4. **`Before'** stands for 'in front of'.

Example: Aman stood before his father and begged for his forgiveness.

5. 'Beside' means 'by the side of'.

Example: A couple should stand beside each other through tough times.

6. 'Besides' means 'in addition to'.

Example: I cannot come, besides I am not even interested in the event.

3.6.4 Task (GATE 2018)

TASK-18: Correct the sentence using the proper preposition

1. The diver dive in the pool from a great height (SSC CGL, 2019)
 - (a) Dives to a pool
 - (b) Dived into the pool
 - (c) No improvement
 - (d) Dived at the pool
2. The director will agree with the proposal if we do not exceed the budget. (SSC CGL, 2019)
 - (a) No Improvement
 - (b) Agree to the proposal
 - (c) Agree on the proposal
 - (d) Agreed by the proposal
3. There is a great degrade in values in modern age. (SSC CGL, 2019)
 - (a) Degradation of values
 - (b) Deliberation of values
 - (c) Demonstration from values
 - (d) No Improvement
4. No effort has been made by the Indian cricket team to cash off on its vibrant image in the world cup (SSC CGL, 2019)
 - (a) to cash up on
 - (b) for cash through in
 - (c) to cash in on
 - (d) for cashing off on
5. Amit has the good command on English as he was born and brought up in England (SSC CGL, 2019)
 - (a) A better command of
 - (b) A good command over
 - (c) No improvement
 - (d) The best command in
6. Our new office will become operational from a week's time. (SSC CGL, 2019)
 - (a) In a week's time
 - (b) By the week's time
 - (c) For a week's time
 - (d) No Improvement

In the sentence identify the segment which contains the grammatical error

7. The prime minister along with the other ministers ____ for America. (SSC CGL, 2019)
 - (a) For America
 - (b) Have left
 - (c) The prime minister along with
 - (d) The other ministers

8. A man in need pleaded for help (SSC CGL, 2019)
(a) No Improvement (b) Promised for help
(c) Commanded to help (d) Requested for helpin
9. Deepa walked down the road slowly without looking anybody (SSC CGL, 2019)
(a) Slowly without (b) Down the road (c) Looking anybody (d) Deepa walked
10. One of the boys from our school have been selected for national badminton (SSC CGL, 2019)
(a) Have been selected (b) From our school
(c) For national badminton championship (d) One of the boys
11. One of the greatest responsibilities of a scientist is that his discoveries and inventions are utilized to the overall development of the nation. (SSC CGL, 2019)
(a) Development of the nation (b) One of the greatest responsibilities of a scientist
(c) Is that his discoveries and inventions (d) Are utilized to the overall
12. Everyone except she have travelled by air (SSC CGL, 2019)
(a) Everyone except (b) No Error (c) Travelled by air (d) She have
13. We had a long discussion at a cup of coffee (SSC CGL, 2019)
(a) A long discussion (b) Of coffee (c) We had (d) At a cup
14. He was greatly disappointed to be failed again (SSC CGL, 2019)
(a) By being failed (b) On failing (c) To failed (d) No improvement
15. As a little child she was afraid from darkness (SSC CGL, 2019)
(a) No error (b) As a little child (c) From darkness (d) She was afraid

Answers

1. (b) 2. (b) 3. (a) 4. (c) 5. (b) 6. (a) 7. (b) 8. (a)
9. (c) 10. (a) 11. (d) 12. (d) 13. (d) 14. (b) 15. (c)

TASK-19: Choose the correct prepositions from the following options

1. I talked to him _____ the weekend.
(a) at (b) in (c) on
2. The dog is _____ the doghouse.
(a) at (b) in (c) on

3. I eat breakfast _____ the morning.
(a) at (b) in (c) on
4. We arrived _____ the airport in the evening.
(a) at (b) in (c) on
5. I was _____ work all day.
(a) at (b) in (c) on
6. Put the book _____ the table.
(a) at (b) in (c) on
7. He is currently _____ vacation.
(a) at (b) in (c) on
8. I'll call you _____ half an hour.
(a) at (b) in (c) on
9. We had a good time _____ the basketball game.
(a) at (b) in (c) on
10. There are many good restaurants _____ this city.
(a) at (b) in (c) on
11. Thank you _____ telling me about this.
(a) in (b) by (c) for
12. Who did you buy this _____?
(a) from (b) on (c) in
13. The factory workers have been _____ strike since January.
(a) on (b) in (c) about
14. _____ you and me, I don't think he's a very good teacher.
(a) Through (b) Between (c) Among
15. P1: Did you do it _____ purpose? P2: No, it was an accident!
(a) by (b) in (c) on

Answers

1. c 2. b 3. b 4. a 5. a 6. c 7. c 8. b 9. a 10. b
11. c 12. a 13. a 14. b 15. c

TASK-20: Write the correct preposition in a given paragraph.

I'm Peter and I live _____ (1) Germany. _____ (2) Summer I like to travel _____ (3) Italy, because _____ (4) the weather and the people there. Last summer I took a plane _____ (5) Munich to Rome. _____ (6) the airport we went to our hotel _____ (7) bus. We stopped _____ (8) a small restaurant for a quick meal. The driver parked the bus _____ (9) the restaurant. Nobody could find the bus and the driver, so we waited _____ (10) the restaurant _____ (11) one hour. The driver was walking _____ (12) the small park _____ (13) the restaurant which we did not know. So we were very angry _____ (14) him. But my holidays were great. We sat _____ (15) campfires and went dancing _____ (16) the early mornings.

Answers

1. In	2. In	3. To	4. Of	5. From	6. From
7. By	8. At	9. Behind	10. Outside	11. For	12. Through
13. Near	14. With	15. Round	16. Till		

3.6.5 Check Out**Assignment-18: Please choose the correct preposition (in/of/on) for the sentences in this exercise.**

1. All the students will work _____ a collaborative environment.
2. They need to concentrate _____ their studies.
3. They will be placed _____ a range of community settings.
4. We examined the scientific basis _____ dental practice.
5. This degree appeals to students who are interested _____ working in the new fields and occupations created by digitization
6. The essay will be _____ a topic you have studied recently.
7. These are the cultural processes _____ globalisation.
8. Here is a simple analysis _____ algorithm.
9. The researchers are reliant _____ external funding.
10. This course provides the opportunity to focus _____ your major area of interest.

Assignment-19: Please choose the correct preposition (about/for/to) for the sentences in this exercise.

1. In addition to the formal contact time required _____ each course students will need to allocate non-contact time.

2. The course encourages students to think critically ——— development.
3. The relative proportion of contact and non-contact time may vary from course ——— course.
4. The course aims to help people make sound choices ——— health.
5. Graduates are well equipped ——— careers in environmental policy.
6. Marine biology is all ——— the largest and most diverse ecosystem on the planet ——— the sea.
7. This academic program offers opportunities for studies that can lead ——— careers in the increasingly important field of international business.
8. Students will learn ——— such key concepts as the scientific method.
9. The degree is designed to build a student's capacity ——— lifelong learning beyond graduation.
10. You will study issues related ——— individual adjustment and maladjustment.

Assignment-20: Fill the gaps with the correct prepositions.

1. We live _____ London.
2. Would you like to go _____ the cinema tonight?
3. No, thanks. I was _____ the cinema yesterday.
4. We are going _____ holiday next week.
5. There is a bridge _____ the river.
6. The flight from Leipzig to London was _____ Frankfurt.
7. _____ my wall, there are many picture postcards.
8. Who is the person _____ this picture?
9. Come _____ the sitting room, we want to watch TV.
10. Munich lies 530 meters _____ sea level.
11. James stood _____ the end of the cliff and looked to the sea below.
12. I met my girlfriend _____ an art exhibition.
13. They've bought a house _____ the corner of Green Street.
14. We stopped _____ our way to Madame Tussaud's to ask for directions.
15. The group of boys walked slowly _____ the entrance sign.
16. The best view of the city is _____ the top of the castle, but you have to climb a steep hill to reach it.

17. We couldn't get _____ the theatre because the doors were locked.
18. He ran _____ the stairs and opened the front door.
19. Go _____ the bridge and you'll see the bowling alley on the other side.
20. We stopped in shock because we saw a huge truck coming _____ us.

Assignment-21: Complete the passages using suitable prepositions.

The dromedary is a type of camel kept _____ (1) desert people. It is not an easy animal to handle. It never becomes friends' _____ (2) its master or anybody else. Every night, these animals have to be pushed _____ (3) to their knees and tied _____ (4) tightly.

The dromedary is strong. It can easily throw _____ (5) all it is carrying and gallop madly _____ (6). To lead these animals, the nomads use long reins. These reins are tied _____ (7) an iron ring. The iron ring is pushed _____ (8) the nostril of the animal.

Dromedaries can live _____ (9) thorny plants, leaves, twigs and dried grasses that other animals cannot eat. They keep stores of fat _____ (10) the humps on their backs. Their bodies can use these stores of fat _____ (11) bad times, when there is no food. They can make water _____ (12) these stores, too. Dromedaries are able to go _____ (13) food and water _____ (14) many days. Hence, they are extremely useful for journeys _____ (15) the desert.

3.7 QUESTION TAGS

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Question tags are used in spoken English, but not in written English. They are put **at the end of the sentence.**

To make a **question tag**, use the first auxiliary (forms of to be, have) or modal verb (must, can, will). If there isn't an auxiliary or modal verb, use do, does or did.

3.7.1 Positive or Negative Question Tags

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1. If the sentence is positive, the question tag must be negative.

- He **is** good at dancing, **isn't** he?
- They **left** yesterday afternoon, **didn't** they?
- She **was** surprised, **wasn't** she?
- Madhavi can speak English, **can't** she?

3

2. If the sentence is negative, the question tag must be positive.

- He **isn't** good at dancing, **is** he?
- They **didn't** leave yesterday, **did** they?
- She **wasn't** surprised, **was** she?
- They **aren't** funny, **are** they?
- He **shouldn't** say things like that, **should** he?

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3. When the verb in the main sentence is in the present simple we form the question tag with **do / does**.

- You play the guitar, **don't** you?
- Anitha likes tennis, **doesn't** she?

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If the verb is in the past simple we use **did**.

- They went to the cinema, **didn't** they?
- She studied in Germany, **didn't** she?

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4. When the statement contains a word with a negative meaning, the question tag needs to be positive

- He hardly ever speaks, **does** he?
- They rarely eat in restaurants, **do** they?

5. Question Tags with Auxiliary Verbs

- They **haven't** met him before, **have** they?
- He **is** in the park, **isn't** he?
- They **are** studying at the moment, **aren't** they?
- She **has** a brother, **hasn't** she?
- They **were** in Paris last week, **weren't** they?

6. Question tags with modal verbs

- She **can** help him, **can't** she?
- He **will** tell me, **won't** he?
- They **should** learn for the test, **shouldn't** they?
- It **can't** be true, **can** it?

7. Question tags without auxiliary or modal verb

- She **left** last Friday, **didn't** she?
- He **works** in your company, **doesn't** he?
- You **don't** know him, **do** you?

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8. Each, every, everyone, everybody, no one, nobody, none are singular and hence will take singular verb/ singular pronoun/ singular adjective with them but their question tag will take plural verb and plural pronoun.

- Everyone has come, **haven't** they
- Everybody has to pay his own bill, **Haven't** they?
- None of your friends has arrived yet, **Have** they?
- None of your friends like her, **do** they
- Everyone can speak English, **can't** they?

9. If the sentence starts with "let us/ let's", "shall we" is used in the question.

- Let us go to party tonight, **shall** we?
- Let us help her to complete the work, **shall** we?
- Let us go to meet her, **shall** we?

10. In Imperative sentences, question tag 'won't you' is used.

- come in, **won't** you?
- Please give me the documents, **won't** you?

11. Collective noun takes singular verb and singular pronoun in question tag.

- The jury has taken its decision, **hasn't** it?

12. If we talk about the individual members of the collective noun or if there is a difference in opinion among the members of the collective noun, plural verb and plural pronoun are used.

- The comm are divided in their opinion, **aren't** they?
- The audience have taken their seats, **haven't** they?

13. If in a imperative sentence, somebody is being offered anything, or if someone is being asked to do something, "will you/ would you" is used in the question tag.

- Open the door, **would** you?
- Have some more tea, **would** you?

14. Moon, earth, river, motherland, country, ship, train are treated as feminine gender. In the tag question the Pronoun used will be "she". Instead of she ' it' can also be used.

- The Titanic was thought to be unsinkable, **wasn't** she?
- India has never attacked any country, **has** she?

Exceptions

Some verbs / expressions have different question tags. For example

- **I am** - I am attractive, **aren't** I?
- **Positive imperative** - Stop daydreaming, **will** / **won't** you?
- **Negative imperative** - Don't stop singing, **will** you?
- **Let's** - Let's go to the beach, **shall** we?
- **Have got (possession)** - He has got a car, **hasn't** he?
- **There is / are** - There aren't any spiders in the bedroom, **are there**?
- **This / that is** - This is Paul's pen, **isn't** it?

3.7.2 Intonation

Intonation is the word used to describe the way in which the voice rises or falls is spoken English. It is very important in speech. The rise and fall of the voice while speaking is called Intonation.

Intonation is defined as "speech melody consisting of different tones". An intonation is a melody that belongs to an entire sentence. Intonation plays an important role in the spoken language.

Different intonation patterns are used to send out signals to express different attitudes that may “colour” a message.

Without intonation, our voices are flat and monotone. Without intonation, one cannot understand the speaker’s feelings as well the speaker’s attitudes.

For Example

Are they really happy? or Are they very angry?

Is there something exciting happening or perhaps a surprise of some sort? Thus, the person confident in what they think or say, or are they unsure of what they are thinking or saying?

Intonation is about how we say things, rather than what we say, the way the voice rises and falls when speaking, that is why, it is the music of the language.

Objective Factors

Few things must be kept in mind during a conversation:

a. Pitch

While some people naturally have higher voices than others. Women tend to speak in a high pitch voice than men. We convey emotions through our pitch of voice.

b. Pace

This is how fast and slow the speech is. While rapid speech may indicate that the speaker is nervous or excited, a steady pace shows confidence. It reflects a topic of a more serious nature.

c. Power

This refers to where you place the stress in a sentence, and can change the meaning of your speech almost entirely. For example, take a sentence “I didn’t say your behaviour was bad!”. Depending on where you place the stress in this sentence, you can elicit an entirely different response. The rate at which work is done is called power. One can practically name it by the way of utterancy.

d. Tone

Tone is the easiest giveaway when it comes to emotion. We often think of vocal tones as being warm or cold. For example, the phrase “see you later” spoken in a warm tone implies excitement at the impending reunion, whereas spoken in a cold tone it could be a clue that the speaker isn’t particularly keen on seeing you after all! Tone makes the sender as well as the listener attentive.

3.7.3 Tone Groups

Intonation and stress are closely linked. They go hand in hand. Just as words have stressed syllables, sentences have regular patterns of stressed words. In addition, the voice tends to rise, fall or remain flat depending on the meaning or feeling we want to convey (surprise, anger, interest, wonder, gratitude, solitude etc.). It indicates the mood of the speaker.

There are two basic patterns of intonation in English:

1. Falling intonation and
2. Rising intonation.

In the following examples a downward arrow (↘) indicates a fall in intonation and an upward arrow (↗) indicates a rise in intonation.

- I. Falling Intonation (?):-** The pitch of the voice falls at the end of the sentence. But, voice must be clear till the end. Falling intonation is the most common intonation pattern in English. It is commonly found in statements, commands, wh-questions, confirmatory question tags and exclamations as well.

1. Statements

a. Glad to meet ↘ you.	b. I will be back in a ↘ minute.
c. He doesn't seen here ↘ anymore.	d. My mother wants to change her ↘ car.
e. Here is the weather ↘ forecast.	

2. Commands

a. Write your name ↘ here.	b. Show me what have you ↘ written.
c. Keep it on the ↘ desk.	d. Take that picture ↘ down.
e. Throw that ↘ out.	

3. Why-questions(requesting information)

(questions beginning with 'who', 'what', 'why', 'where', 'when', 'which', and 'how')

a. What country do you come ↘ from?	b. Where do you ↘ work?
c. Which of them do you ↘ prefer?	d. How many books have you ↘ bought?
e. When does the shop ↘ open?	f. Whose bag is ↘ this?

4. Questions Tags that are statements requesting confirmation rather than questions.

Not all tag questions are really questions. Some of them merely ask for confirmation or invite agreement, in which case we use a falling tone at the end.

- a. She thinks, she's so clever, doesn't ↘ she?

- b. He is such an arrogant, isn't ↘he?
- c. They failed the test because they didn't revise, did ↘they?
- d. It doesn't seem to bother him much, does ↘it?

5. Exclamations

- a. How nice of ↘you!
- b. That's just what they ↘need!
- c. He doesn't ↘say!
- d. What a beautiful ↘voice!
- e. That's a ↘wonder!

II. Rising Intonation

The pitch of the voice rises at the end of a sentence. Rising intonation invites the speaker to continue talking. It is normally used with yes/no questions, and question tags that are real questions.

1. Yes or No Questions

- a. Do you like your new ↗teacher?
- b. Have you finished work ↗already?
- c. May I borrow your ↗bike?
- d. Do you have any ↗magazines?
- e. Do you sell ↗grocery?

2. Questions tags that show uncertainty and require an answer (real questions).

- a. We've met already, ↗haven't we?
- b. You like fish, ↗don't you?
- c. You're a new student ↗aren't you?
- d. The view is beautiful, ↗isn't it?

We sometimes use a combination of rising and falling intonation in the same sentence. The combination is called Rise-Fall or Fall-Rise intonation.

III. Rise-Fall Intonation (↗↘) : This is also called Rising Tone-Falling Tone. We use rise-fall intonation for choices, lists, unfinished thoughts and conditional sentences.

1. Choices(alternative questions)

- a. Do you have ↗tea or ↘coffee?
- b. Is Kavish leaving on ↗Monday or ↘Friday?
- c. Does he speaks ↗French or ↘English?

- d. Is your name ↗Rama or ↘Bima?

2. Lists (rising, rising, rising, falling) – 3 times rising and one time falling. Intonation falls on the last item to show that the list is finished.

- a. We've got ↗apples, pears, bananas and ↘oranges.

- b. The sweater comes in ↗blue, white pink and ↘black.
 - c. I like ↗football, tennis, basketball and ↘volleyball.
 - d. I bought ↗ a t-shirt, a skirt and a ↘ handbag.
- 3. Unfinished thoughts(partial statements):** In the responses to the following questions, the rise-fall intonation indicates reservation. The speaker hesitates to express his/her thoughts completely.
- a. Do you like my new handset? Well the ↗guard is ↘nice...
(but i don't like it).
 - b. What was the meal like? Hmm, the ↗ bitter guord dish was ↘ good...
(but the rest wasn't great).
- 4. Conditional Sentences:** The tone tone rises in the first clause and falls gradually in the second clause.
- a. If she ↗calls, ask her to leave a ↘message.
 - b. Unless he ↗insists, I'm not going to ↘go.
 - c. If you have any ↗problems, just ↘contact us.

IV. Fall-Rise Intonation (↘↗): The voice falls and rises usually within one word. The main function of fall-rise intonation is to show, the speaker is not certain of the answer. It is also used in polite or suggestions.

1. Hesitation/reluctance

- a. So you'd be willing to confirm that? ...Well ... I ↘sup ↗pose so ...
- b. You didn't see him on Monday?I don't quite ↘re ↗member ...

2. Politeness-Doubt-Uncertainty: (You are not sure what the answer might be.)

- a. Perhaps we could ↘vis ↗it the place?
- b. Do you think it's ↘al ↗lowed?

3.7.4 Some Important Points to be Remembered

The following are the most important aspects to be noted.

Pronunciation, Stress and Rhythm are the integral parts of intonation.

1. One must be a good listener.
2. Be attentive while you talk.
3. Observe lip movement and mouth while others pronouncing.

4. Initially, take one letter or two pairs of letters or small words – get on to the pronunciation.
5. One must observe oneself by standing in front of a mirror – practice accordingly.
6. Make a note from the sounds of English.
7. Tongue plays a vital role, for Eg – ‘l’, ‘R’.
8. Break the words into sounds, for Eg – ‘in’- ‘tro’- DUCE.
9. Take a video of your pronunciation and check twice.
10. Get improved by reading aloud.
11. This is going to act a key to speak.
12. Pronunciation mixed with stress sometimes become softer and sometimes hard.
13. Practice right form of the letters into words and then to sentences.
14. The tone and pitch of the voice sometimes incredible and listeners get impressed.
15. This has its own naturality with strength and sometimes the force of action.
16. Pronunciation along with stress joined with rhythm give natural sound.
17. It has its own fluency.
18. It develops confidence.
19. Improve listening skills and speaking ability.
20. This is music of English.

3.7.5 Tasks

TASK-21: Mark the stress and use falling intonation of the following sentences.

1. Nobody told me about it.
2. You cant be so disobedient.
3. There’s some milk in the fridge.
4. I never understood him.
5. Very nice of you to have come.
6. Can you help me lift the box?
7. I’m very sorry.
8. Gert me a glass of water please.
9. I bought a pen, a pencil, a scale and a book.
10. When I was young..... .

Answers

1. 'Nobody 'told me a\bout it.
2. You\can't be'so dis'obedient.

3. 'There's some 'milk in the \fridge.
4. I never 'understood \him.
5. 'Very nice of 'you to have \come.
6. Can you ↗help me lift this box?
7. I'm 'very ↗sorry.
8. 'Get me a 'glass of 'water ↗please.
9. I bought a ↗pen, a ↗pencil, a ↗scale and a 'book.
10. When I was ↗young.....(incomplete sentence)

TASK-22: Choose the correct tag to complete the questions.

1. She is collecting stickers, _____?
2. We often watch TV in the afternoon, _____?
3. You have cleaned your bike, _____?
4. John and Max don't like maths, _____?
5. Peter played handball yesterday, _____?
6. They are going home from school, _____?
7. Mary didn't do her homework last Monday, _____?
8. He could have bought a new car, _____?
9. Kevin will come tonight, _____?
10. I'm clever, _____?

Answers

1. She is collecting stickers, **isn't she**?
2. We often watch TV in the afternoon, **don't we**?
3. You have cleaned your bike, **haven't you**?
4. John and Max don't like maths, **do they**?
5. Peter played handball yesterday, **didn't he**?
6. They are going home from school, **aren't they**?
7. Mary didn't do her homework last Monday, **did she**?
8. He could have bought a new car, **couldn't he**?
9. Kevin will come tonight, **won't he**?
10. I'm clever, **aren't I**?

TASK-23: Choose the correct words and word order to make a Wh-question with “going to”.

1. When /is she / study?
2. are they / to go / where going /?
3. are you / what / do tomorrow?
4. Who / to Rome / is travel?
5. where / Boris / (go) / to college?
6. What / you / (eat) / for breakfast?
7. you / how many books / (read) / this summer?
8. the plane / where / (land) ?
9. what / your children / to the beach / (wear)?
10. where / your family / (move) / next year?

Answers

1. When is she going to study?	2. Where are they going to go?
3. What are you going to do tomorrow?	4. Who is going to travel to Rome?
5. Where is Boris going to go to college?	6. What are you going to eat for breakfast?
7. How many books are you going to read this summer?	
8. Where is the plane going to land?	
9. What are your children going to wear to the beach?	
10. Where is your family going to move next year?	

3.7.6 Check Out

Assignment-22: Give the correct question tag for the following

1. Neither of them were responsible, _____?
2. Man is mortal, _____?
3. I am tired, _____?
4. Either you or your brother came here, _____?
5. Her mother couldn't walk, _____?
6. Laila knows you, _____?
7. How nicely she writes, _____?
8. Pinnacle conducts classes early in the morning _____?

9. We are your well wishers_____?
10. I had a bad headache yesterday, _____?
11. It is an important matter, _____?
12. I am happy, _____?
13. The jury gave different opinions, _____?
14. The kid is crying, _____?
15. There are many mistakes in his composition,_____?

Assignment-23: Write questions using going to.

1. (where / stay?) Where are you going to stay?
2. (what / see?) _____?
3. (who / go with?) _____?
4. (how / travel?) _____?
5. (how much bags / take?) _____?
6. (what souvenirs / buy?) _____?
7. (Where / we / eat tonight?) _____?
8. (What / he / do tomorrow)? _____?
9. (What / I / eat for dinner)? _____?
10. (Who / carry the shopping for me)? _____?
11. (What time / you / phone me)? _____?
12. (How much juice / they / drink)? _____?

Assignment-24: Mark the stress and use rising, falling and rise-fall intonation on the following sentences.

1. I think we are completely lost.
2. OK, here's the magazine you wanted.
3. Where's the nearest post-office?
4. What time does the film finish?
5. I hear the Health Centre is expanding. So, is that the new doctor?
6. Is this your camera?
7. Would you like another coffee?

8. You like fish, don't you?
9. You're a new student aren't you?
10. The view is beautiful, isn't it?

Assignment-25: Write the correct question tag from the following.

1. It's raining, _____?
2. They are at home, _____?
3. It was a beautiful day, _____?
4. She works very hard, _____?
5. There is a station nearby, _____?
6. You have enough money with you, _____?
7. She is looking after her younger brother, _____?
8. They stayed out late, _____?
9. You are talking about Pamela, _____?
10. She hasn't met him before, _____?
11. You won't tell my parents, _____?
12. She coloured her hair black, _____?
13. They weren't studying hard, _____?
14. He could give them a lift, _____?
15. She hasn't found the keys, _____?

3.8 REPORTED SPEECH

Introduction

Reported speech is the report of one speaker or writer on the words spoken, written, or thought by someone else. In other words, we report a speaker's words to someone else. Speech may include one or many sentences. Sometimes, we report a speaker's words immediately and at other times it may take any amount of time.

3.8.1 Direct and Indirect Speech

There two ways to convey a message of a person, or the words spoken by a person to other person.

1. Direct speech (in which the original speaker's words are quoted word for word) and
2. Indirect speech (in which the original speaker's thoughts are conveyed without using the speaker's exact words).

For example-1

Suppose your friend whose name is Rahul tells you in school, “I will give you a pen”. You come to home and you want to tell your brother what your friend told you.

There are two ways to tell him.

Direct speech : Rahul said, “I will give you a pen”.

Indirect Speech : Rahul said that he would give me a pen.

These two ways are also used to simply narrate spoken words of one person to another.

For example-2

Suppose you meet your friend, Mr. David, in a college. Mr. David says to you, “I bought a book for you”. When you come home, you may say the words of Mr. David to your sister in the following two ways.

Direct Speech : Mr. David said, “I bought a book for you”.

Indirect Speech : Mr. David said that he had bought a book for me.

Direct Speech

Direct speech repeats, or quotes, the exact words spoken. When we use direct speech in writing, the exact words of the speaker are enclosed in quotation marks (“ ”) and there is no change in these words. We may be reporting something that's being said now, or telling someone later about a previous conversation. There is always a comma or a colon after “said” that introduces the spoken words.

Example: He said, “I am busy”.

Indirect Speech

Reported or indirect speech is usually used to talk about the past. The actual words of the speaker are changed. Because the actual words have been spoken by the speaker in the past, so the tense will change and pronoun may also be changed accordingly so as to represent it in the present.

We use reporting verbs like ‘say’, ‘tell’, ‘ask’, and we may use the word ‘that’ to introduce the reported words. Inverted commas are not used. Indirect speech is also called reported speech because reported speech refers to the second part of indirect speech in which something has been told by a person.

Example:

Direct Speech : He said, “I am busy”.

Indirect Speech : He said that he was busy.

3.8.2 Converting Direct Speech into Indirect Speech

We learn the following two components of a sentence of Direct Speech.

Reporting Verb: The verb first part of sentence (i.e. he said, she said, he says, they said, she says,) before the statement of a person in sentence or the actual words of the speaker is called reporting verb. The key element in changing direct speech into reported speech is the use of the reporting verb.

Examples: In the following examples the reporting verbs are ‘said’, ‘say’, ‘says’.

1. He **said**, “I work in a factory” (Direct speech)
2. He **said** that he worked in a factory. (Indirect speech)
3. She **says**, “You are an intelligent student”.
4. You will **say**, “I need your help”.

Here are some of the frequently used reporting verbs:

- **Statements(affirmative and negative):** affirm, state, declare, assert, propose, alleg, maintain, assure, announce, protest, swear, agree, promise, remark, remind, explain.
- **Questions:** enquire(of someone), question, query, wonder.
- **Commands and requests:** command, direct, forbid, warn, ask, beg, plead, pray, advise.
- **Exclamations:** cry, scream. shout, exclaim, thunder, yell.

Reported Speech: The second part of indirect speech in which something has been told by a person (which is enclosed in quotation marks in direct speech) is called reported speech.

For example, a sentence of indirect speech is,

He said that he worked in a factory.

In this sentence the second part “he worked in a factory” is called reported speech and that is why the indirect speech as a whole can also be called reported speech.

Examples

1. He said, “**I got job in a hotel**”.
2. They said, “**It is time to leave for the meeting**”.
3. Raghu said, “ **I am fit to play the game**”.

3.8.3 Rules for Reported Speech

1. Reported speech is not enclosed in quotation marks.
2. The conjunction “that” is always used between reporting verb and reported speech in indirect speech.

Example:

Direct Speech : He said, “ I write a letter”.

Indirect Speech : He said that he wrote a letter.

3. Change in the tense of reported speech

A change is made in tense of reported speech for changing direct speech into indirect speech. If the reporting verb or first part of sentence of direct speech belongs to present or future tense, the tense of reported speech will not change in indirect speech. If the reporting verb or first part of sentence of direct speech belongs to past tense, the tense of reported speech will change for making indirect speech.

Example-1:

Direct speech: He said, “I am happy”

Indirect Speech: He said that he was happy. (Tense of reported speech changed)

Example-2:

Direct speech: He says, “Life is dull”.

Indirect Speech: He says that life is dull. (Tense of reported speech didn’t change)

I. Present Tense

● Present Simple changes into Past Simple

Examples:

1. **Direct Speech:** Ravi said, “ The bell rings at 9 a.m”.

Indirect Speech: Ravi said that the bell rang at 9 a.m.

2. **Direct Speech:** She said, “ I am glad”.

Indirect Speech: She said that she was glad.

3. **Direct Speech:** They said, “We love football”.

Indirect Speech: They said that they loved football.

● Present Continuous changes into Past Continuous

Examples:

1. **Direct Speech:** He said, “he is watching movie”.

Indirect Speech: He said that he was watching movie.

2. **Direct Speech:** They said, “we are enjoying the drama”.

Indirect Speech: They said that they were not enjoying the drama.

3. **Direct Speech:** He said to me, “My children are playing now”.

Indirect Speech: He told me that his children were playing then.

- **Present Perfect changes into Past Perfect**

Examples:

1. **Direct Speech:** My father said, “The monsoon has set in”.

Indirect Speech: My father said that the monsoon had set in.

2. **Direct Speech:** I said, “she have eaten the meal”

Indirect Speech: I said that she had eaten the meal.

3. **Direct Speech:** She said, “he has done his job”.

Indirect Speech: She said that he had done his job.

- **Present Perfect Continuous changes into Past Perfect Continuous**

Examples:

1. **Direct Speech:** She said, “It has been raining for three days”.

Indirect Speech: She said that it been raining for three days.

2. **Direct Speech:** The manager said, “ The workers have been working extra hours”.

Indirect Speech: The manager said that the workers had been working extra hours.

3. **Direct Speech:** I said, “He has been working since 2008”.

Indirect Speech: I said that she had been working since 2008.

II. Past Tense

- **Past Simple changes into Past Perfect**

Examples:

1. **Direct Speech:** Ravi said, “The bell rang”.

Indirect Speech: Ravi said that the bell had rung.

2. **Direct Speech:** He said to me, “You behaved well”.

Indirect Speech: He said to me that I had behaved well.

3. **Direct Speech:** She said, “I didn’t buy a car”

Indirect Speech: She said that she had not bought a car.

- **Past Continous changes into Past Perfect Continous**

Examples:

1. **Direct Speech:** He said to me, “ I was waiting for you”.
Indirect Speech: He said to me that he had been waiting for me.
2. **Direct Speech:** She said, “I was not smiling”.
Indirect Speech: She said that she had not been smiling.
3. **Direct Speech:** The kids said, “We were playing a game”.
Indirect Speech: The kids said that they had been playing a game”.

III. Future Tense

- **Future Simple Tense**

WILL changes into WOULD

Examples:

1. **Direct Speech:** He said, “I will study the book”.
Indirect Speech: He said that he would study the book.
2. **Direct Speech:** They said to me, “we will surprise you”.
Indirect Speech: They said to me that they would surprise you.
3. **Direct Speech:** She said, “I will start a new job”.
Indirect Speech: She said that she would start a new job.

- **Future Continous Tense**

WILL BE changes into WOULD BE

Examples:

1. **Direct Speech:** She said,” I will be shifting to new home”.
Indirect Speech: She said that she would be shifting to a new home.
2. **Direct Speech:** He said, “he will be respecting elders”.
Indirect Speech: He said that he would be respecting elders.
3. **Direct Speech:** She said,” I will be singing a song”.
Indirect Speech: She said that she would be singing a song.

- **Future Perfect Tense**

WILL HAVE changes into WOULD HAVE

Examples

1. **Direct Speech:** She said, "They will have achieved the target".
Indirect Speech: She said that they would have achieved the target.
2. **Direct Speech:** She said, "they will have passed the examination".
Indirect Speech: She said that they would have passed the examination.
3. **Direct Speech:** He said, "I will have cleaned the room".
Indirect Speech: He said that he would have cleaned the room.

We can follow the table below to see how demonstratives change in reported speech.

Direct Speech	Indirect Speech
now or just	then
this	that
these	those
thus	so
here	there
ago	before, earlier
today/tonight	that day/that night
tomorrow	the next day/the following day
yesterday	the day before/the previous day
last monththe	previous month
next Thursday	the following Thursday
last night	the night before

4. The tenses may not change if the statement is a universal truth

Examples:

1. **Direct Speech:** The teacher said, "The earth is round".
Indirect Speech: The teacher said that the earth is round.
2. **Direct Speech:** The teacher said, "The sun rises in the east".
Indirect Speech: The teacher said that the sun rises in the east.

5. Indirect Speech for Interrogative Sentences

- The reporting verbs used in the questions are ask, enquire, wonder, want to know.
- When the question is introduced by a verb, the reporting verb is followed by 'if' or 'whether'.
- When the question is introduced by an interrogative word(what, where, when, why, how, etc), the same word is used in the Indirect Speech. No conjunction is used.

- Question mark is not used in indirect speech.

Examples

1. **Direct Speech:** My friend said, "Is Mr. Rao on leave?"
Indirect Speech: My friend enquired if Mr. Rao was on leave.
2. **Direct Speech:** John said, "Will you play chess with me?"
Indirect Speech: John asked me whether I would play chess with him.
3. **Direct Speech:** I said to him, "Are you feeling well?"
Indirect Speech: I asked him if he was feeling well.
4. **Direct speech:** He said, "when will they come?"
Indirect speech: He asked when they would come.
5. **Direct speech:** Teacher said to him, "What is your name?"
Indirect speech: Teacher asked him what his name was.

6. Indirect Speech for Exclamatory Sentences

Sentence which expresses state of joy or sorrow or wonder is called exclamatory sentence.

- The exclamations are changed into statements in the Indirect Speech.
- To change such sentences, the words "exclaimed with joy" or "exclaimed with sorrow" or "exclaimed with wonder" is added in the reporting verb depending upon the nature of exclamatory sentence in indirect speech.
- The reporting verbs used in exclamatory sentences are exclaim, wonder, remark, wish, pray, shout, cry, etc. are used in Indirect Speech.
- Exclamatory mark(!) is removed.
- The conjunction 'that' is used.

Examples:

1. **Direct Speech:** He said, "What a fool I am!"
Indirect Speech: He exclaimed that he was a fool.
2. **Direct Speech:** He said, "Alas! my wife is dead!"
Indirect Speech: He exclaimed sorrowfully that his wife was dead.
3. **Direct speech:** They said, "Wow! What a pleasant weather it is".
Indirect Speech: They exclaimed with wonder that it was a pleasant weather.

4. **Direct speech:** He said, "Hurrah! I won a prize".

Indirect Speech: He exclaimed with joy that he had won a prize.

5. **Direct Speech:** He said, "May your daughter soon recover"!

Indirect Speech: He prayed that his daughter might soon recover.

7. Indirect Speech for Imperative Sentences

A sentence which expresses command, request, advice or suggestion is called imperative sentence.

- To change such sentences into indirect speech, the word "ordered" or "requested" or "advised" or "suggested" or "forbade" or "not to do" is added to reporting verb depending upon nature of imperative sentence in reported speech.
- The reporting verbs used in imperative sentences are advice, ask, order, request, command, urge, beg, etc.
- The imperative mood is changed into the infinitive.

Examples:

1. **Direct Speech:** They said to us, "Grow more trees".

Indirect Speech: They urged us to grow more trees.

2. **Direct Speech:** The teacher said to the boy, "Get out of the room".

Indirect Speech: The teacher ordered the boy to get out of the room.

3. **Direct Speech:** My friend said, "Let us go to the cinema".

Indirect Speech: My friend proposed that they should go to the cinema.

4. **Direct speech:** He said to me, "please help me"

Indirect Speech: He requested me to help him.

5. **Direct speech:** The teacher said to student, "do not waste time"

Indirect Speech: The teacher advised the students not to waste time.

8. Change in Pronoun

The pronoun (subject) of the reported speech is changed according to the pronoun of reporting verb or object (person) of reporting verb (first part of sentence). Sometimes the pronoun may not change.

In following example the pronoun of reported speech is "I" which will be changed in indirect speech into the pronoun (Subject) of reporting verb that is "he".

Direct speech: He said, "I like music".

Indirect Speech: He said that he liked music.

Rule No.1: The 1st person pronoun of reported speech(We, I, Me, My, Mine, Us or our) is changed according to the pronoun of the reporting verb if it is 3rd person pronoun(i.e. she, he, it, they, their. her, his).

Examples:

1. **Direct Speech:** She said, "I work in a factory".

Indirect Speech: She said that she work in a factory.

2. **Direct Speech:** They said, "We have completed the work".

Indirect Speech: They said that they had completed the work.

Rule No.2: The 1st person pronoun of reported speech(We, I, Me, My, Mine, Us or our) is not changed, if the pronoun of the reporting verb is also 1st person pronoun(i.e. I, we).

Examples:

1. **Direct Speech:** I said, "I had applied for a job".

Indirect Speech: I said that I had applied for a job.

2. **Direct Speech:** We said, "We sing a song".

Indirect Speech: We said that we sang a song.

Rule No.3: The 2nd person pronoun(i.e. you, yours) of the reported speech is changed according to "object" of the reported verb.

Examples:

1. **Direct Speech:** She said to me, "You are a brilliant student".

Indirect Speech: She said to me that I was a brilliant student.

2. **Direct Speech:** She said to them, "You are brilliant students".

Indirect Speech: She said to them that they were brilliant students.

Rule No.4: The 3rd person pronoun (i.e. She, He, It, They, His, Him, the, his) of the reported speech will not changed in the Indirect Speech.

Examples:

1. **Direct Speech:** He said, "She will buy a pen".

Indirect Speech: He said that she would buy a pen.

2. **Direct Speech:** They said, "It is raining".

Indirect Speech: They said that it was raining.

3. **Direct Speech:** He said, "She is waiting for them".

Indirect Speech: He said that she was waiting for them.

9. **Change in time:** Time is changed according to certain rules like now to then, today to that day, tomorrow to next day and yesterday to previous day.

Examples:

1. **Direct speech:** He said, "I am happy today"

Indirect Speech: He said that he was happy that day.

2. **Direct Speech:** She said, "I will go to college tomorrow".

Indirect Speech: She said that she would go to college the next day.

3. **Direct Speech:** He said, "I met my friend yesterday".

Indirect Speech: He said that he had met his friend the previous day.

10. Indirect Speech for having MODALS

Indirect speech for sentence having MODALS, "can, may, must, should, ought to":

For converting direct speech into indirect speech, present modals(must, can, may) are changed into past modals(had to, could, might).

Examples:

1. **Direct Speech:** He said, "I **can** drive a car".

Indirect Speech: He said that he **could** drive a car.

2. **Direct Speech:** Ramu said, "I **can** play a piano".

Indirect Speech: Ramu said that he **could** play a piano.

3. **Direct Speech:** They said, "They **may** go to zoo".

Indirect Speech: They said that they **might** go to zoo.

4. **Direct Speech:** He said, "I **may** call a Doctor".

Indirect Speech: He said that he **might** call a Doctor.

5. **Direct Speech:** She said, "they **must** carry on their work".

Indirect Speech: She said that they **had to** carry on their work.

6. **Direct Speech:** They said, "We **must** finish the work in time".

Indirect Speech: They said that they **had to** finish the work in time.

Indirect speech for sentence having MODALS, "should, ought to, might, would, and could":

These modals are not changed and remain same in indirect speech.

Examples:

1. **Direct Speech:** They said, "We **would** apply for a visa".
Indirect Speech: They said that they **would** apply for visa.
2. **Direct Speech:** She said, "She **could** play a piano".
Indirect Speech: She said that she **could** play a violin.
3. **Direct Speech:** He said, "I **should** avail the opportunity".
Indirect Speech: He said that he **should** avail the opportunity.
4. **Direct Speech:** She said, "It **might** rain".
Indirect Speech: She said that it **might** rain.
5. **Direct Speech:** She said, "I **ought to** learn method of study".
Indirect Speech: She said that she **ought to** learn method of study.

3.8.4 Tasks

TASK-24: Rewrite as directed.

1. He said, "The meeting is at five". **(Change it into indirect speech)**
2. He said to her, "Get out of my sight". **(Change it into indirect speech)**
3. She asked me if I know her. **(Change it into direct speech)**
4. They said that they would go to a movie that day. **(Change it into direct speech)**
5. He said, "We are taking the English exam". **(Change it into indirect speech)**
6. They asked when the results would be published. **(Change it into direct speech)**
7. The singer asked the audience, "Do you like classical music?" **(Change it into direct speech)**
8. He said, "my father died." **(Change it into indirect speech)**
9. My friends said that they enjoyed the final cricket match. **(Change it into direct speech)**
10. Mohan said that he had been living in Bombay for nine years. **(Change it into direct speech)**

Answers

1. He said that the meeting was at five.
2. He ordered her to get out of his sight.
3. She said to me, "Do you know her?"
4. They said, "We will go to a movie today".
5. He said that they were taking the English exam".
6. They said, "When will the results be published?"

7. The singer asked the audience whether they liked classical music.
8. He said that his father was dead.
9. My friends said, "we enjoyed the final cricket match".
10. Mohan said, "I have been living in Bombay for nine years."

TASK-25: Change the following into Indirect Speech.

Read what these people say and write sentences with He/She/They said that.....

1. Lucy will come later.
2. I was waiting for the bus when he arrived.
3. I'm very busy.
4. I have to go out.
5. We haven't got a key.
6. We'll be home late.
7. I won't see you tomorrow.
8. He could read when he was three.
9. He hasn't eaten breakfast.
10. I'm going to buy a computer.

Answers

1. She said that Lucy would come later.
2. She said that she had been waiting for the bus when he arrived.
3. He said that he was very busy.
4. He said that he had to go out.
5. They told that they had not got a key.
6. They told that they would be home late.
7. She said that she wouldn't see me tomorrow.
8. She said that he could read when he was three.
9. She said that he hadn't eaten breakfast.
10. She said that she was going to buy a computer.

TASK-26: Convert the below exclamatory, interrogative and imperative sentences into reported speech.

1. Madhur said, "Happy Birthday!"
2. She said in Shimla, "Wow! What a pleasant weather it is."
3. Neha said to Poonam, "Congratulations!"
4. They said to us, "Welcome! Please come in."
5. She said, "How foolish I have been!"
6. The teacher said to Raj, "Stand up on the bench."

7. Seema said to her husband, “Do not tell a lie.”
8. Doctor said to a patient, “Change your life style and eating habits”.
9. He said, “Am I not looking handsome?”
10. Ramu said to me, “Have you read the book on Swaami Vivekananda?”

Answers

1. Madhur wished me happy birthday.
2. She exclaimed with joy in Shimla that it was a very pleasant weather.
3. Neha congratulated Poonam.
4. They welcomed us and requested to come in.
5. She regretted that she had been very foolish.
6. The teacher ordered Raj to stand up on the bench.
7. Seema warned her husband not to tell a lie.
8. Doctor suggested a patient to change his life style and eating habits.
9. He asked whether he was not looking handsome.
10. Biswas jee asked me whether I had read the book on Swaami Vivekananda.

3.8.5 Check Out

Assignment-26: Change into Indirect Speech.

1. Venu said, “I can type the letters”.
2. She said, “I can solve the problem”.
3. I said to Rani, “I have posted the letter just now.?”
4. Gopal said, “I am very busy now.”
5. Rajesh said, “I scored a century yesterday.”

Assignment-27: Change the following into Indirect Speech. Read what these people say and write sentences with He/She/They said (that) ...

1. I’ve lost my watch.	2. I’m very busy.
3. I can’t go to the party.	4. I have to go out.
5. I’m learning Russian.	6. I don’t feel very well.
7. We’ll be home late.	8. I’ve just come back from holiday.
9. I’m going to buy a computer.	10. We havent got a key.

3.9 ACTIVE AND PASSIVE VOICE

1. Active voice

When the subject of a sentence performs the verb's action, we say that the sentence is in the active voice. Sentences in the active voice have a strong, direct, and clear tone. Here are some short and straightforward examples of active voice.

Examples

- Monkeys adore bananas.
- The dog chased the squirrel.
- The cashier counted the money.

All three sentences have a basic active voice construction: subject, verb, and object. The subject monkey performs the action described by adore. The subject the cashier performs the action described by counted. The subject the dog performs the action described by chased. The subjects are doing, doing, doing—they take action in their sentences. The active voice reminds us of the popular Nike slogan, “Just Do It.”

2. Passive voice

A sentence is in the passive voice, on the other hand, when the subject is acted on by the verb. The passive voice is always constructed with a conjugated form of to be plus the verb's past participle. Doing this usually generates a preposition as well. That sounds much more complicated than it is passive voice is actually quite easy to detect. For these examples of passive voice, we will transform the three active sentences above to illustrate the difference.

Examples

- Bananas are adored by monkeys.
- The squirrel was chased by the dog.
- The money was counted by the cashier.

Let's take a closer look at the first pair of sentences, “Monkeys adore bananas” and “Bananas are adored by monkeys.” The active sentence consists of monkeys (subject) + adore (verb) + bananas (object). The passive sentence consists of bananas (object) + are adored (a form of to be plus the past participle adored) + by (preposition) + monkeys (subject). Making the sentence passive flipped the structure and necessitated the preposition by. In fact, all three of the transformed sentences above required the addition of by.

3.9.1 When to use active and passive voice

Using the active voice conveys a strong, clear tone and the passive voice is subtler and weaker. Here's some good advice: don't use the passive voice just because you think it sounds a bit fancier than the active voice.

That said, there are times the passive voice is useful and called for. Take “The squirrel was chased by the dog,” for example. That sentence construction would be helpful if the squirrel were the focus of your writing and not the dog.

A good rule of thumb is to try to put the majority of your sentences in the active voice, unless you truly can’t write your sentence in any other way.

3.9.2 Active to Passive Voice Rules For Conversion of Sentence

Below are the rules to follow for changing an active sentence into a passive voice. Before heading to the rules, let’s check the examples of active and passive voice sentences.

Conversion of Active and Passive voice examples

Rita wrote a letter. (Subject + Verb + Object)

A letter was written by Rita. (Object) + (auxiliary verb) + (past participle) + (by subject).

She cooks food. (Subject + Verb + Object)

The food is cooked by her. (Object) + (auxiliary verb) + (past participle) + (by subject)

Candidates can watch the video on rules and concept of Active and Passive voice in English. This will help them gain conceptual knowledge and understand the variety of questions asked in the exams even better.

Conversion of Active Voice into Passive Voice Rule

Rule 1. Identify the (S+V+O) Subject, Verb and object in the active sentence to convert to passive voice

Example: He drives car. (Subject – He, verb – Drives, object – Car)

Rule 2. Interchange the object and subject with each other, i.e. object of the active sentence become the subject of the passive sentence.

Example: Active voice : She knits sweater. (Subject – She, Verb – Knits, Object – Sweater)

Passive Voice: The sweater is knitted by her. (Object sweater is interchanged with the subject She).

Rule 3. In passive voice sometimes the subject is not used, i.e. the subject in passive voice can be omitted if the sentence without it gives enough meaning.

Example: Milk is sold in litres

Rule 4. Change the base verb in active sentence into the past participle ie. third form verb in passive sentence i.e. preceded by (By, With, to, etc). Base verbs are never used in passive voice sentences.

Example

Active voice: She prepares dinner.

Passive voice: The dinner is prepared by her.

Active voice: She knows him.

Passive voice: He is known to her.

Active voice: Juice fills the jar.

Passive voice: The jar is filled with juice.

Rule 5. While conversion of Active voice sentence to Passive voice sentence, the pronoun used in the sentence also changes in the following manner.

Active Voice Pronoun	Passive Voice Pronoun
I	Me
We	Us
He	Him
She	Her
They	Them
You	You
It	It

Rule 6. Use the suitable helping or auxiliary verb (is/am/are/was, etc.). The rules for using auxiliary verbs in passive voice sentences are different for each tense.

Example:

- The letter is written by her
- A book was not bought by her
- Chocolates are being eaten by them.

Examples

Simple Present Tense

1. **Active Voice:** Seema eats an apple.

Passive Voice: An apple is eaten by Seema.

2. **A.V:** Seema eats two apples.

P.V: Two apples are eaten by Seema.

Present Continuous Tense

1. **A.V:** Seema is eating an apple.
P.V: An apple is being eaten by Seema.
2. **A.V:** They are flying kites
P.V: Kites are being flown by them

Present Perfect Tense

- 1 **A.V:** Seema has eaten an apple.
P.V: An apple has been eaten by Seema.
2. **A.V:** They have received a gift.
P.V: A gift has been received by them.

Simple Past Tense

1. **A.V:** Seema ate an apple.
P.V: An apple was eaten by Seema.
2. **A.V:** Seema ate two apples.
P.V: Two apples were eaten by Seema.

Past Continuous Tense

1. **A.V:** Seema was eating an apple.
P.V: An apple was being eaten by Seema.
2. **A.V:** They were catching a bird
P.V: A bird was being caught by them

Past Perfect Tense

1. **A.V:** Seema had eaten an apple.
P.V: An apple had been eaten by Seema.
2. **A.V:** I had finished my duty before five
P.V: My duty had been finished by me before five

Simple Future Tense

1. **A.V:** Seema will eat an apple.
P.V: An apple will be eaten by Seema.

2. **A.V:** They will not eat sweets

P.V: Sweets will not be eaten by them

Future Perfect Tense

1. **A.V:** Seema will have eaten an apple.
P.V: An apple will have been eaten by Seema.
2. **A.V:** You will have played the Foot-ball match.
P.V: The Foot-ball match will have been played by you.

Imperative Sentences

1. **A.V:** Bring some water.
P.V: Let some water be brought.
2. **A.V:** Post this letter.
P.V: Let this letter be posted.
3. **A.V:** Do not insult the poor.
P.V: Let the poor be not insulted.

Sentences with Object Complements

1. **A.V:** He was called a fool.
P.V: They called him a fool.
2. **A.V:** We chose Ravi leader of our group.
P.V: Ravi was chosen leader of our group.
3. **A.V:** The judge found him guilty of murder.
P.V: He was found guilty of murder.

Sentences with verbs followed by prepositions

1. **A.V:** They will look into your case.
P.V: Your case will be looked into. (by them)

2. **A.V:** The Principal presided over the meeting.
P.V:The meeting was presided over by the Principal.
3. **A.V:** They have objected to my proposal
P.V:My proposal has been objected to (by them).

Interrogative Sentences

1. **A.V:** Do they sell apples?
P.V: Are apples sold by them?
2. **A.V:** Does he play cricket?
P.V: Is cricket played by him.?
3. **A.V:** Will he help me?
P.V: Shall I be helped by him?
4. **A.V:** Who wrote Geetanjali?
P.V: By whom was Geetanjali written?
5. **A.V:** Where did he find the pen?
P.V: Where was the pen found by him?

3.9.3 Tasks

TASK-27: Rewrite the following changing the active sentences to passive and passive sentences to active.

1. The thieves have been arrested by the police.
2. The marvelous performance delivered by the children enthralled us.
3. He has been invited to their party.
4. We have shipped your order.
5. The girl recited the poem beautifully.
6. The guests enjoyed the party.
7. The child impressed everyone with his polite manners.
8. A girl from Chennai won the first prize.
9. The readers like the latest book of the writer.
10. They are painting the walls.

Answers

1. The police have arrested the thieves.
2. We were enthralled by the marvelous performance delivered by the children.
3. They have invited him to their party.
4. Your order has been shipped by us.
5. The poem was beautifully recited by the girl.
6. The party was enjoyed by the guests.
7. Everyone was impressed with the polite manners of the child.
8. The first prize was won by a girl from Chennai.
9. The latest book of the writer is liked by the readers.
10. The walls are being painted by them.

TASK-28: Change the following active sentences into passive voice.

1. I did not beat her.
 - a. She is not beaten by me.
 - b. She has not beaten by me.
 - c. She was not beaten by me.
2. I will never forget this experience.
 - a. This experience is not forgotten by me.
 - b. This experience would never be forgotten by me.
 - c. This experience will never be forgotten by me.
3. Mother made a cake yesterday.
 - a. A cake made by mother yesterday.
 - b. A cake is made by mother yesterday.
 - c. A cake was made by mother yesterday.
4. The boy teased the girl.
 - a. The girl was teased by the boy.
 - b. The girl had teased by the boy.
5. Did she do her duty?
 - a. Was she done her duty?
 - b. Was her duty done by her?
 - c. Had her duty done by her?
6. The tiger was chasing the deer.
 - a. The deer was chased by the tiger.
 - b. The deer was being chased by the tiger.
 - c. The deer had chased by the tiger.

7. She has written a novel.
 - a. A novel has written by her.
 - b. A novel has been written by her.
 - c. A novel had written by her.
8. She has learned her lessons.
 - a. Her lessons has learned by her.
 - b. Her lessons have been learned by her.
 - c. Her lessons had been learned by her.
9. Have you finished the report?
 - a. Has the report finished by you?
 - b. Has the report been finished by you?
 - c. Had the report been finished by you?
10. The police have caught the thief.
 - a. The thief has been caught by the police.
 - b. The thief was caught by the police.
 - c. The thief had been caught by the police.

Answers

1. She was not beaten by me.
2. This experience will never be forgotten by me.
3. A cake was made by mother yesterday.
4. The girl was teased by the boy.
5. Was her duty done by her?
6. The deer was being chased by the tiger.
7. A novel has been written by her.
8. Her lessons have been learned by her.
9. Has the report been finished by you?
10. The thief has been caught by the police.

TASK-29: Complete the following sentences using appropriate active or passive verb forms. Choose your answers from the given options.

1. The problem _____ to the children. (explained / was explained)
2. Those pyramids _____ around 400 AD. (built / were built)
3. All the trouble _____ by your mother. (has caused / was caused)
4. The visitors _____ (were shown / have shown) a collection of old manuscripts.

5. I _____ him ten thousand pounds last year. (lend / lent / was lent)
6. She _____ of spiders. (frightened / is frightened)
7. That picture _____ by my grandmother. (painted / was painted)
8. I _____ by his attitude. (shocked / have shocked / was shocked)
9. Excuse the mess. The house _____ (is painting / is being painted / has painted)
10. I knew why I _____ (had chosen / had been chosen)

Answers

1. The problem was explained to the children.
2. Those pyramids were built around 400 AD.
3. All the trouble was caused by your mother.
4. The visitors were shown a collection of old manuscripts.
5. I lent him ten thousand pounds last year.
6. She is frightened of spiders.
7. That picture was painted by my grandmother.
8. I was shocked by his attitude.
9. Excuse the mess. The house is being painted.
10. I knew why I had been chosen.

TASK-30

1. The manager keeps the work pending. **[SSC CGL 2019]**
 - (a) The work is kept pending by the manager.
 - (b) The work was kept pending by the manager.
 - (c) The work has been kept pending by the manager.
 - (d) The work are being kept pending by the manager.
2. The farmer is ploughing the fields. **[SSC CGL 2019]**
 - (a) The fields have been ploughed by the farmer.
 - (b) The fields were ploughed by the farmer.
 - (c) The fields are ploughed by the farmer.
 - (d) The fields are being ploughed by the farmer.

3. She is teaching French to children. **[SSC CGL 2019]**
(a) Children are taught French by her. (b) Children were taught French by her.
(c) Children are being taught French by her. (d) Children have been French by her.
4. The thief was being arrested by the police. **[SSC CGL 2019]**
(a) The police was arresting the thief. (b) The police has arrested the thief.
(c) The police arrested the thief. (d) The police had arrested the thief.
5. The cyclone has damaged several crops. **[SSC CHSL T-I, 2018]**
(a) Several crops are being damaged by the cyclone.
(b) Several crops had been damaged by the cyclone.
(c) Several crops have been damaged by the cyclone.
(d) Several crops have damaged the cyclone.
6. His mother gave him a note for his teacher. **[SSC CHSL T-I, 2018]**
(a) He had been given a note for his teacher by his mother.
(b) He is given a note for his teacher by his mother.
(c) He was given a note for his teacher by his mother. ‘
(d) His teacher was given a note for his mother.
7. Please lock the door. **[SSC CHSL T-I, 2018]**
(a) The door should kindly being locked. (b) You are requested to lock the door.
(c) You are being ordered to lock the door. (d) Please let the door be lock.
8. The store manager caught the teenager shop lifting. **[SSC CHSL T-I, 2018]**
(a) The store manager is “taught shoplifting by the teenager.
(b) The teenager is caught shoplifting by the store manner.
(c) The teenager has been caught shoplifting by the store manager.
(d) The teenager was caught shoplifting bye the store manager.
9. How much monthly rent did you pay for the house? **[SSC CHSL T-I, 2018]**
(a) How much monthly rent was paid for the house?
(b) How much monthly rent is being paid for the house?
(c) How much monthly rent was being paid for the house?
(d) How much monthly rent is paid for the house?

10. The merchant took out the dead parrot from the cage. **[SSC CHSL T-I, 2018]**
- (a) The dead parrot took out from the cage by the merchant.
 - (b) The dead parrot taken out from the cage by the merchant.
 - (c) The dead parrot was taking out from the cage by the merchant.
 - (d) The dead parrot taken out from the cage by the merchant.
11. Please show me my son's Mathematics notebook. **[SSC CGL T-I, 2018]**
- (a) I will please be shown my son's Mathematics notebook.
 - (b) I may please be shown my son's Mathematics notebook.
 - (c) My son's Mathematics notebook was please shown to me.
 - (d) My son may please be shown the Mathematics notebook.
12. At night, lock the outer gate. **[SSC CGL T-I, 2018]**
- (a) The outer gate is requested to be locked at night.
 - (b) The outer gate be locked at night. (c) Let the outer gate b locked at night.
 - (d) The outer gate is lo(ked at night.
13. Every passing vehicle was being thoroughly checked by the guards. **[SSC CGL T-I, 2018]**
- (a) The guards were throughly checking every passing vehicle.
 - (b) The guards have thoroughly checked every passing vehicle.
 - (c) Every passing vehicle were thoroughly checking the guards.
 - (d) The guards have been thoroughly checking every passing vehicle.
14. The wall of this park is being painted by children. **[SSC CGL T-I, 2018]**
- (a) Children are painting the wall of this park.
 - (b) Children have been painting the wall of this park
 - (c) The wall is painting children of this park. (d) Children painted tie wall of this park.
15. One of the passengers was being thoroughly checked by the custom officers. **[SSC CGL T-I, 2018]**
- (a) The custom officers thoroughly checked one of the passengers.
 - (b) The custom officers have been thoroughly checking one of the passengers.
 - (c) The custom officers were thoroughly checking one of the passengers.
 - (d) One of the passengers was thoroughly checking the custom officers.

16. This medicine gives me a heartburn. **[SSC CGL T-II, 2017]**
- (a) Giving of heartburn is done by this medicine.
- (b) I have got heartburn by that medicine.
- (c) A heartburn is given to me by this medicine.
- (d) Heartburning has been caused by this medicine.
17. She will never admit her mistakes. **[SSC CGL T-H, 2017]**
- (a) Admission of her mistakes will never be done by her.
- (b) Her mistakes will never be admitted by her.
- (c) Her mistakes is what she will never be admitting.
- (d) Admitting her mistakes has never been done by her.
18. I always carry a bottle of water with me. **[SSC CGL T-H, 2017]**
- (a) carrying a bottle of water is always done by me.
- (b) A bottle of water is always carried with me.
- (c) It is with me that I always am carrying a bottle of water.
- (d) Always I carried self.
19. I have known this **[SSC CGL T-II, 2017]**
- (a) This place has was a kid. (b) Knowing this ing done by me.
- (c) Since I was a me. (d) I have been knowing time I was a kid.
20. I rarely watch action movies. **[SSC CGL T-II, 2017]**
- (a) Action movies are rarely watched by myself.
- (b) Action movies are rarely watched by me.
- (c) I had rarely watched action movies.
- (d) Watching of action movies is rarely done by me.
21. You need to offer them a better deal. **[SSC CGL T-II, 2017]**
- (a) They are in need of being offered a better deal by yourself.
- (b) They need to be offered a better deal by you.
- (c) A better deal is needed by them and you have to offer it.
- (d) The offering of a better deal has to be done by you for their need.

22. You are making your life more difficult. **[SSC CGL T-II, 2017]**
(a) Your life is being made more difficult by you.
(b) You yourself make your life more difficult.
(c) Your life had been made more difficult by you yourself.
(d) Making of your life more difficult has been done by yourself.
23. She always took her medicines on time **[SSC CGL T-II, 2017]**
(a) The medicines was always took on time by her.
(b) The medicines were always taken on time by her.
(c) On time medicines she always took.
(d) Taking of the medicines on time was being done by her.
24. Who has composed this song? **[SSC CGL T-II, 2017]**
(a) This song will be composed by whom? (b) Who composes this song?
(c) Composing of this song has been done by who?
(d) This song has been composed by whom?
25. You have to take these medicines. **[SSC CGL T-II, 2017]**
(a) These medicines you have to take. (b) You have took these medicines.
(c) These medicines have to be taken by you.
(d) Taking of these medicines has toe done by you.
26. The authorities are mistreating the prisoners. **[SSC CGL T-II, 2017]**
(a) The prisoners will be mistreated by the authorities.
(b) The authorities mistreat the prisoners.
(c) The prisoners are being mistreated by the authorities.
(d) Mistreating of the prisoners will be done by the authorities.
27. The policeman carries a baton whenever he goes on a round. **[SSC CGL T-II, 2017]**
(a) Carrying of a baton is lone by the policeman whenever he has gone on a round.
(b) The policeman has never gone on around without carrying a baton.
(c) Going on a round has seen done by the policeman by carrying a baton.
(d) A baton is carried by the policeman when ever he goes as a round.

28. The auctioneers are conducting the auction. **[SSC CGL T-II, 2017]**
- (a) The auction is being conducted by the auctioneers.
 - (b) Conducting of the auction has been done by the auctioneers.
 - (c) Conduction of the auctioning has been done by the auctioneers.
 - (d) Conduction of the auctioning is being done by the auctioneers.
29. The moist air will corrode the beam. **[SSC CGL T-II, 2017]**
- (a) Corroding of the beam will be done by the moist air.
 - (b) Corrosion of the beam by the moist air would be done.
 - (c) The beam would be under corrosion by moist air.
 - (d) The beam will be corroded by moist air.
30. She laughed at the antics of the jester. **[SSC CGL T-II, 2017]**
- (a) Laughing at the antics of the jester was done by her.
 - (b) She herself laughs at the antics of the jester.
 - (c) The antics of the jester were laughed at by her.
 - (d) Her laughter was to the antics of the jester.
31. Does he race cars? **[SSC CGL T-II, 2017]**
- (a) Is racing of the cars done by him?
 - (b) Are cars raced by him?
 - (c) Does he the racing of cars?
 - (d) Are race cars done by him?
32. Do you speak Marathi? **[SSC CGL T-II, 2017]**
- (a) Is speaking of Marathi done by you?
 - (b) Do you yourself speak Marathi?
 - (c) Is Marathi spoken by you?
 - (d) Are Marathi ever spoken by your ,elf?
33. His brother doesn't drive a car. **[SSC CGL T-II, 2017]**
- (a) Driving of a car is not done by his brother.
 - (b) The car is not being driven by his brother.
 - (c) Driving of a car has not been done by his brother.
 - (d) A car is not driven by his brother.

34. He doesn't pay tips ever. **[SSC CGL T-II, 2017]**

- (a) Paying of tips has (b) Tips are never paid by him.
(c) Always he himself forgets my name.
(d) My name has been forgotten by him.

35. Does he sing only Ghazals? **[SSC CGL T-II, 2017]**

- (a) Is singing of only Ghazals done by him?
(b) He sang only Ghazals, did he?
(c) He is a singer of only Ghazals, isn't he?
(d) Are only Ghazals sung by him?

36. Does he respect his elders? **[SSC CGL T-II, 2017]**

- (a) Is respecting of elders done by him?
(b) His elders are being respected by him, aren't they?
(c) Are his elders respected by him?
(d) He respects his elders, doesn't he?

37. Meenu will return the book. **[SSC CGL T-II, 2017]**

- (a) Returning of the book will be done by Meenu.
(b) The book will be returned by Meenu.
(c) The book would have been returned by Meenu.
(d) The book Meenu will be returning.

38. I have poured the tea. **[SSC CGL T-II, 2017]**

- (a) Pouring of the tea by me has been done.
(b) The tea is being poured by me.
(c) The tea has been poured by me.
(d) The tea pouring was done by myself.

Answers

1. (a)	2. (d)	3. (c)	4. (a)	5. (c)	6. (c)
7. (b)	8. (d)	9. (a)	10. (d)	11. (a)	12. (c)
13. (a)	14. (a)	15. (d)			

16. (c) The object ‘The heartfurn’ should be used be used in feginning of passive voice.
17. (b) Sentence should start with object “her mistake” and “cannot be replaced “is”, so B is correct answer.
18. (b) “A bottle of water” is object here so sentence should start with it and “carry” should be replaced by “carried”.
19. (a) The passive of this sentence should start with object ‘This place’ and accordingly “Have” should be replaced by “Has”.
20. (d)
21. (b)
22. (a) Active [sub + is/am/are + V1 + ing + obj] -4
23. (b)
24. (d) (Interrogative remains interrogative)
25. (c)
26. (c)
27. (d) Changes Active → Subject + V1 + Object Passive → Object + is / am/ are + V3 + by + Sub
28. (a) Changes Active „→ Subject + V1 + Object Passive → Object + is / am/ are + V3 + by + Sub
29. (d) Changes Active „→ Subject + Shall/will + V1 + Object Passive „→ Object + Shall/will + be + V3 + by + Sub
30. (c) Changes Active „→ Subject V2 + Object Passive → Object + was / were + V3 + by + Sub
31. (b) In case of Interrogative sentences ‘does’ is converted to “in/are” depending on the new subject. Use “cars” as subject and convert “does’ to are Correct form is, Are cars raced by him.
32. (c) “Marathi” is object here so, after conversion it will be used as subject. Accordingly “go” will be converted to “Is”.
33. (d) “A car” is object here so it will act as subject in converted form and there helping verb will be according to it, convert “doesn’t” to “is not”.

34. (b) “Tips” are object here so the respective helping verb according to it is “are”.
35. “Ghaza is object here and in converted form it will influence the helping verb, so does will be replaced by Art.
36. (c) “His elders” is object here so helping verb “does” will be replaced by “are”.
37. Changes ACTIVE „→ Subject + shall/will + V1 + object
PASSIVE „→ Object + shall/will + be + V3 + by +Subject
The book will be returned by Meenu.
38. (c) Changes ACTIVE „→ Subject + has/have + V3 + object
PASSIVE → Object + has/have + been + V3 + by +Subject
The tea has been poured by me.

3.9.4 Check Out

Assignment-28: Rewrite these sentences in the passive voice.

1. They will build a new bridge next year.
2. Brian Brody directed The Ultimate Space Adventure.
3. Madhuri will design her costume.
4. Someone found my wallet.
5. Someone built this house 180 years ago.
6. A thief stole my purse.
7. The police will arrest the robbers.
8. They produce bikes in this factory.
9. They serve lunch at one o'clock every day.
10. People throw away tones of rubbish every day.
11. They make coffee in Britain.
12. Someone stole Jim's bike lat night.
13. One of the students broke the window.
14. They will deliver my computer on Friday.
15. Madhavi invited Pavani to her birthday party.

Assignment-29

1. Did the problems you had to face discourage you? **[SSC CGL 2019]**
 - (a) Are you discouraged by the problems you had to face ?
 - (b) Were you discouraged by the problems you had to face?
 - (c) Are you being discouraged by the problems you had to face?
 - (d) Have you been discouraged by the problems you had to face ?

2. This beautiful story was written by Maya **[SSC CGL 2019]**
 - (a) Maya is writing this beautiful story
 - (b) Maya was writing this beautiful story
 - (c) Maya writes this beautiful story
 - (d) Maya wrote this beautiful story

3. They are going to open the shops at eleven O'clock. **[SSC CHSL T-1, 2018]**
 - (a) The shops must be opened at eleven O'clock.
 - (b) The shops were opened at eleven O'clock
 - (c) The shops are going to be opened at eleven O'clock.
 - (d) The shops have been opened at eleven o'clock.

4. The gardener has mowed the lawn. **[SSC CHSL T-I, 2018]**
 - (a) The lawn was mowed by the gardener.
 - (b) The lawn has been mowed by the gardener.
 - (c) The lawn is mowed by the gardener.
 - (d) The gardener has been mowed by the lawn.

5. Take this suitcase upstairs. **[SSC CGL T-I, 2018]**
 - (a) You must be taking this suitcase upstairs.
 - (b) This suitcase should be taken upstairs.
 - (c) Let this suitcase been taken upstairs.
 - (d) You are requested to take this suitcase upstairs.

6. An elephant may be helped even by an ant. **[SSC CGL T-I, 2017]**
- (a) An ant can even help a elephant.
 (b) An ant may even help a elephant.
 (c) Even ant may help an elephant.
 (d) Even an ant ought to help an elephant.
7. Please guide me. **[SSC CGL T-I, 2017]**
- (a) You are requested to guide me. (b) You have been requested to guide me.
 (c) You were requested to guide me. (d) You are being requested to guide me.
8. I saw him leaving the movie theatre. **[SSC CGL T-I, 2017]**
- (a) He was seen leaving the movie theatre by me.
 (b) Leaving the movie theatre he was seen by me.
 (c) He was seen to be leaving the movie theatre.
 (d) He had been seen leaving the movie theatre.
9. Varun ate six rotis at dinner. **[SSC CGL T-I, 2017]**
- (a) At dinner, six rotis were eaten by Varun.
 (b) At dinner, six rotis were eaten by Varun.
 (c) At dinner, Varun had eaten six rotis.
 (d) At dinner, Varun had eaten six rotis.
10. I adore movie stars. **[SSC CGL T-II, 2017]**
- (a) Adoring movie stars is being done by me.
 (b) Movie stars are adored by me.
 (c) I am in adoration of movie stars.
 (d) Movie stars are what that is adored by me.
11. His behaviour embarrasses me. **[SSC CGL T-II, 2017]**
- (a) His behaviour is embarrassing for me.
 (b) I am embarrassed by his behaviour.
 (c) I am myself embarrassed by his behaviour.
 (d) Embarrassing of myself is done by his behaviour.

12. I gaze at the stars from my balcony. **[SSC CGL T-II, 2017]**
- (a) Gazing at the stars has been done by me from the balcony.
- (b) The stars are being gazed at by me from the balcony.
- (c) The stars are gazed at from the balcony by me.
- (d) From my balcony I have gazed at the stars.
13. Does he egret drink tea? **[SSC CGL T-II, 2017]**
- (a) Is tea ever drunk by him?
- (b) Has drinking of tea ever been done by him?
- (c) He never does drink tea, does he?
- (d) Tea drinking has never been done by him isn't it?
14. I wrote a harsh letter to the editor. **[SSC CGL T-II, 2017]**
- (a) Writing of a harsh letter has been done by me to the editor.
- (b) I myself have written a letter which harsh to the editor.
- (c) The editor will get a harsh letter I wrote.
- (d) A harsh letter was written by me to the editor.
15. Do crows like to eat grain? **[SSC CGL T-II, 2017]**
- (a) Is liking of grain eating done by crows?
- (b) Is eating grain liked by crows?
- (c) Are grain eating liked by crows?
- (d) Is grain eaten by crows and liked?

3.10 DEGREE OF COMPARISON

There are three degrees of comparison. They are:

1. The Positive degree.
2. The Comparative degree.
3. The Superlative degree.

Examples

The Positive degree	: Rama is tall.
The Comparative degree	: Rama is taller than Gopal.
The Superlative degree	: Rama is the tallest boy in the class.

1. Positive Degree

Comparison of qualities of two or more persons or things can be done in two ways. We can use as ... as or so and a qualitative adjective to compare qualities of two or more things.

Example

- Vijay is not as tall as Ajay.
 - Ajay is not so intelligent as Vijay.
 - No other person in the class is as handsome as Ajay.
 - No other person in the class is so clever as Vijay.
- i. The adjectives used in the above sentences are said to be in the positive degree. In a number of common expressions, not so is used rather than not as.

Examples

- He's not so bad.
 - The roof is not so high.
- ii. Some quantitative adjectives can also be used in as ... as construction. Then quantity of something is compared to the quantity of something else.

Example

- We earn as much as they but they lead a better life.

2. Comparative Degree

We can also express the comparison of qualities of two or more persons or objects by using comparative form of an adjective and the word than after the adjective.

Examples

- Vizag is bigger than Kakinada.
- Plastic bags are more common than jute bags.
- Raja Reddy is more popular than other politicians.

i. Comparative Adjective

- To compare two people, places or things: add comparative adjective + than
- Two syllable adjectives: add -er or more
- More than two syllables: add more to make comparative form

- Comparative form of an adjective is formed by either addition of the suffix-ex to the adjective or the use of the word more before the adjective. Usually -er is attached to monosyllabic adjectives.

In the case of other adjectives, the word more/less is used.

Some irregular comparative forms of adjectives are

- i. The comparative elder is not followed by the word than.
 - She is elder of the two sisters.
 - He is elder to me by two years.
- ii. The words senior and junior can also be used to compare persons. But, they are followed by the preposition to.
 - Prasad is senior to me. (Not 'Prasad is senior than me')
 - She is junior to everybody here. (Not 'She is junior than everybody')

Comparative Adverbs

- i. To compare two actions: comparative adverbs + than
One syllable adverbs: add – er
Adverbs that end with –ly: add more

Examples

- Did cities grow more quickly after the Industrial Revolution?
- He hit the ball more powerfully than his competitor.

3. Superlative Degree

When a person or thing is superior to all the other persons or things under consideration, a superlative adjective is used. That is, we compare a person or thing with all the other things and say that person or the thing is superior to all those in some respect. A superlative adjective is formed either by affixing-est or by using the word most/least before the adjective. Note that the definite article is used before the superlative adjective.

Examples

- Anita was the best singer of the evening.
- These are the most expensive shoes I have ever bought.
- She is the youngest of all the graduates.

- i. Like comparatives, some adjectives have irregular superlative forms.

When the word most is used for emphasis not for comparison, it is not preceded by the definite article.

Examples

- This year, the results are most encouraging.
- That's a most interesting book.

3.10.1 Rules for Changing the Degrees of Comparison

1. Positive Degree

- a. An adjective without comparison is said to be in the Positive Degree.

Examples

- Gopi is a clever boy.
 - The rose is a beautiful flower.
- b. (i) Start the sentence with very few.
(ii) Add the subject.
(iii) Write the Positive Degree.

Very few + subject + verb + as + Positive Degree + as

Examples

- Very few kings are as noble as
 - Very few cities are as much populated as
 - Very few girls are as clever as
- c. When two persons or two things are compared:

Examples

- Hercules is not stronger than Atlas. [C.D]
 - Atlas is as strong as Hercules. [P.D]
- d. (i) Start the sentence with 'No other'.
(ii) Write the positive form so + P.D + as

Example- No other building in Madras is so tall as the L.I.C. building.

- (iii) Write the remaining part.

No other + subject + verb + so + P.D + as

No other building is so tall as

No other creature is so industrious as

Example- No other creature is so industrious as the ant.

Examples

1. Sakunthala is the best drama in Sanskrit. [S.D]
Sakunthala is better than any other drama in Sanskrit. [C.D]
No other drama in Sanskrit is so good as Sakunthala. [P.D]
2. Govind is the tallest man I have ever seen. [S.D]
Govind is taller than any other man I have ever seen. [C.D]
No other man I have ever seen is so tall as Govind. [P.D]

2. Comparative Degree

An adjective used to compare only two persons or two things is said to be in the Comparative Degree.

Examples

- Gopi is a clever than Murali.
 - The rose is more beautiful than Jasmine.
- i. Comparative Degree -er is added.
 - ii. In Comparative Degree more is added to positive degree.

Ex: Beautiful ... more beautiful

- iii. Add 'than;
- iv. Write any other.

Cleverer + than + any other _____

taller + than + any other _____

heavier + than + any other _____

more beautiful + than + any other _____

more difficult + than + any other _____

Examples

1. The L.I.C. building is the tallest in Madras. [S.D]
The L.I.C building is taller than any other building in Madras. [C.D]
2. The ant is the most industrious of all the creatures. [S.D]
The ant is more industrious than any other creature. [C.D]

3. Superlative Degree

An adjective used to compare more than two things or two persons and which indicates the highest degree of quality is said to be in the Superlative Degree.

- a. In (Superlative Degree if 'one of' is there).
 - i. Put the comparative degree
 - ii. Add 'most other'
- richer than + most other
prettier than + most other

Examples

1. Gopi is the cleverest of all the boys in the class. [S.D]
Gopi is cleverer than any other boy in the class. [C.D]
No other boy in the class is so clever as Gopi. [P.D]
2. America is one of the richest countries. [S.D]
America is richer than most other countries.[C.D]
Very few countries are as rich as America. [P.D]

3.10.2 Degrees of Comparison are Applicable only to Adjectives and Adverbs

1. Nouns and verbs do not have degrees of comparisons

He is the tallest student in the class.

The term "tallest" is an adjective.

Among the members of the group, Mr. Charan speaks most effectively.

The term "effectively" is an adverb.

All the terms used in the above examples are either adjectives or adverbs.

We have seen all the three Degrees of Comparison.

a. Models for Degrees of Comparison

Model -1: “The best”:

Examples

- i. This is the best hospital in this area.
No other hospital is as better as this one in this area.
No other hospital is as good as this one in this area.
- ii. Unemployment is the most serious problem facing our country.
Unemployment is more serious than any other problem facing our country.
No other problem facing our country is as serious as unemployment.

Model-2: “One of the best”:

Examples

- i. Calcutta is one of the largest cities in India.
Calcutta is large than most other cities in India.
Very few cities in India are as large as Calcutta.
- ii. Sachin Tendulkar is one of the best batsmen in the world.
Sachin Tendulkar is better than most other batsmen in the world.
No other batsmen in the world is as good as Sachin Tendulkar.

Model-3: “Not the best”:

Examples

- i. This is not the best solution to the problem.
This is not better than few other solutions to this problem.
Other solutions to this problem are not as good as this one.
 - ii. New York is not the largest city in America.
New York is not bigger than many other cities in America.
Few other cities in America are at least as large as New York.
2. Few adjectives and adverbs get their Comparative forms by simply getting “more” before them. And their superlative terms, by getting “most” before them.

3.10.3 Rules for Adjectives and Adverbs in Degrees of Comparison

Some Rules for adjectives and adverbs in degrees of comparison

1. By addition of 'er' and 'est' to the positive degree

Positive	Comparative	Superlative
bright	brighter	brightest
black	blacker	blackest
bold	bolder	boldest
clever	cleverer	cleverest
cold	colder	coldest
fast	faster	fastest
great	greater	greatest
high	higher	highest
kind	kinder	kindest
long	longer	longest
rich	richer	richest
small	smaller	smallest
strong	stronger	strongest
sweet	sweeter	sweetest
tall	taller	tallest
thick	thicker	thickest
young	younger	youngest

2. By addition of 'r' and 'st' to the positive degree ending in 'e'

Positive	Comparative	Superlative
brave	braver	bravest
fine	finer	finest
large	larger	largest
nice	nicer	nicest
noble	nobler	noblest
pale	paler	palest
simple	simpler	simplest
wise	wiser	wisest
white	whiter	whitest

3. When the positive ends in 'y' and has a consonant before it, we change 'y' into 'i' and then add 'er' and 'est'.

By deleting the final 'y' and adding 'ier' and 'iest'

Positive	Comparative	Superlative
costly	costlier	costliest
dry	drier	driest
easy	easier	easiest
happy	happier	happiest
heavy	heavier	heaviest
lazy	lazier	laziest
mercy	mercier	merciest
wealthy	wealthier	wealthiest

4. When the positive degree ends in a consonant with a vowel before it, we double the consonant & then add '-er' and '-est'

Positive	Comparative	Superlative
big	bigger	biggest
dim	dimmer	dimmest
fat	fatter	fattest
hot	hotter	hottest
thin	thinner	thinnest

5. By addition of '-er' and '-est' to the positive degree when it ends in '-y'

Positive	Comparative	Superlative
gay	gayer	gayest
grey	greyer	greyest

6. By placing 'more' and 'most' before the positive form

Positive	Comparative	Superlative
active	more active	most active
attractive	more attractive	most attractive

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beautiful	more beautiful	most beautiful
brilliant	more brilliant	most brilliant
careful	more careful	most careful
courageous	more courageous	most courageous
cunning	more cunning	most cunning
difficult	more difficult	most difficult
famous	more famous	most famous
faithful	more faithful	most faithful
important	more important	most important
proper	more proper	most proper
popular	more popular	most popular
splendid	more splendid	most splendid
suitable	more suitable	most suitable

Some adjectives do not follow any of the rules explained earlier. They are compared irregularly. Here are the different forms of such adjectives.

Positive	Comparative	Superlative
bad	worse	worst
evil	worse	worst
good	better	best
ill	worse	worst
far	farther	farthest
well	better	best
late	later	latest (time)
late	later	last (position)
little	less	least
much	more	most
many	more	most
near	nearer	nearest
old	older	oldest
old	elder	eldest

1. Difference in meaning with adjectives

Positive	Comparative	Superlative	Comment
Far	Farther Further	Farthest Furthest	Distance Distance or time
Late	Later Latter X	Latest X Last	
Old	Older Elder	Oldest Eldest	People and things People (family)

2. Special adjectives

Some adjectives have two possible forms of comparison (-er/-est and more/most).

Positive	Comparative	Superlative
clever	cleverer / more clever	cleverest / most clever
common	commoner / more common	commonest / most common
likely	likelier / more likely	likeliest / most likely
pleasant	pleasanter / more pleasant	pleasantest / most pleasant
polite	politer / more polite	politest / most polite
quiet	quieter / more quiet	quietest / most quiet
simple	simpler / more simple	simplest / most simple
stupid	stupider / more stupid	stupidest / most stupid
subtle	subtler / more subtle	subtlest / most subtle
sure	surer / more sure	surest / most sure

3. Irregular adjectives

Positive	Comparative	Superlative	Comment
good	better	best	
bad	worse	worst	
much	more	most	uncountable nouns
many	more	most	countable nouns
little	less	least	
small	smaller	smallest	

3.10.4 Tasks

TASK-31: Fill in the blanks with suitable degree of words

1. This summer is _____ than the previous summer. (hot)
2. Harsha is the _____ boy in the class. (intelligent)
3. Her doll is _____ than yours. (pretty)
4. Name the _____ city in the world. (big)
5. He is the _____ friend I have. (good)
6. Iron is _____ than any other metal. (useful)
7. Ram's work is bad, Hari's is _____, but Govind's work is the _____. (bad)
8. Silver is _____ than gold. (cheap)
9. The Eiffel Tower is _____ than the Qutub Minar. (tall)
10. Akbar was the _____ Mughal Emperor. (great)
11. Prevention is _____ than cure. (good)
12. Mathematics is the _____ subject. (difficult)
13. Apples are _____ than oranges. (Costly)
14. Mr. Sharma is the _____ person I have ever seen. (fat)
15. This suitcase is _____ than that one. (heavy)

Answers

1. hotter	2. most intelligent	3. prettier	4. biggest
5. best	6. more useful	7. worse, worst	8. cheaper
9. taller	10. greatest	11. better	12. most difficult
13. costlier	14. fattest	15. heavier	

TASK-32: Fill in the blanks with an adjective of the appropriate degree of comparison.

1. James is as _____ as his brother.
(a) tall (b) taller (c) tall than
2. Alexander was one of _____ kings who ever lived.
(a) great (b) the greatest (c) the greater
3. Martin is _____ than any other boy in the class.
(a) more industrious (b) the more industrious (c) the most industrious

4. Chennai is _____ than Mumbai.
(a) hot (b) hotter (c) hottest
5. Very few cities in Asia are as _____ as Hong Kong.
(a) big (b) bigger (c) biggest
6. This cathedral is the _____ in South India.
(a) big (b) bigger (c) biggest
7. An airplane flies _____ than birds.
(a) more fast (b) more faster (c) faster
8. Kitchen appliances have made cooking _____.
(a) more easy (b) more easier (c) easier
9. Very few countries are as rich _____ America.
(a) than (b) as (c) so
10. Some beans are at least _____ as meat.
(a) more nutritious (b) as nutritious (c) nutritious

Answers

1. James is as **tall** as his brother.
2. Alexander was one of the **greatest** kings who ever lived.
3. Martin is **more industrious** than any other boy in the class.
4. Chennai is **hotter** than Mumbai.
5. Very few cities in Asia are as **big** as Hong Kong.
6. This cathedral is **the biggest** in South India.
7. An airplane flies **faster** than birds.
8. Kitchen appliances have made cooking **easier**.
9. Very few countries are **as rich** as America.
10. Some beans are at least **as nutritious as** meat.

Task-33: Fill in the correct form of the words in brackets (comparative or superlative).

1. My house is (big)_____ than yours.
2. This flower is (beautiful)_____ than that one.

Unit-4

WRITING

4.0 OBJECTIVES

After completion of this module we should be able to understand

- Concepts of sentence structures and uses of phrases and clauses
- Basic concepts of a paragraph structure and strategies to develop a paragraph.
- Nature and style of sensible writing and describing objects, events, places.

4.1 INTRODUCTION

Writing is a form of communication that allows to put people their feelings and ideas on paper, to organize their knowledge and beliefs into convincing arguments, and to convey meaning through well-constructed text. In its most advanced form, written expression can be as vivid as a work of art. Written communication guarantees that everyone concerned has the same information. It provides a long-lasting record of communication for future. Written instructions are essential when the action called for is crucial and complex. To be effectual, written communication should be understandable, brief, truthful and comprehensive.

The Written Communication has lots of forms. The letter, the content of a letter, report, essays, situations and processes. The written communication means also the total of all written communications which intercede in a judicial person's activities regarding his interests and relations. The written communication of a judicial or physical person it's a type writing paper like application, address, offers, telegram, complaint and so on. We use written communication when oral communication is not possible, when there is no other way of communicating and the written communication is the most convenient.



But always, it's necessary the existence of a written form. For physical persons, the written communication is an occasional activity. For State bodies, institutions and all the other foundations, the communication is a continue activity, a work method, a modality of solving lots of problems. The correspondence made possible new relations in politic life, in commercial activity, in cultural world and also in quotidian existence. The correspondence respect a certain protocol and suppose as for emitter but also for receiver, the knowledge and the respect of some rules. It supposes also privacy. The written communication role in commercial activities of the society infuses the definition of correspondence but also its importance.

The correspondence is a written communication between two persons, institutions, received letters, send by an institutions, organism or person. This form of written communication is very important because it plays a big role in the activity of commercial societies. For approaching other problem of written communication, I'll talk in the following lines about some examples of written communication technology use of phrases with average length (15-20 words), of centered paragraphs for a single idea, of correct words, avoiding common expressing and bootless words. The written communication process a great number of advantages which should cater for like it's durability in rapport with oral communication and also a text can be seen or read by many persons.

The List of Written Communication Tools are

1. Written communication includes **written words, graphs, charts, reports, diagrams**, etc. It takes several forms such as letters, memos, notice, reports, etc.
2. Written messages are transmitted by the **mail, courier, telegraph, telex, fax, e-mail, notice boards and bulletin boards, newspapers and magazines**.
3. Facsimiles (Fax) and Electronic mail (e-mail) are the most used computerized media for transmission of the written message.

Merits of Written Communication

- It ensures transmission of information in uniform manner.

- It provides a permanent record of communication for future reference.
- It is an idealistic way of conveying long messages.
- It ensures little risk of unauthorized alteration in the message.
- It tends to be comprehensive, obvious and accurate.
- It is well suited to express messages to a large number of persons at the same time.
- It can be quoted as legal evidence in case of any disputes.

Demerits of Written Communication

- It is costly and time consuming.
- It becomes difficult to maintain privacy about written communication.
- It is rigid and doesn't provide any scope for making changes for inaccuracies that might have crept.
- It is very formal and lacks personal touch.
- It boosts red-tapism and involves so many formalities.
- It may be represented in a different way by different people.

4.2 SIGNIFICANCE OF WRITING

Writing skills are an important part of communication. Good writing skills allow you to communicate your message with clarity and ease to a far larger audience than through face-to-face or telephone conversations.

Definition: Writing is a medium of human communication that represents language and emotion with signs and symbols. It consists of letters or characters that serve as visible signs of ideas, words, or symbols.

Significance: Writing is the frame work of our communication. Good writing skills allow us to communicate our message with clarity and ease to a far larger audience than through face-to-face or telephone conversations. Writing plays an important role in our day to day life. We write in order to prepare notes, note down important points of heard and watched content, or even writing answers in the examination is considered as a skill of writing. We write letters to convey official information or sending emails includes framing the content in understandable written content.

Writing skills can be major criteria towards better academic position and greater educational success. Students should believe the importance of writing skills in helping them achieve academic

mastery. Every career path requires its workers to write notes, memos, emails, and reports, all of which require good writing skills to effectively communicate a certain set of ideas.

4.2.1 Spelling

1. **Spelling:** English spelling is notoriously difficult to master for native speakers and language learners as well. Because English developed from several different language families, and because it so easily absorbs new words from other languages even today, the language of English has many different ways to spell the same sound and many different ways to pronounce the same spelling.

Spelling, the art of correctly assembling words from their letters, is one of the essential components of successful writing. Being confident at spelling leads to confidence in all aspects of literacy. The ability to recognise the links between word of the same origin and understanding word relationships has been proven to aid comprehension skills.

Improving your English spelling is not impossible: with some patience, one can see a noticeable improvement in spelling by using some techniques as good spellers use.

i. Importance

- a. **Communication:** Good spelling facilitates communication, when the same rules applied for spelling words, we can all understand the text we read.
- b. **Comprehension:** Good spelling avoids confusion, which is a bit like sports. It is up to the person passing the ball to make sure the receiver actually catches it. The same is apply even in the case of spelling. If you write with intent and proper spelling, the receiver of that text can understand it.
- c. **Future:** Let us face it, to our surprise university applications and job resumes littered with spelling errors.
- d. **Computer error:** We cannot rely on computers to check our spelling. They get it wrong sometimes.
- e. **Distraction:** Poor spelling distracts the reader and they lose focus. It is hard to read a text for comprehension when it is full of spelling errors.
- f. **Impressions Last:** When you have people read something you have written and that text is full of spelling errors, it does not leave a good impression. We should care about the fundamental part good spelling plays in our language. Spelling is a part in part of English Grammar.

- g. Make it a Habit to Use a (good) Dictionary to Improve Spelling Skills:** Though memory aids are useful for memorizing difficult-to-spell words, good spellers never rely solely on memory: they depend on a reliable, up-to-date dictionary. There are many kinds of dictionaries available, both in print and online. Some of your instructors will have strong preferences about spelling conventions while others will accept any standard spelling from a standard dictionary.

An English dictionary designed for English language learners, such as Longman's Dictionary of Contemporary English or Oxford's Advanced Learner's Dictionary, can be very helpful for non-native speakers. These dictionaries give more information and often many more examples of words in context to help the students in order to select and use words appropriately.

- Be consistent about using British or American spellings in your writing.
- Create your own "difficult-to-spell" lists.
- Learn the standard pronunciations for frequently misspelled words.
- Use your computer spellchecker, but with caution.
- Become familiar with English spelling rules.

ii. Rules: The rules are meant for proper spelling-Writing skills.

- a. Adding a Suffix:** When a suffix (an ending) is added to a word, the word's spelling usually changes in the following ways

- **Rule-1: One-syllable Words**

When a suffix that begins with a vowel (-ed, -ing, -er, -est) is added to a one-syllable word that ends in a consonant-vowel-consonant pattern, the final consonant of the word is doubled.

Examples:

- plan + ed = planned
- swim + ing = swimming
- er = runner
- thin + est = thinnest

- **Rule-2: Multi-syllable Words**

When a suffix that begins with a vowel (-ed, -ing, -er, -est) is added to a multi-syllable word, the final consonant is doubled if (1) the word ends in a consonant-vowel-consonant pattern, and (2) the accent or stress is on the last syllable.

Examples:

- begin + ing = beginning
- control + ed = controlled

- **Rule-3: Words Ending in -e**

When a suffix that begins with a vowel (-ing, -ence, -able) is added to a word ending in -e, the word's final-e is usually dropped. However, if the suffix begins with a consonant (-ment, -less, -ly), the word's final -e usually remains.

- Examples:**
- move + ing = moving
 - note + able = notable
 - advertise + ment = advertisement
 - home + less = homeless

Some exceptions to this rule include the words argument, awful, courageous, judgement, manageable, noticeable, truly, and simply.

● **Rule – 4: Words Ending in –y**

For most words that end in -y, if the letter before the -y is a consonant, the -y becomes an -i when the suffix is added. However, if the letter before the -y is a vowel, the -y remains unchanged.

- Examples:**
- happy + ness = happiness
 - portray + ed = portrayed

Some notable exceptions are the words daily, laid, paid, and said. Also, anytime -ing is added to a word ending in -y, the -y is not dropped.

- Examples:**
- copy + ing = copying
 - delay + ing = delaying

● **Choosing Between –s and –es**

If a word ends in a consonant, the suffix -s, rather than -es, is usually added. However, -es is used for words ending in -ch, -sh, -ss, -x, or -z.

- Examples:**
- relax + es = relaxes
 - crutch + es = crutches

For words where the final -y is changed to an -i (See “Words Ending in -y” on page 1), -es is used.

- Examples:**
- fry + es = fries
 - marry + es = marries

When a word ends in -o, -es is used rather than -s.

- Examples:**
- do + es = does
 - echo + es = echoes
 - tomato + es = tomatoes
 - Some exceptions to this rule are the words pianos, radios, sopranos, and solos.

● **Choosing Between –ie and –ei**

The letter -e precedes the letter -i when the two letters create an “ay” sound, as in neighbor and weigh. In other cases, however, -i is always placed before -e unless the letter -c precedes them both.

- Examples:**
- vein, niece
 - friend, receipt

Furthermore, even when the letter -c precedes the -i and -e, the word should be spelled with an -ie if the letters combine with the -c to create a “shen” sound.

- Examples:**
- ancient, conscience
 - efficient, sufficient

iii. How to Improve Spell Ability

- a. Use creative strategies to remember the correct spelling of words.

For example: Remember that the -a's in separate are separated by an -r, and dessert has two -s's because you want two desserts.

- b. Refer to a dictionary, and always check essays with the computer's spellchecker.
- c. Watch out for homonyms.
 - These are often missed by the computer's spellchecker.
 - Some common homonyms are their/there/they're, it's/its, and hear/here.
- d. Keep a list of words you commonly misspell nearby when you write. Look over returned essays for misspelled words, and add them to your list.
- e. Test yourself on spelling using flashcards or other memorization techniques.
- f. Put the correctly spelled words that you have problems with somewhere you will see them every day: on a desk, on your mirror, in your car, etc....then you can remember the correct spelling instead of the incorrect tone.
- g. English learner should take care from the beginning how to write the spellings perfectly. Make it a habit.

4.3 TASKS (SSC CODES)

TASK (1-5): In the following questions, groups of four words are given. In each group, one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 1st Sit. 2010)

1. (a) collaborate	(b) comemorate	(c) colate	(d) choclote
2. (a) circuiteous	(b) clairvoyant	(c) chivelery	(d) cavelcade
3. (a) severety	(b) sovereignty	(c) superiorty	(d) serenity
4. (a) cummulative	(b) comemmorative	(c) accummulative	(d) accommodative
5. (a) benidiction	(b) besmerch	(c) beneficent	(d) benevolence

TASK (6–10): In the following questions, groups of four words are given. In each group, one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 2nd Sit. 2010)

6. (a) parapharnelia (b) parsimonious (c) peccadilo (d) peadiatrics
7. (a) measureable (b) manageable (c) marriagable (d) manoevrable
8. (a) tussel (b) tunnle (c) tumble (d) trable
9. (a) populus (b) pompuous (c) prelious (d) presumptuous
10. (a) impromptue (b) illustrious (c) illusery (d) impetous

TASK (11–15): In the following questions, groupsof four words are given. In each group, one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 1st Sit. 2011)

11. (a) agnostik (b) accomplice (c) advercity (d) acrimonous
12. (a) dysentery (b) momentary (c) cemetary (d) comentary
13. (a) ebullient (b) jubilant (c) imminent (d) tolerant
14. (a) malaign (b) arraign (c) asigne (d) degine
15. (a) harrassment (b) embarrasment (c) fulfilment (d) denoument

TASK (16-20): In the following questions, groups of four words are given. In each group, one word is correctly spelt. Find the correctly spelt word and mark your answer in the Answer Sheet.

(SSC CGL 2nd Sit. 2011)

16. (a) qestalt (b) imbrolios (c) ampasse (d) recondite
17. (a) hindrance (b) corespondence (c) insurence (d) assurance
18. (a) adversery (b) adulatory (c) advisory (d) arbitrary
19. (a) rogeu (b) colleague (c) diluge (d) atege
20. (a) malignant (b) impertinant (c) independant (d) neglegent

TASK (21-25): In questions, there are four different words out of which one is correctly spelt. Find the correctly spelt word.

(SSC CGL 1st Sit. 2012)

21. (a) pleintive (b) sustein (c) villain (d) alleince
22. (a) comissioner (b) commissioner (c) commisioner (d) commissioner
23. (a) aprentice (b) advertise (c) treatice (d) sencitive
24. (a) suprintendent (b) supirentendent (c) superintendent (d) superentendent
25. (a) symetry (b) symmitry (c) symatry (d) symmetry

TASK (26-30): In the following questions, four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 2nd Sit. 2012)

26. (a) digresion (b) digrestion (c) digression (d) degression
27. (a) presumpchous (b) presumtous (c) presumptuous (d) presomptous
28. (a) equalibirium (b) equilibrium (c) equilibriam (d) equilibirium
29. (a) vaterinerian (b) veterinarian (c) vetarinerian (d) veterinerian
30. (a) marrytime (b) marytime (c) maritime (d) meritime

TASK (31-35): In the following questions, four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 1st Sit. 2012)

31. (a) abracadebra (b) abracadebri (c) abracadabra (d) abrakadabra
32. (a) apparrel (b) aparell (c) aparel (d) apparel
33. (a) refferee (b) referre (c) referre (d) referee
34. (a) commissioner (b) comissioner (c) commissionar (d) comissionor
35. (a) etiquette (b) etiquette (c) ettiquette (d) ettiquete

TASK (36-40): In the following questions four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word.

(SSC CGL 2nd Sit. 2012)

36. (a) garulous (b) garrulous (c) garullous (d) garrullous
37. (a) marquee (b) markue (c) marquei (d) marquie
38. (a) puissant (b) puiscant (c) puiscent (d) puissant
39. (a) disconncting (b) disconserting (c) discuncerting (d) disconcerting
40. (a) exilarate (b) exhilerate (c) exsilarate (d) exhilarate

TASK (41-45): There are four different words out of which one is correctly spelt. Find the correctly spelt word.

(SSC Sub. Ins. 2012)

41. (a) pursuasive (b) persuasive (c) persuesive (d) persuasieve
42. (a) assendency (b) ascendency (c) ascendancy (d) ascendensy
43. (a) anathema (b) annathema (c) anathemaa (d) anathima

44. (a) quaint (b) qauint (c) quiant (d) quaaaint
 45. (a) effervesent (b) efervescent (c) effervescent (d) efferescent

TASK (46-47): There are four words out of which one is correctly spelt. Find the correctly spelt word. (SSC CHSL 2012)

46. (a) Manoeuvre (b) Manueover (c) Manuovere (d) Maneouvre
 47. (a) Venerable (b) Vanerable (c) Veneruble (d) Venarable

TASK (48-49): In the following questions, four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word and mark your answer in the Answer Sheet. (SSC CGL 2nd Sit. 2013)

48. The laboratories are _____ with high tech electronic gadgets.
 (a) equipped (b) equiped (c) eqiuped (d) equepped
 49. Software companies have ushered in _____ culture along with advanced technology.
 (a) foreing (b) foreegn (c) forigen (d) foreign

TASK (50-51): In these questions, four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word. (SSC CGL 1st Sit. 2013)

50. (a) Busyness (b) Bussyness (c) Business (d) Bussiness
 51. (a) Questionnaire (b) Questionnair (c) Questionaire (d) Questionnare

TASK (52-53): In the following questions, four words are given in each question, out of which only one word is correctly spelt. (SSC CGL 1st Sit. 2013)

52. (a) milennium (b) millenium (c) milleneum (d) millennium
 53. (a) ocaasion (b) occassion (c) occasion (d) occation

TASK (54-55): Four words are given in each question, out of which only one word is correctly spelt. Find the correctly spelt word and mark your answer in the Answer Sheet. (SSC CGL 1st Sit. 2013)

54. (a) conivance (b) connivanse (c) connivance (d) conivence
 55. (a) maintenannce (b) manteinance (c) maintenance (d) mentenance

TASK (56-60): In the following questions, four words are given. In each group, out of which only one word is correctly spelt. Find the correctly spelt word. (SSC Sub. Ins. 2013)

56. (a) rhythm (b) rhithim (c) rhythim (d) rhythm
 57. (a) indeganeous (b) indigenous (c) indegenous (d) indigeneous
 58. (a) saccarine (b) sacarine (c) sachharine (d) saccharine
 59. (a) revolutionize (b) revoulutionize (c) revvolutionize (d) revollutionize
 60. (a) disentry (b) dysentry (c) diesentry (d) dysentery

Answers

1. (a) Correct spellings of other words are : commemorate, collate and chocolate.
2. (b) Correct spellings of other words are : circuitous, chivalry and cavalcade.
3. (d) Correct spellings of other words are : severity, sovereignty and superiority.
4. (d) Correct spellings of other words are : cumulative, commemorative and accumulative.
5. (d) Correct spellings of other words are : benediction, besmirch and beneficent.
6. (b) Correct spellings of other words are : paraphernalia, peccadillo and paediatrics.
7. (b) Correct spellings of other words are : measurable : marriageable and manauverable.
8. (c) Correct spellings of other words are : tussle, tunnel and treble.
9. (d) Correct spellings of other words are : populous, pompous and perilous.
10. (b) Correct spellings of other words are : impromptu : illusory and impetus.
11. (b) accomplice (agnostic; adversity; acrimonious).
12. (a) dysentery (cemetary; momentary; commentary).
13. (b) jubilant (ebullient; imminent; tolerant).
14. (b) arraign (malign; assign; design).
15. (c) fulfilment (harassment; embarrassment; denouement).
16. (d) recondite (imbroglios, impasse, gestalt)
17. (a) hindrance (correspondence, insurance, assurance)
18. (c) advisory (adversary, adultery, arbitrary)
19. (b) colleague (rogue, dialogue, allege)
20. (a) malignant (impertinent: independent negligent).
21. (c) 22. (d) 23. (b) 24. (c) 25. (d) 26. (c) 27. (c) 28. (b) 29. (b) 30. (c) 31. (c) 32. (d) 33. (d)
34. (a) 35. (b) 36. (b) garrulous 37. (a) Marquee 38. (a) Puissant 39. (d) Disconcerting

40. (d) Exhilarate 41. (b) 42. (c) 43. (a) 44. (a) 45. (c) 46. (a) 47. (a) 48. (a) 49. (d) 50. (c)
51. (a) 52. (d) 53. (c) 54. (c) 55. (c)
56. (d) Rhythm = a strong regular repeated pattern of sounds or movements.
57. (b) Indigenous = native ; belonging to a particular place.
58. (d) Saccharine = sentimental
59. (a) Revolutionize = to completely change the way that something is done.
60. (d) Dysentery = an infection of the bowels that causes severe diarrhoea with loss of blood.

4.4 PUNCTUATION

Punctuation serves as a pause within a sentence, which is often necessary in order to emphasize certain phrases or words in order to help readers and listeners understand better what the writer or speaker is trying to convey. Thus, the basic function of punctuation is to place stress on certain sections of a sentence.

Punctuation marks are also used to divide text into words and phrases when necessary in order to better clarify the meaning of those words or phrases. On the contrary, using punctuation incorrectly can convey an entirely different meaning of a sentence from the one that was originally intended.

There are 14 punctuation marks that are commonly used in English grammar. They are the period, question mark, exclamation point, comma, semicolon, colon, dash, hyphen, parentheses, brackets, braces, apostrophe, quotation marks, and ellipsis. Following their correct usage will make your writing easier to read and more appealing.

1. Sentence Endings

Three of the fourteen punctuation marks are appropriate for use as sentence endings. They are the period, question mark, and exclamation point.

- i. The **period** (.) is placed at the end of declarative sentences, statements thought to be complete and after many abbreviations.
 - As a sentence ender: Jane and Jack went to the market.
 - After an abbreviation: Her son, John Jones Jr., was born on Dec. 6, 2008.
- ii. Use a **question mark** (?) to indicate a direct question when placed at the end of a sentence.
 - When did Jane leave for the market?

iii. The **exclamation point (!)** is used when a person wants to express a sudden outcry or add emphasis.

- Within dialogue: "Holy cow!" screamed Jane.
- To emphasize a point: My mother-in-law's rants make me furious!

2. Comma, Semicolon and Colon

The comma, semicolon and colon are often misused because they all can indicate a pause in a series.

i. The **comma** is used to show a separation of ideas or elements within the structure of a sentence. Additionally, it is used in numbers, dates and letter writing after the salutation and closing.

- **Direct address:** Thanks for all your help, John.
- **Separation of two complete sentences:** We went to the movies, and then we went out to lunch.
- **Separating lists or elements within sentences:** Suzi wanted the black, green, and blue dress.

Whether to add a final comma before the conjunction in a list is a matter of debate. This final comma, known as an Oxford or serial comma, is useful in a complex series of elements or phrases but is often considered unnecessary in a simple series such as in the example above. It usually comes down to a style choice by the writer.

ii. The **semicolon (;)** is used to connect independent clauses. It shows a closer relationship between the clauses than a period would show.

- John was hurt; he knew she only said it to upset him.

iii. A **colon (:)** has three main uses. The first is after a word introducing a quotation, an explanation, an example, or a series.

- He was planning to study four subjects: politics, philosophy, sociology and economics.

The second is between independent clauses, when the second explains the first, similar to a semicolon:

- I didn't have time to get changed: I was already late.

The third use of a colon is for emphasis:

- There was one thing she loved more than any other: her dog.

A colon also has non-grammatical uses in time, ratio, business correspondence and references.

3. Dash and the Hyphen

Two other common punctuation marks are the dash and hyphen. These marks are often confused with each other due to their appearance but they are very different.

- i. A **dash** is used to separate words into statements. There are two common types of dashes: en dash and em dash.
 - **En dash:** Slightly wider than a hyphen, the en dash is a symbol (-) that is used in writing or printing to indicate a range or connections and differentiations, such as 1880-1945 or Princeton-New York trains.
 - **Em dash:** Twice as long as the en dash, the em dash can be used in place of a comma, parenthesis, or colon to enhance readability or emphasize the conclusion of a sentence.

For example: She gave him her answer - No!

Whether you put spaces around the em dash or not is a style choice. Just be consistent.

- ii. A **hyphen** is used to join two or more words together into a compound term and is not separated by spaces. For example, part-time, back-to-back, well-known.

4. Brackets, Braces and Parentheses

Brackets, braces and parentheses are symbols used to contain words that are a further explanation or are considered a group.

- i. **Brackets** ([]) are the squared off notations used for technical explanations or to clarify meaning. If you remove the information in the brackets, the sentence will still make sense.
 - He [Mr. Jones] was the last person seen at the house.
- ii. **Braces** ({}) are used to contain two or more lines of text or listed items to show that they are considered as a unit. They are not commonplace in most writing, but can be seen in computer programming to show what should be contained within the same lines. They can also be used in mathematical expressions. For example, $2\{1+[23-3]\}=X$.
- iii. **Parentheses** () are curved notations used to contain further thoughts or qualifying remarks. However, parentheses can be replaced by commas without changing the meaning in most cases.
 - John and Jane (who were actually half brother and sister) both have red hair.

5. Apostrophe, Quotation Marks and Ellipsis

The final three punctuation forms in English grammar are the apostrophe, quotation marks and ellipsis. Unlike previously mentioned grammatical marks, they are not related to one another in any form.

i. An **apostrophe** (‘ ’) is used to indicate the omission of a letter or letters from a word, the possessive case, or the plurals of lowercase letters. Examples of the apostrophe in use include:

- **Omission of letters from a word:** I’ve seen that movie several times. She wasn’t the only one who knew the answer.
- **Possessive case:** Sara’s dog bit the neighbor.
- **Plural for lowercase letters:** Six people were told to mind their p’s and q’s.

It should be noted that, according to Purdue University, some teachers and editors enlarge the scope of the use of apostrophe, and prefer their use on symbols (&’s), numbers (7’s) and capitalized letters (Q&A’s), even though they are not necessary.

ii. **Quotations marks** (“ ”) are a pair of punctuation marks used primarily to mark the beginning and end of a passage attributed to another and repeated word for word. They are also used to indicate meanings and to indicate the unusual or dubious status of a word.

- “Don’t go outside,” she said.

Single quotation marks (‘ ’) are used most frequently for quotes within quotes.

- Marie told the teacher, “I saw Marc at the playground, and he said to me ‘Bill started the fight,’ and I believed him.”

iii. The **ellipsis** is most commonly represented by three periods (. . .) although it is occasionally demonstrated with three asterisks (***). The ellipsis is used in writing or printing to indicate an omission, especially of letters or words. Ellipses are frequently used within quotations to jump from one phrase to another, omitting unnecessary words that do not interfere with the meaning. Students writing research papers or newspapers quoting parts of speeches will often employ ellipsis to avoid copying lengthy text that is not needed.

- Omission of words: She began to count, “One, two, three, four...” until she got to 10, then went to find him.
- Within a quotation: When Newton stated, “An object at rest stays at rest and an object in motion stays in motion...” he developed the law of motion.

4.4.1 Task

TASK-61: Punctuate the following sentences by using, wherever necessary, capitals and all the punctuation marks you have learnt so far.

1. we had a great time in france
2. some people work best in the mornings
3. what are you doing next weekend
4. she has a heart problem
5. did you understand
7. we will arrive on monday morning
8. No he yelled.
9. He neither smiled spoke nor looked at me
10. Having lost all my money I went home

Answers

1. We had a great time in France.
2. Some people work best in the mornings.
3. What are you doing next weekend?
4. She has a heart problem.
5. Did you understand?
7. We will arrive on Monday morning.
8. No! he yelled.
9. He neither smiled, spoke, nor looked at me.
10. Having lost all my money, I went home.

TASK-62: Punctuate the following sentences by using, wherever necessary, capitals and all the punctuation marks you have learnt so far.

1. are they arriving tomorrow
2. do as i say
3. he asked me what time it was
4. wow what an absolutely fantastic idea

5. i recommend that you write a letter of complaint
6. you are much better now, aren't you
7. how extraordinary
8. what a hot day let's stay at home
9. who's there oh, it's you
10. 'how long will it take us to reach there' he asked

Answers

1. Are they arriving tomorrow?
2. Do as I say?
3. He asked me what time it was.
4. Wow what an absolutely fantastic idea!
5. I recommend that you write a letter of complaint.
6. You are much better now, aren't you?
7. How extraordinary!
8. What a hot day! Let's stay at home.
9. Who's there? Oh, it's you!
10. 'How long will it take us to reach there', he asked.

4.5 PARAGRAPH WRITING

Paragraph Structure: The paragraph is always the basic unit of an essay. It can perform the function of an introduction, an exposition, an explanation, a description, an analysis, a comparison, an argument, an illustration or a conclusion. It can be short or long according to the needs of an idea it takes up and the function it has to perform.

Definition: The paragraph is the unit of written composition next larger than sentence. This is a unit of composition in the sense that contains only one subject expressed in one more idea. Main idea is also known as the central idea. Single central idea around which a paragraph develops is supported by other subordinate ideas. A unity is a paragraph's essential features of a composition.

(or) It can be defined as unknown term by relating to a known term is called as the "paragraph". It can be uses the methods of comparison, contrast and synthesis, generally at the same time.

The paragraph can be classified into two types. These are

1. Topical paragraph and

2. Special paragraph

The topical paragraph develops a topic or an idea. Special paragraphs introduce, conclude or modulate the ideas developed in an easy.

“The paragraph is essentially a unit of thought, not of length. A succession of very short ones is as irritating as very long ones are wearisome”. - **H.W. Fowler**

4.5.1 Organising Principles of Paragraph Writing

Writing Paragraphs: Document means a piece of written, printed, or electronic matter that provides information or evidence or that serves as an official record. A document consists of a number of paragraphs to present the various aspects of intended information. A paragraph is a collection of related sentences dealing with a single topic. Learning to write good paragraphs will help you as a writer stay on track during your drafting and revision stages.

The Basic Rule: Keep one idea to one paragraph.

The basic rule of thumb with paragraphing is to keep one idea to one paragraph. If you begin to transition into a new idea, it belongs in a new paragraph.

It is essential to develop an ability to write effective paragraphs as all longer pieces of technical composition contain a series of related paragraphs. In long reports and proposals, paragraphs help to develop the core idea of a document. In fact, writing a technical message involves writing paragraphs. If the writing needs to be purposeful, precise and reader oriented, it is important to compose paragraphs that are clear, cohesive, concise and result oriented.

Elements of a Paragraph: Paragraph writing is a significant productive skill, integrating both composing and organising skills. In order to write an effective paragraph, a careful writing plan should be adopted to ensure proper length, unity, coherence, logical development, and organisation of ideas. Writing an effective paragraph can be involves adopting a careful writing plan that ensures the following:

1. Proper length

2. Unity

3. Coherence and

4. Logical development of ideas.

1. Proper Length: Effective paragraphs vary in length. Paragraph length should be adjusted according to the needs and requirements of a readers, subject matter, wring, style, variety, and emphasis. A paragraph is a part of composition in moderate length ranging from 2 to 10 lines.

If you want to achieve clarity and conciseness in your writing, you have to limit the length of a paragraph, which should be decided depending on the kind of the readers you have in mind.

2. **Unity:** A unity should be maintained within a paragraph. Only one idea should be developed and every sentence in the paragraph should be used to support and expand that idea. Deviations or useless digressions should be avoided. Unity means oneness of purpose.

When applied to paragraph structure. It can be implied that a paragraph develops around a single idea and every detail included in a paragraph should develop this idea. To maintain unity in a paragraph, one main thought should be expressed in a paragraph. An impressive paragraph should be well arranged, compact and organized in a proper way.

It should have a proper beginning, middle and end. First sentence should state the subject of the paragraph. The next group of sentences should Marshall the evidence in support of describing the subject. The final part of the paragraph provides a conclusion or summary of what has been said in the paragraph or it provides a transition to the next paragraph.

3. **Coherence:** Coherence means holding together to form a whole. In writing, it means that all the sentences in a paragraph should be interlinked. Coherence is the method that makes the paragraph easily understandable to readers. Unity and coherence are the passwords of good writing. Coherence and unity can be maintained by using pronouns, repetition of sonic keywords, using connectives and logical development of the idea.
- a. **Pronouns:** A pronoun is used as a substitute for a noun, and this always serves as a reminder of the noun in the earlier sentence. Thus, it maintains continuity of thought.
- b. **Repetition:** The repetition of some key words or phrases in the paragraph serves not only to make the paragraph coherent but also to emphasize the author's point of view. But repetition should be used with care, as too much of it can make the paragraph monotonous.
- c. **Connectives:** These are words or phrases which usually occur at the beginning of a sentence to show the relationship between the new sentence and the preceding sentence. Some of these connective are 'and', 'but', 'or', 'therefore', 'next', 'further', 'besides', 'similarly', 'on the other hand', 'secondly', etc.

Coherence is the trait that makes the paragraph easily understandable to a reader. You can help create coherence in your paragraphs by creating logical bridges and verbal bridges.

Logical Bridges

- The same idea of a topic is carried over from sentence to sentence.
- Successive sentences can be constructed in parallel form.

Verbal Bridges

- Key words can be repeated in several sentences.

- Synonymous words can be repeated in several sentences.
 - Pronouns can refer to nouns in previous sentences.
 - Transition words can be used to link ideas from different sentences.
4. **Topic Sentence (Logical Development of Ideas):** The topic sentence expresses the main idea of a paragraph and the remaining sentences support it. In other words, the topic sentence serves as a headline for the paragraph and other sentences supply the story.

A topic sentence is a sentence that indicates in a general way what idea or thesis the paragraph is going to deal with. Although not all paragraphs have clear-cut topic sentences, and despite the fact that topic sentences can occur anywhere in the paragraph (as the first sentence, the last sentence, or somewhere in the middle), an easy way to make sure your reader understands the topic of the paragraph is to put your topic sentence near the beginning of the paragraph. This is a good general rule for less experienced writers, although it is not the only way to do it. Regardless of whether you include an explicit topic sentence or not, you should be able to easily summarize what the paragraph is about.

Some methods to make sure your paragraph is well-developed

- Use examples and illustrations.
- Cite data (facts, statistics, evidence, details, and others).
- Examine testimony (what other people say such as quotes and paraphrases)
- Use an anecdote or story
- Define terms in the paragraph
- Compare and contrast
- Evaluate causes and reasons
- Examine effects and consequences
- Analyze the topic
- Describe the topic
- Offer a chronology of an event (time segments)

4.5.2 Paragraph Development Techniques and Methods

In order to build unity of a paragraph, the entire paragraph may be developed by using certain devices. Popular devices to bring unity in a paragraph are the:

1. Inductive method
2. Deductive method
3. Chronological method
4. Spatial method and
5. Linear method.

1. **Inductive Method:** To supporting facts or details are given one after another leading to the final sentence having the main idea. Here, the author arranges the matter logically, includes examples and specific details and gives a conclusion in the form of a topic sentence. A paragraph which is developed by inductive method contains the topic sentence at the end.

Example: The Indian farmer today is provided with seeds which are not only 'high yielding', but also, thanks to the work of scientists in our agricultural universities and research institutions, resistant to drought and disease.

He is encouraged to use fertilizers to ensure an adequate supply of nourishment to his crops. In areas where rains are scanty, irrigation canals are dug to bring water to the fields. Tractors, harvesters and other machines have taken the place of the primitive implements used by farmers since the dawn of civilization. In these, and many other ways, there has been an impressive progress in our agriculture, which is often referred to as the green revolution.

2. **Deductive Method:** This is reverse of the inductive method. In this method, the core idea, which is the topic sentence, is stated in the beginning and then explained or amplified or supported with examples or details in the sentences that follow. Here, the writer begins with the topic sentence and goes on to record the supporting facts.

Example: Old age has always been thought of as the worst age to be: but it is not necessary for the old to be unhappy. With old age should come wisdom and the ability to help others with advice wisely given, the old can have the joy of seeing their children making progress in life: they can watch their grandchildren growing up around them: and, perhaps best of all, they can, if their life has been a useful one, feel the happiness of having come through the battle of life safely and of having reached a time when they can lie back and rest, leaving others to continue the fight.

3. **Chronological Method:** In chronological order of facts, events or even ideas are discussed in the order in which they occurred or came to one's mind.

Development of the matter is made in terms of time, and importance is given to the date and time while organizing the sentences. This method can be used in explaining a process or in narrative writing.

Example: In the relatively short span of sixty years, there has been an incredible evolution in the size and capabilities of computer. Today, computer chips are smaller than the tip of your finger nail and have the same capabilities as the room-sized machines of years ago.

The first computer was developed around 1945. They were so large that they required special air-conditioned rooms. About twenty years later, in the 1960s, desk-sized computers were developed. This represented a gigantic advance. Before the end of that same decade, however, a

third generation of computer, which used simple integrated circuits and which were even smaller and faster, had appeared. In 1971, the first microprocessor, less than one square centimetre in size, was developed. Today modern microprocessors contain as many as 10 million microprocessors doubles every eighteen months.

4. **Spatial Method:** In the spatial method of paragraph development, items are arranged according to their physical position or relationship. This method refers to space or layout in which setting is described in some son of order based on location.

It helps the readers to visualize what they see and in better understanding the physical qualities of the subject matter. In spatial arrangement, the writer can arrange the matter from near to far, from far to near, from outside to inside, or from less prominent to the more prominent.

Example: She led me into a cold dark room, rough and very gloomy, although with two candles burning. I took little heed of the thing in it, though I marked that the window was open. That which I heeded was an old man, very stem and comely, with death upon his countenance: yet not lying in his bed, but set upright in a chair, with a loose red cloak thrown over him.

Upon this his white hair fell, and his pale fingers lay in a ghastly fashion, without a sign of life or movement, or of the power that kept him up: all rigid, calm, relentless. Only in his great black eyes, fixed upon me solemnly, all the power of his body dwell, all the life of his soul was burning.

4.5.3 Types of Paragraphs

1. **Descriptive:** A paragraph in which you describe a scene or a thing or a person. The aim should be to give a valid picture of the object so that the reader may be able to visualize it before his mind's eye. Only significant details should be given, otherwise the picture will be blurred and confused.
2. **Narrative:** In such a paragraph you narrate an incident or an anecdote, giving significant developments in the progress of the event in a coherent manner.
3. **A Paragraph of Definition:** In such paragraphs don't waste words and be objective, scientific and dispassionate in defining things.
4. **A Paragraph of Similarities:** When you compare two things, you have to bring out the similarities between them in a convincing manner.
5. **A Paragraph of Differences:** When you contrast two things, the differences have to be stated in an explicit manner. The coherence words, but whereas, on the other hand, on the contrary, etc; will be useful for this purpose.
6. **A Paragraph of Comparison and Contrast:** Sometimes in the same paragraph the similarities, as well as the differences between two persons or things may be brought out.

7. **A Paragraph of Reasoning:** On the basis of certain data or facts you try to arrive at a certain conclusion by the process of reasoning.
8. **Statement of Facts and Figures:** There are paragraphs which do not belong to any of the above categories and are mainly concerned with giving facts and figures in a clear and emphatic manner.

4.5.4 Tasks

TASK-63: A House on Fire

It was midnight. I was sleeping soundly in my room. All at once the cries of 'Fire! Fire!' awoke me. I sprang out of my scene of fire. A fire had broken out in a three-strayed building. I found the house was all ablaze. As a strong wind was blowing, the fire soon spread. Flames rose up to the sky.

The inmates of the house were crying. It was a terrible sight. We felt that we were undone. The air was thick with smoke. The atmosphere was suffocating. The sparks were flying all around. The heat was intense. The topmost storey was burnt to ashes before the arrival of the fire brigade.

TASK-64: The Scene at a Bus Stop

The scene at a Bus-Stop is interesting. There is great hustle and bustle before the arrival of a bus. The passengers belong to different sections of the society. Most of them can be seen chatting, and they are very conscious of their luggage. The vendors attract customers. There is a great rush at tea-stalls. Young boys and girls are busy with their cell phones. As soon as the bus comes, the passengers run into it to get a seat. At the departure of the bus, friends of the exchange farewells. Then the bus-station for few minutes seems deserted.

TASK-65: Beggar

Beggars are common sight these days. He leads a very hard life. Nowadays even small children are made beggars everywhere. Some of them are used to begging, it has become easy way of earning money. Those who are physically fit also are seen as beggars. Poverty and illiteracy are main reasons for the increase of beggars.

TASK-66: Students and Politics

Students are the backbone of a nation. They are the architects of modern India. Whether students should participate in politics or not is a highly controversial issue. Some say that students should take active part in politics. So, that they can occupy important positions in the Syndicates and Senates of the Universities. But others say, it hinders their progress in academic matters. So, much can be said on both sides.



Students must understand what is happening in the country politically, economically, socially and religiously. But they should not get involved in active political organizations. If they have political affiliations, they become more puppets in the hands of the elderly cunning and clever politicians. So, it is better for students to confine to their studies and strive for academic excellence and intellectual enlightenment.

TASK-67: Importance of English Language in Day to Day Life

Nowadays English language plays a vital role in our day to day life. After office automation and the introduction of computers, most of the people have to depend only on English. It is an international language through which we can see the world. For internet, computer utilization, fax machines, telecommunications, we need mostly English. It is a means of international communication at all levels.

Most of the standard books on computer knowledge, software, hardware, engineering, medicine, history, literature, geography, science, commerce and arts are only in English. Next to Chinese, English is spoken by the largest number of people in the world. It is the link language in the amity of the world nations. Journals and magazines of English show the popularity of English even in the Press of our country.

When the whole world has become a global village, the significance of English has increased considerably. All kinds of ideas, shades of meaning can be beautifully expressed in English. Any unpleasant idea can be conveyed in a pleasant and less offensive manner. English is continued in our schools, offices, colleges and universities because the employment potential is very high. It is a world language both by virtue of the number of words and power of expression. Thus, English is an important language in our day to day life as it is very useful not only for getting jobs but also for acquiring communication skills and information.

4.6 OUTCOMES

1. Produce coherent and unified paragraphs with adequate support and detail;
2. Produce appropriate vocabulary and correct word forms;
3. Use a variety of accurate sentence structures and use language as an effective tool of communication.
4. Write a paragraph with a topic sentence, support, and concluding sentence;

4.7 CHECK OUT

Assignment-1 : Use appropriate punctuation marks in the following sentences.

1. we had a great time in france the kids really enjoyed it
2. what are you doing next weekend
4. mother had to go into hospital she had heart problems
5. did you understand why i was upset
6. it is a fine idea let us hope that it is going to work
7. We will be arriving on monday morning at least I think so
8. a textbook can be a wall between teacher and class
9. the girls father sat in a corner
10. in the words of murphys Law anything that can go wrong will go wrong

Assignment-2: Punctuate the following sentences

1. he is not really nice looking and yet he has enormous charm
2. when i was a child i could watch tv whenever I wanted to
3. it is a fine idea let us hope that it is going to work
4. mrs madhav who was sitting behind the desk gave me a big smile
5. we were believe it or not inhuman towards animals
6. i don't like this one bit said jwala
7. have you met our handsome new financial director
8. if you ever come nizambad come and see me

9. anil the student in the first bench is proud of his wealth
10. looking straight at her he said I cant help you.

Assignment-3: Punctuate the following sentences.

1. reena said to the servant what have you been doing since morning the servant said madam i have been walking the dog said go at once to the kitchen what have to do there the servant asked.
2. alas said her mother you have eaten all that i had mother do not worry i can manage without food but what about you said shaurya you have not eaten too.
3. great god i would rather be a pagan than such a christian wrote wordsworth.
4. by god I have not done it.
5. good heavens I have lost my purse.
6. good morning suhani have you slept well said her mom you do not appear to have slept well asked suhani in turn you were awake when I got up to turn off the air conditioner.
7. i cannot go she said because rain has not stopped so far.
8. they are well now arnav said they can go but it is drizzling how can they go said my daughter pearl.
9. do not desire O my young friend to get what you cannot get said the fisherman.
10. the king said to the jester how dare you touch the magic thing meant for me be ready to face the consequences shedding tears the jester said I am sorry no use crying said the king I am crying for you my lord replied the jester why asked the king.
11. you expect every body the slave said to the master, to flatter you all the time why is it so.
12. the queen cried help help.
13. advise me deep said how can i solve this problem.
14. no said malini i have not heard this news.
15. young and old good and bad all must die.
16. the names of the students are rohit, meenakshi, rahul, sona and ankur.
17. oh dear i am tired today.
18. o yes i like singing you like dancing.
19. some are born great some achieve greatness.
20. you fools how dare you enter my room without permission.

21. she wouldnt go there my son.
22. for god's sake please help me.
23. ah i am undone my friends have ruined me.
24. alas what a fool i am he has after all cheated me.
25. the words the prohibited area were written on the wall.

Assignment-4: Write a paragraph on each of the following subjects

1. An accident. (Narrative)
2. A patriot.(Definition)
3. The growth of virtue and the growth of a plant. (Similarity)
4. Town life versus country life. (Contrast)
5. Why population should be controlled? (Reasoning)

Assignment-5: Write a short paragraph on each of the following topics:

1. A Rainy day	2. A leader
3. Your Parents	4. Your college
5. Your Ambition & Goal	6. Your favorite picnic spot
7. Present day politics	8. Use of English

Assignment-7: Describe the following in not less than 250 words of your own on the following topics.

1. Effects of Pollution
2. The Changes in the Ocean
3. The Civil Rights Movement and the Effects
4. Causes and Effects of the Popularity of Fast Food Restaurants
5. Internet Influence on kids
6. Popularity of Sports in US
7. Effects of professional sport on children
8. Alcohol and nervous system
9. Domestic violence
10. Growing up with a single parent

Assignment-8: Describe the following in not less than 300 words of your own on the following topics.

1. The influence of my favorite movie/book on me.
2. How war in Syria effects US.
3. What impact smoking has on a pregnant woman.
4. Telling lies. The cause and effect.
5. The causes of divorces.
6. What is the impact of genetically engineered food.
7. What causes a tsunami.
8. What causes racism.
9. How globalization affects economy.
10. What was your cause of choosing your major/your college.
11. The effects of credit culture.
12. What are causes and effects of terrorism.
13. What makes a person to be a good teacher/mother/doctor/artist.
14. What are the effects of home schooling.
15. What causes heart problems?

3. This is the (interesting) _____ book I have ever read.
4. Non-smokers usually live (long) _____ than smokers.
5. Which is the (dangerous) _____ animal in the world?
6. A holiday by the sea is (good) _____ than a holiday in the mountains.
7. It is strange but often a coke is (expensive) _____ than a beer.
8. Who is the (rich) _____ woman on earth?
9. The weather this summer is even (bad) _____ than last summer.
10. He was the (clever) _____ thief of all.

Answers

1. My house is bigger than yours.
2. This flower is more beautiful than that one.
3. This is the most interesting book I have ever read.
4. Non-smokers usually live longer than smokers.
5. Which is the most dangerous animal in the world?
6. A holiday by the sea is better than a holiday in the mountains.
7. It is strange but often a coke is more expensive than a beer.
8. Who is the richest woman on earth?
9. The weather this summer is even worse than last summer.
10. He was the cleverest thief of all.

3.11 OUTCOMES

1. Demonstrate an understanding of more complex grammatical structures in conversations and discussions. In addition, students will begin to initiate and sustain conversations and discussions.
2. Some linguists use the terms concord and agreement interchangeably, although traditionally, concord is used in reference to the proper relationship between adjectives.
3. They are used to indicate modality allow speakers to express certainty, possibility, willingness, obligation, necessity, ability.
4. Tense is the form taken by a verb to indicate time and continuance or completeness of action and the Active vs. passive; verbs and objects with the passive; reasons for using passive.

Unit-5

SOFT SKILLS

5.0 OBJECTIVES

After completion of this module we should be able to understand

- Understand the SWOC analysis.
- To know the Attitude and Emotional Intelligence in Soft Skills.
- Discuss about Telephone Etiquette and Interpersonal Skills.

5.1 INTRODUCTION

Soft skills include any skill that can be classified as a personality trait or habit. Interpersonal skills and communication skills are more specific categories of soft skills that many employers look for in job candidates.

There are many soft skills that you could list on your resume or cover letter. Some of the most sought after soft skills include:

- Effective communication skills
- Teamwork
- Dependability
- Adaptability
- Conflict resolution
- Flexibility
- Leadership
- Problem-solving
- Research
- Creativity
- Work ethic
- Integrity

Broad types of soft skills, which you can read more about below, include:

- Communication
- Problem-solving
- Creativity
- Adaptability
- Work ethic

Soft skills relate to how you work. Soft skills include interpersonal (people) skills, communication skills, listening skills, time management, and empathy, among others. Hiring managers typically look for job candidates with soft skills because they make someone more successful in the workplace. Someone can be excellent with technical, job-specific skills, but if they can't manage their time or work within a team, they may not be successful in the workplace.

5.1.1 How it Works

Soft skills are also important to the success of most employers. After all, nearly every job requires employees to engage with others in some way.

Another reason hiring managers and employers look for applicants with soft skills is that soft skills are transferable skills that can be used regardless of the person's job. This makes job candidates with soft skills very adaptable employees.

Soft skills are particularly crucial in customer-based jobs. These employees are in direct contact with customers. It takes several soft skills to be able to listen to a customer and provide that customer with helpful and polite service.

5.1.2 Importance

Soft skills play an important role in resume writing, interviewing and finding success in communicating with people at work and in other areas of your life. For example, as you look for jobs, you may find that many employers list specific soft skills on their job posts in the 'required' or 'desired' sections. A job posting for a Human Resources associate may list 'attention to detail' as a desired trait, while a job for a Marketing Specialist could list 'leadership' and 'great communication skills'.

Soft skills are often transferable across careers and industries. As a result, you may find that you possess many of the required traits even if you don't match the exact profile in a job description. As you search for jobs, pay special attention to posts calling for candidates with soft skills or traits you possess. Even if the job title isn't a great fit, you may find that the description makes sense for you. As you progress through the job search process, keep your resume updated to reflect soft skills most relevant to the jobs you're applying for.

You may also find it helpful to consider how you might showcase your soft skills in an interview. While you can display some skills like good communication, you may consider weaving others into your answers to interview questions. For example, you might talk about your problem-solving skills when answering a question like, "Tell me about a time you overcame an obstacle."

If the employer prompts you to provide references, think of those that can speak to examples that verify your soft skills and other strengths.

5.1.3 Soft Skills List and Examples

Because soft skills are often innate personality traits, you already possess several marketable soft skills that will help you get and be successful in a job. Though many are formed with your personality, soft skills can also be learned and developed with practice and experience. Here are few examples of key soft skills and how those skills can enhance your performance during and after the job search process.

- 1 **Communication:** Effective communication skills will be helpful through the interview process and in your career. The ability to communicate involves knowing how you should speak to others in different situations or settings. For example, when working with a team on a project, you may need to communicate when you believe that an idea or process is ineffective. Finding a way to tactfully and skilfully disagree with others on the job without creating conflict is an important skill that employers value.

Related Communication Skills

- Active listening
 - Confidence
 - Conflict resolution
 - Organisation
2. **Problem-Solving:** Employers highly value people who can resolve issues quickly and effectively. That may involve calling on industry knowledge to fix an issue immediately, as it occurs, or taking time to research and consult with colleagues to find a scalable, long-term solution.

Related Problem-Solving Skills

- Creativity
 - Research
 - Risk management
 - Teamwork
3. **Creativity:** Creativity is a broad ability incorporating many different skill sets including other soft skills and technical skills. Employees with creativity can find new ways to perform tasks, improve processes or even develop new and exciting avenues for the business to explore. Creativity can be used in any role at any level.

Related Creativity Skills

- Curiosity
 - Learning from others
 - Open-mindedness
 - Taking calculated risks
4. **Adaptability:** How easily do you adapt to changes? If you're working in a technology-driven field or start-up, adaptability is especially important. Changes in processes, tools or clients you work with can happen quickly. Employees who are capable of adapting to new situations and ways of working are valuable in many jobs and industries.

Related Adaptability Skills

- Consistency
- Organisation
- Optimism
- Flexibility

5. **Work Ethic:** Work ethic is the ability to follow through on tasks and duties in a timely, quality manner. A strong work ethic will help ensure you develop a positive relationship with your employer and colleagues even when you are still developing technical skills in a new job. Many employers would rather work with someone who has a strong work ethic and is eager to learn than a skilled worker who seems unmotivated.

Related Work Ethic Skills

- Attention to detail
- Integrity
- Persistence
- Time management

5.1.4 Improvement of Soft Skills

Many employers value strong soft skills over technical skills because they are often personality traits developed over a lifetime and can be difficult to teach. That being said, anyone can improve their soft skills with experience and practice. For example, you may find that an employer is seeking someone skilled in conflict resolution. While you may be naturally skilled at effective communication, it may help to practice working through conflicts with others.

There are several ways you can help improve your soft skills.

1. **Pick a Soft Skill you Want to Improve and Practice it Consistently:** You can improve any soft skill if you make it a practice. Most soft skills are a matter of routine. For example, you can practice dependability, both on the job and at home, by improving punctuality (showing up to work or events on time or early) and starting on projects at work earlier so you can complete them ahead of schedule.
2. **Observe and Mimic the Positive Soft Skills you see in Others:** There are likely professionals you know or work with who have strengths in various soft skills. You may be able to develop integral soft skills by observing the practices of others and incorporating them into your own daily routine. You may find, for example, that effective communicators often write down notes when others are talking during meetings. This helps them organise their thoughts so they are prepared to ask and answer important questions. This is also an active listening practice that may be good to utilise as part of your own work.
3. **Set Milestone Goals to Improve Soft Skills:** Set specific, measurable goals by carefully reading your performance reviews at work or asking trusted friends and colleagues for

constructive criticism. This can help you to identify key areas of improvement for goal setting and areas of strength to highlight on your resume and in interviews. You can prioritise which soft skills to work on based on those that you need to get a certain job or move up in a career you already have.

4. **Find Resources to help you Learn:** You can find several resources to help you learn tactics for improving the soft skills you want to focus on like books, podcasts or online classes. While some require payment, many are free of cost and can be accessed at any time. You might try out few different types of resources to see which are best for your learning style.

5.1.5 Highlight your Soft Skills

Showcasing your soft skills can be useful when looking and applying for jobs, in an interview or in your daily work. If you are looking for work, you can highlight your soft skills on your resume and in your cover letter.

1. Soft Skills for Resumes

Your resume should include a section that lists your relevant hard and soft skills. When deciding which skills to put on a resume, consider what skills are called for in the job post and those you possess that can be verified by your references.

Here's an example of what your resume skills section could look like.

Technical Skills: Learning technology

- Mac OS
- Windows OS
- Blackboard

Additional Skills: Strong communication skills

- Empathic
- Passionate and motivated

2. Soft Skills for Cover Letters

Your cover letter should include at least one well-developed and relevant soft skill that provides context as to why you're a good fit for the job. You can do this by explaining how your soft skill aligns with the company's goals, values and/or mission.

Your use of a soft skill in your cover letter may look similar to the following example.

In my previous role, I displayed both passion and creativity that were highly regarded by my colleagues and managers. For example, I successfully proposed and put together a team to work on a marketing campaign targeting a younger demographic for our product. From start to finish, my team members and managers praised my ability to positively work with my team to help establish a new interest in our company.

While hard skills are important for completing technical tasks, strong soft skills will make you the kind of worker employers want to hire, retain and promote. It's important to highlight the soft skills you have at all stages of the job search process and continue developing those skills once you find the job you're looking for.

5.2 SWOC

SWOC analysis is used in business or firms whereas SWOT Analysis is done for an Individual.

SWOC analysis is a strategic planning method used to research external and internal factors which affect company success and growth. Firms use SWOC analysis to determine the strengths, weaknesses, opportunities, and challenges of their firm, products, and competition.

SWOC analysis is relevant to SWOT analysis. SWOT examines strengths, weaknesses, and opportunities. But it focuses on threats rather than challenges. The two are similar but they do have their differences, which is why firms may choose to use SWOC or SWOT.

How to use SWOC analysis

When beginning a SWOC analysis of a product or firm, you must go through each section individually. Starting with...

Strengths: Strengths are features which benefit the company, such as product sales. For example, sales of Product X is growing 3% each month. But Product Z is seeing a 3% monthly decline. In this case, Product X, which brings in more revenue, is where the firm should focus their efforts to continue profit growth.

Strengths can also be more abstract. If you've decided to build a product because you know you can offer it cheaper than your competitor, this is an overall strength of the company. Or if you have records of better customer service via positive reviews online, this is a strength you can use to your advantage. Strengths can be documented through statistics, customer service reviews, and surveys.

Weaknesses: The next step is noticing weaknesses. Weaknesses cause a company to struggle. For example, if you've decided to target a younger audience but your packaging is still dedicated to senior citizens, the new consumer base will struggle to connect to the product. This will show in reports, and cause an internal struggle within the company.

Weaknesses need to be documented and acknowledged to handle them promptly before it spreads and leads to overall destruction.

Opportunities: Opportunities are often external. They provide ways for firms to grow successfully. For example, a digital marketing agency helps a client develop an effective email marketing

strategy. The agency has been thinking of doing graphic design so they offer a reduced fee to re-do the existing client's logo. This is an opportunity for the agency to develop a new section of their business without having to devise a marketing plan because they can reach out to existing clients.

Being open to opportunities, knowing when to look for them, and how to act on them can boost a firm's success. Documenting past opportunities can help create a plan on how to capitalize future opportunities.

Challenges: The final step in SWOC analysis is acknowledging challenges. This is how SWOC and SWOT analysis differ because SWOT analysis focuses on threats. Challenges are similar to threats but have the chance of being overcome. Threats have the potential to damage a firm, but challenges often already exist and need to be handled appropriately.

This step is crucial. If you've already examined the strengths, weaknesses, and opportunities but skip assessing challenges, you may be on the path to failure. Challenges can greatly undermine any progress you've made, so by ignoring this step, you've opened yourself up to potential failure.

When to use SWOC analysis

Use SWOC analysis whenever you have a business idea. Whether it's starting a brand new business, a product, or a product upgrade. You can do SWOC analysis annually, quarterly, or monthly; it depends on what product or idea you're using SWOC analysis for.

But if you choose to do SWOC analysis, remember it's a great cost-effective way to reduce challenges and deter failure of a business venture or product.

5.2.1 Personal SWOT Analysis

A personal SWOT analysis can do the same for an individual in pursuit of their career goals. It provides insights based on your personality strengths and weaknesses, what challenges you see ahead of you, and what opportunities are present around you now and in the future.

The SWOT analysis was first devised as a business tool in the 1960s by business icons Edmund P. Learned, C. Roland Christensen, Kenneth Andrews and William D. Guth. In 1982, Heinz Weihrich took it one step further, constructing a 2 x 2 matrix to plot out the answers to the four key questions for easy comparison. Strengths and weaknesses were across the top, and opportunities and threats in the bottom row. This remains the most common and effective way to conduct the analysis.

While there are many formats for the SWOT analysis, in its simplest and truest form, the SWOT matrix is a four-quadrant table with a color-coded grid, looking something like this:

Strengths	Weakness
Opportunities	Threats

Strengths and opportunities are things you consider favorable and within your control, while weaknesses and threats are unfavorable and dictated by external forces. You can use this data to explore the correlation between your strengths and weaknesses, how to leverage your strengths to make the most of your opportunities, and how to improve weaknesses to mitigate threats.

Some believe that SWOT originated in the '50s and was developed by professors George Albert Smith Jr., C. Roland Christensen, and Kenneth Andrews at the Harvard Business School. Others acknowledge Albert S. Humphrey as the creator of SWOT analysis at Stanford Research Institute in the '60s, although Humphrey himself never took credit.

- Regardless of who deserves recognition for its creation, SWOT analysis is a very popular tool used to help businesses and individuals identify the following:
- Strengths: Characteristics that give you an advantage over others.
- Weaknesses: Characteristics that give you a disadvantage in relation to others.
- Opportunities: Trends or technologies that you can exploit to gain an advantage.
- Threats: Obstacles that impede your career growth.

In this article, we will explain how to do a SWOT analysis on yourself. We will also share some personal SWOT analysis examples to help you get started with your own self-reflection.

SWOT Analysis

	Helpful	Harmful
Internal	Strengths	Weaknesses
External	Opportunities	Threats

5.2.2 SWOT Questions to Ask Yourself

There are many SWOT analysis templates online. Find one that makes sense to you, and get ready to evaluate your internal strengths, acknowledge your weaknesses, and find what makes you excited about your work, job, or career as well as what keeps you awake at night.

To make a SWOT worth the effort, you need to set aside the time to really think about it, then sleep on it and revisit it. You won't think of everything in one sitting, and that question or answer that entered your brain overnight might be the most relevant and revealing insight in the exercise. Understand that you will need to come back to this a few times over a week or two to truly capture complete answers.

Begin by identifying your strengths. These are the traits or skills that set you apart from others. Ask yourself these questions:

- What are you good at naturally?
- What skills have you worked to develop?
- What are your talents, or natural-born gifts?

The next step is weaknesses. This part examines the areas in which you need to improve and the things that will set you back in your career. These are some questions to consider:

- What are your negative work habits and traits?
- Does any part of your education or training need improvement?
- What would other people see as your weaknesses?

For the opportunities section, look at the external factors you can take advantage of to pursue a promotion, find a new job or determine a career direction. These are some questions to ask yourself:

- What is the state of the economy?
- Is your industry growing?
- Is there new technology in your industry?

Finally, look at any threats to your career growth. This part accounts for the external factors that could hurt your chances to attain your goals. Consider these questions:

- Is your industry contracting or changing direction?
- Is there strong competition for the types of jobs for which you are best suited?
- What is the biggest external danger to your goals?

Remember to be objective, and consult others who know you if necessary. Moving outside your comfort zone will help you get the results you're looking for instead of reinforcing your own beliefs. The key to writing a good personal SWOT analysis is honesty. Be unflinching in revealing faults and weaknesses but also in celebrating your personal strengths and what makes you the best you.

5.2.3 Determining the Outcomes

You can evaluate your results using two popular methods. The first is matching. Matching means connecting two of the categories to determine a course of action. For example, matching strengths to opportunities shows you where to be aggressive and take action. On the other hand, matching weaknesses to threats exposes areas you should work on or situations to avoid, letting you know where to be more defensive of your position.

The second is to convert is to turn negatives into positives – in other words, converting your weaknesses into strengths, or threats into opportunities. This can mean growing a skill set through education or finding a creative way to feature a weakness as a strength. For instance, if you are very outgoing, an introspective and isolated work environment may not suit you very well. But if you can work toward a position, such as sales, in which you interact with many people, that weakness turns into a strength and could allow you to excel.

5.2.4 Taking Action

Once your personal SWOT analysis is complete, it is crucial to follow through on the insights you uncovered.

“SWOT analysis can fail to be effective if it is simply treated as a laundry list, without any tie-in to how the elements identified in the analysis can be put into play for the individual carrying out the assessment.” “For example, how can the identified strengths move the needle in the endeavor to achieve a key goal? Or how can one navigate a potential threat once it is identified ... to ensure no ground is lost?”

“The best outcome is to take action and succeed in the opportunities you have identified,” Smith said. “This can benefit you on a personal and professional level, and set you apart from your peers and colleagues.”

Once you start using your results, track your progress. Set up measurements and milestones, and keep working toward them. Step by step, little by little, you will get where you want to be, so get started now.

5.2.5 Why do A Personal SWOT Analysis?

First, let's discuss why you should perform a self SWOT analysis in the first place. You may have heard the often repeated aphorism, “Find a job you love, and you'll never work a day in your life.”

The adage is usually attributed to Confucius, even though nobody can find any evidence that he ever said it (and how many job opportunities could there have been in 500 B.C.?).

The point is that you should try to find a job that you really enjoy doing. But, how do you find a job that you love, that matches your skill set, and that pays well? An assessment of your strengths and weaknesses using a SWOT analysis is a good start to help you find a career that is a good fit for you and your employer.

How do you do an individual SWOT analysis?

Create your own SWOT matrix or use a premade personal SWOT analysis template from Lucid chart. To perform a personal SWOT analysis, complete the following four basic steps to fill in each quadrant of the template.

Step 1: Assess your strengths

It's okay to "toot your own horn" here as you write down what makes you stand out from your peers. Answer questions such as:

- What skills and certifications do you have that give you an advantage over others?
- Do you have any powerful industry contacts who could vouch for your skills and abilities?
- What would your boss or your co-workers say are your strengths?
- What can you do better than anybody else?
- Does your education and expertise fill a void that is lacking in your organization?
- What beneficial values do you have that you believe others fail to show?
- What are your most rewarding achievements?

As you answer these questions, don't worry about being modest. However, be as objective as you can-you don't want to be delusional about your abilities. Include some of your personal qualities because those can also be your strengths.

It is also important to understand that some of the things that you list as a strengths are not really strengths at all. For example, you may believe that you can "make it" in the music industry because you write songs. However, as it turns out, there are millions of people who can write songs. To find your true strength, you need to consider what makes your music stand out from the others.

Step 2: Assess your weaknesses

Like when you assessed your strengths, you don't want to hold back here. Be brutally honest with yourself to determine your weaknesses and answer questions such as:

- Are there tasks that you avoid or pass off to others because you don't feel confident enough to do them?
- What holes are there in your education or skills that are holding you back?
- What new technologies or practices have been introduced since you earned your degree?
- Do you have any bad habits like being late to work, not following prescribed processes, communicating poorly, or having the attitude that you are surrounded by idiots and you alone know all the answers?
- How well do you handle stress?
- Do you meet deadlines?
- What weaknesses might your co-workers and boss point out?

As you work through this process, remember that "I work too much" is not a valid weakness. It also is not the answer that the hiring manager wants to hear in an interview.

Listing your weaknesses should not feel like you are beating yourself up. Instead, this should be a positive exercise that identifies the areas that you can turn into strengths, so you can get a promotion or a better job to further your career.

Step 3: Identify opportunities

A quotation often attributed to Thomas Edison says, "We often miss opportunity because it's dressed in overalls and looks like work."

The point is, there are generally opportunities all around. Finding those opportunities depends on individual personality and desire. Positive people tend to see more opportunities than negative people. And people who are less ambitious may not recognize an opportunity unless it hits them over the head.

As you fill in this section of the SWOT template, look for opportunities such as:

- Is there a new technology that you can learn that will help you reach your goals?
- Can you find help from others on the Internet?
- Is there an open position within your company, or outside your company, that more closely matches your skills and strengths?
- In what ways is your industry growing, and what can you do to help it grow?
- Can you volunteer to take on a task or project that nobody else wants to do?
- Are there seminars or classes that you can attend to improve your skills?
- Is there a need that nobody else is filling?

As you work through this section, look at your weaknesses to see if there are any that can be turned into opportunities. For example, you may not think of yourself as a very good project lead, but how can you know if you don't jump at the chance to lead a project when it comes up?

Step 4: Be aware of threats

In this quadrant of the SWOT analysis template, take a look at possible stumbling blocks or situations that impede you from meeting your goals. Ask yourself:

- Who is your competition?
- Are you and other co-workers trying to get the same job or promotion?
- Is there new technology that your position requires? Can you get up to speed quickly, or will the time required to learn a new technology stop your progress?
- Are you seen as too old or out of touch with current trends?
- Are your skills obsolete?
- Are your personality traits holding you back?

Performing this self-SWOT analysis can help you put things into perspective and point out the most important things you can do to improve your chances to grow in a chosen job or career.

5.2.6 When should you perform a personal SWOT analysis

You can do a SWOT analysis whenever you want to. Are you thinking of changing careers? Do you want a different opportunity in your current organization? Getting ready for a job interview? A self-analysis of your strengths and weaknesses for any of these situations can be beneficial.

When you do the analysis, think of yourself as the product that needs to be sold.

For example, let's say that you struggle writing performance reviews because you don't think that anything you do is exceptional. You feel like you are just doing your job. Consider using a SWOT matrix to

- Identify your strengths that were beneficial to your team or organization. Did an innovation improve performance? Did you meet every deadline or complete tasks early?
- List the weaknesses you want to improve so you can be a better asset. Do you need to attend training to improve writing skills? Are you current on HTML5 programming skills?
- Write down the opportunities or goals you want to work on in the coming year to improve your position in the department or to move into a new role.
- Identify the threats that may be in your way as you work toward your goals. Present ideas and a plan to help you overcome these threats.

Performing a self-analysis in this way can help you get that raise or promotion that you deserve.

5.3 ATTITUDE

An attitude is a positive; negative or mixed evaluation of an object that is expressed at some level of intensity. It is an expression of a favorable or unfavorable evaluation of a person, place, thing or event. These are fundamental determinants of our perceptions of, and actions toward all aspects of our social environment. Attitudes involve a complex organization of evaluative beliefs, feelings, and tendencies toward certain actions.

How much we like or dislike something determines our behavior towards that thing.

We tend to approach, seek out or be associated with things we like; we avoid, shun or reject things we do not like.

Some examples of attitudes are- he has a positive attitude about the changes, she is friendly and has a good attitude, he was showing some attitude during practice today, so the coach benched him, I like my friends that means I am expressing my attitudes towards my friends, etc.

5.3.1 Definition of Attitude

Attitude is the manner, disposition, feeling and position with regard to a person or thing, tendency or orientation especially in the mind.

According to **Gordon Allport**, “An attitude is a mental and neural state of readiness, organized through experience, exerting a directive or dynamic influence upon the individual’s response to all objects and situations with which it is related.”

Frank Freeman said, “An attitude is a dispositional readiness to respond to certain institutions, persons or objects in a consistent manner which has been learned and has become one’s typical mode of response.”

Thurstone said, “An attitude denotes the sum total of man’s inclinations and feelings, prejudice or bias, preconceived notions, ideas, fears, threats, and other any specific topic.”

Anastasi defined attitude as, “A tendency to react favorably or unfavorably towards a designated class of stimuli, such as a national or racial group, a custom or an institution.”

According to **N.L. Munn**, “Attitudes are learned predispositions towards aspects of our environment. They may be positively or negatively directed towards certain people, service or institution.”

A predisposition or a tendency to respond positively or negatively towards a certain idea, object, person, or situation. Attitude influences an individual’s choice of action, and responses to challenges, incentives, and rewards (together called stimuli).

Four major components of attitude are (1) Affective: emotions or feelings. (2) Cognitive: belief or opinions held consciously. (3) Conative: inclination for action. (4) Evaluative: positive or negative response to stimuli.

Attitude can be described as a tendency to react positively or negatively to a person or circumstances.

Thus the two main elements of attitude are this tendency or predisposition and the direction of this predisposition.

It has been defined as a mental state of readiness; organize to through experience which exerts a directive or dynamic influence on the responses.

These can also be explicit and implicit.

Explicit attitudes are those that we are consciously aware of and that clearly influence our behaviors and beliefs. Implicit attitudes are unconscious, but still, have an effect on our beliefs and behaviors.

As said by psychologists Thomas which imposes limits as a level attitude trend is positive and negative, associated with the object of psychology.

Object psychology here include symbols, words, slogans, people, institutions, ideas and so on.

5.3.1.1 Characteristics of Attitude

1. Attitudes are the complex combination of things we tend to call personality, beliefs, values, behaviors, and motivations.
2. It can fall anywhere along a continuum from very favorable to very unfavorable.
3. All people, irrespective of their status or intelligence, hold attitudes.
4. An attitude exists in every person's mind. It helps to define our identity, guide our actions, and influence how we judge people.
5. Although the feeling and belief components of attitude are internal to a person, we can view a person's attitude from his or her resulting behavior.
6. Attitude helps us define how we see situations, as well as define how we behave toward the situation or object.
7. It provides us with internal cognitions or beliefs and thoughts about people and objects.
8. It can also be explicit and implicit. Explicit attitude is those that we are consciously aware of an implicit attitude is unconscious, but still, have an effect on our behaviors.
9. Attitudes cause us to behave in a particular way toward an object or person.

10. An attitude is a summary of a person's past experience; thus, an attitude is grounded in direct experience predicts future behavior more accurately.
11. It includes certain aspects of the personality as interests, appreciation and social conduct.
12. It indicates the sum total of a man's inclinations and feelings. An attitude is a point of view, substantiated or otherwise, true or false which one holds towards an idea, object or person. It has aspects such as direction, intensity, generality or specificity.
13. It refers to one's readiness for doing Work.
14. It may be positive or negative and may be affected by age, position, and education.
15. Attitude may be defined as a feeling or disposition to favor or to be against objects, persons, and situations.

It is a well-defined object of reference. It may be defined as 'an enduring predisposition or readiness to react or behave in a particular manner to a given object or situation, idea, material or person'.

It describes and evaluates the action with respect to an object or a situation, with each belief having a cognitive effect and behavioral components.

Each of these beliefs is a predisposition that results in some preferential response towards the object or the situation. Actually, it is frequently used in describing people and explaining their behavior.

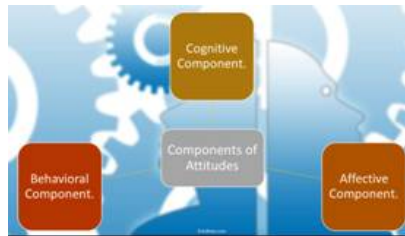
For example: "I like her attitude", "He has a good attitude" etc. Actually, it is characterized by the tendency to feel and behave in a particular way toward some object.

5.3.2 Components of Attitude

Attitudes represent our evaluations, preferences or rejections based on the information we receive. It is a generalized tendency to think or act in a certain way in respect of some object or situation, often accompanied by feelings. It is a learned predisposition to respond in a consistent manner with respect to a given object.

This can include evaluations of people, issues, objects, or events. Such evaluations are often positive or negative, but they can also be uncertain at times. These are the way of thinking, and they shape how we relate to the world both in work and Outside of work. Researchers also suggest that there are several different components that make up attitudes.

One can see this by looking at the three components of an attitude: cognition, affect and behavior.



3 components of attitude are;

- Cognitive Component.
- Affective Component.
- Behavioral Component.

1. Cognitive Component: The cognitive component of attitudes refers to the beliefs, thoughts, and attributes that we would associate with an object. It is the opinion or belief segment of an attitude. It refers to that part of attitude which is related in general knowledge of a person.

Typically these come to light in generalities or stereotypes, such as ‘all babies are cute’, ‘smoking is harmful to health’ etc.

2. Affective Component: Affective component is the emotional or feeling segment of an attitude.

It is related to the statement which affects another person. It deals with feelings or emotions that are brought to the surface about something, such as fear or hate. Using the above example, someone might have the attitude that they love all babies because they are cute or that they hate smoking because it is harmful to health.

3. Behavioral Component: Behavior component of an attitude consists of a person’s tendencies to behave’ in a particular way toward an object. It refers to that part of attitude which reflects the intention of a person in the short-run or long run.

Using the above example, the behavioral attitude maybe- ‘I cannot wait to kiss the baby’, or ‘we better keep those smokers out of the library, etc.

Attitude is composed of three components, which include a cognitive component, effective or emotional component, and a behavioral component. Basically, the cognitive component is based on the information or knowledge, whereas the affective component is based on the feelings.

The behavioral component reflects how attitude affects the way we act or behave. It is helpful in understanding their complexity and the potential relationship between attitudes and behavior.

But for clarity’s sake, keep in mind that the term attitude essentially refers to the affected part of the three components.

In an organization, attitudes are important for their goal or objective to succeed. Each one of these components is very different from the other, and they can build upon one another to form our attitudes and, therefore, affect how we relate to the world.

5.3.3 Factors Influencing Attitude

actors affecting the attitudes are:

(a) **Environment:** Environment comprises of the following:

- i. **Home:** The home environment into which you were born and where you grew up is influenced by your parents, siblings, relatives, neighbours and friends.
 - ii. **School:** At school you interact with teachers, school staff, seniors, peers and juniors. Each of them influences your opinion about the world, depending on your experiences with them.
 - iii. **Work Place:** At work you relate to experiences with your colleagues, superiors and subordinates. How they treat you or how you treat them will influence your attitude.
 - iv. **Media:** With the media intruding into the home in a big way, its influence on attitude formation is tremendous. It can be easily misused to change attitudes in any way.
 - v. **Cultural Background:** Your cultural background influences your attitude adoption because it is a powerful environmental component.
 - vi. **Religious Background:** The religion you were born into or adopt as a choice later, influences attitudes because of the indoctrination imposed on followers in most religions.
 - vii. **Traditions and Beliefs:** Some cultures and families require their members to adopt certain ways of thinking. This leads to the acceptance of traditional attitudes or beliefs.
 - viii. **Social Environment:** The social strata to which a person belongs influences people to adopt attitudes such as 'rich people are corrupt and crooked'.
 - ix. **Political Environment:** The political environment prevailing in the region where you live can influence attitude formation. Depending on how politicians behave, people can have positive or negative attitudes towards each other or the region itself.
- (b) **Experiences:** Based on our experiences in life, we adopt certain attitudes towards people. These experiences could be pleasant or distasteful. Pleasant experiences contribute to making a positive attitude whereas unpleasant experiences will be sought to be avoided and will, therefore, strengthen negative attitudes.
- (c) **Education:** The process of preparing oneself for the difficulties and challenges of life is education which could be formal or informal. Formal education is the one we receive in schools and colleges and informal education is what we learn from life or others around us.

The teacher or professor, thus, plays a vital role in attitude formation and should, therefore, be very careful how he or she conducts himself or herself.

Although the above mentioned three E's have a significant role to play in forming your attitude, the attitude you adopt is a choice made by you. You and you alone are responsible for your attitude. It is wrong to think that the environment and external factors decide your attitude. The fact is that the environment you experience is the result of your attitude.

5.3.4 Differences between Attitude and Behaviour

One of the widely accepted facts about human beings is, No two people are alike, whether in terms of physical appearance (i.e. body structure, height, weight, colour, etc) or abstract aspects (like intelligence, attitude, personality, behaviour and so on). Many people take a person's attitude as their behaviour. Although directly or indirectly they are interrelated, they are different in the sense that **attitude** represents how a person thinks or feels about someone or something.

Comparison Chart

BASIS FOR COMPARISON	ATTITUDE	BEHAVIOR
Meaning	Attitude refers to a person's mental view, regarding the way he/she thinks or feels about someone or something	Behavior implies the actions, moves, conduct or functions of an individual or group towards other persons.
Based on	Experience and observation	Situation
Trait	Human	Inborn
What is it?	A person's mindset.	Outward expression of attitude.
Reflects	What you think or feel?	What you do?
Defined by	Way we perceive things.	Social Norms

Definition of Behavior

The term 'behavior' can be described as the way of conducting oneself. It is the manner of acting or controlling oneself towards other people. It is the range of actions, responses, and mannerisms set by an individual, system or organization in association with themselves or their environment, in any circumstances.

In short, behavior is an individual or group reaction to inputs such as an action, environment or stimulus which can be internal or external, voluntary or involuntary, conscious or subconscious.

5.3.5 Differences between Attitude and Behavior

The difference between attitude and behavior can be drawn clearly on the following grounds:

1. Attitude is defined as a person's mental tendency, which is responsible for the way he thinks or feels for someone or something. Behavior implies the actions, moves, conduct or functions of an individual or group towards other persons.
2. A person's attitude is mainly based on the experiences gained by him during the course of his life and observations. On the other hand, the behavior of a person relies on the situation.
3. Attitude is a person's inner thoughts and feelings. As opposed to, behavior expresses a person's attitude.
4. The way of thinking or feeling is reflected by a person's attitude. On the contrary, a person's conduct is reflected by his behavior.
5. Attitude is defined by the way we perceive things whereas behavior is ruled by social norms.
6. Attitude is a human trait but behavior is an inborn attribute.

5.3.6 Attitude at Workplace

Our behavior at work often depends on how we feel about being there. Therefore, making sense of how people behave depends on understanding their work attitudes. An attitude refers to our opinions, beliefs, and feelings about aspects of our environment. We have attitudes toward the food we eat, people we interact with, courses we take, and various other things. At work, two particular job attitudes have the greatest potential to influence how we behave. These are job satisfaction and organizational commitment.

Five Attitudes That Are Important in Workplaces

It may seem as if skills and experience are the most important characteristics of an employee, but attitude plays just as big of a role. After all, what good are great professional skills without the attitude to see it all through? There are five key attitudes that small businesses should seek out in employees to ensure a harmonious professional environment and a productive staff.

1. **Respect for Others:** Respect in the workplace doesn't solely extend to the way employees interact with management. People who have self-respect don't do managers' bidding no matter what; they think for themselves and present alternative ideas at times, but respectfully. Employees should also have a respectful attitude when interacting with clients and customers as well as co-workers. Those with this type of attitude are willing to treat other people politely and professionally, even if they disagree with the other person's point of view.

2. **Infectious Enthusiasm About Life:** Someone who is enthusiastic about life in general radiates a positive energy that rubs off on everyone around her. She dives into every project with interest, eagerly learns new skills and ideas and quickly applies them to her work. Some people are born with positive energy, but it can also be developed. Teach your staff to approach every situation, positive or negative, as a challenge and an opportunity.

Adopt a “glass half full” attitude in the company and encourage employees to build on it. Soon they’ll extend an enthusiastic attitude toward co-workers, customers and everything they do.
3. **Commitment to the Job:** Small businesses need employees who are not only committed to the goals and initiatives that affect the bottom line, but who also are committed to their particular positions. Employees project a committed attitude by showing a willingness to do whatever it takes to fulfill the duties of their positions and via the development of new ideas to make the company even better. When committed individuals work together as a team towards company goals, everyone benefits.
4. **Innovative Ideas and Finding New Ways:** Employees with an innovative attitude don’t shy away from trying something new or finding a different way to do things. Small businesses need employees who can think outside of the box and innovate new ways to accomplish existing tasks and approach goals. Employees with this type of attitude know their ideas might not work out to be the best way to do something, but that the biggest failure is not at least giving new ideas a shot.
5. **Helpfulness with Others:** It is important to have a helpful attitude at work, whether that means assisting clients and customers with their needs or helping co-workers accomplish overall company goals. The more helpful an attitude employees have, the more people want to be around them at work and the more willing they are to partner with those employees on key projects and initiatives.

5.3.7 Effects of Positive Attitude

1. **Less Stressful Environment:** Positivity in a workplace helps to reduce stress and make it slightly bearable. It all comes down to what makes you happy and how you can take advantage of that to uplift your mood. It is easy to be dragged into a state of constant negativity and distress. The problem with negative people is that they drag everyone down with them. Sooner or later, people start to avoid them too. Positivity will help you see the silver lining and experience life in a less stressful and wholesome manner. Having a positive outlook, helps employees avoid nasty work politics as well. Work politics is known to affect the overall lives of employees.

2. **Gives Clarity to Employees:** A positive attitude helps to give clarity, no matter which aspect of your life is under consideration. The more clarity you have, you will be more confident in carrying out your daily tasks. Clarity can help improve the quality of your work and have a positive impact on your self-esteem. Employee health is a highly underrated factor that is not considered. It is merely discarded and not considered important. Whereas, it is one of the major factors that contributes to the success of an organization.
3. **Improves Leadership Abilities:** There is a strong link in between positivity and leadership. In fact, a leadership role is meant to be as positive as it can be. Nobody would want a leader to be projecting negativity in their direction. Moreover, a positive leader will manage to improve the productivity in the organization. He/she will be able to set realistic goals which can be accomplished by the employees in the said amount of time.
4. **Improves Interpersonal Relations:** Improving interpersonal relations at workplace is extremely important for the sake of cultivating strong interpersonal relationships. It is crucial for employees to get along with each other and maintain healthy communication. Having a positive attitude in the workplace helps improve interpersonal relations. Other than having strong communication, it is also important to give space to your fellow employees. Moreover, employees must leave their egos behind when dealing with work-related tensions. In order to foster good relations, the leader of the team must acknowledge the effort of team members.

5.3.8 Effects of Negative Attitude

1. **Unproductivity at Workplace:** The main aim of every business or company is to improve the productivity. It becomes impossible for a work environment to flourish with negative behavior of the employees. Moreover, having a negative outlook towards life can be injurious for the mental health of the employees. As team leader it would be have a negative impact on your employees.
2. **Create a Toxic Work Environment :** Just like in any situation with a group of people. Negative attitude at work place will lead to toxicity and affect productivity. Leaders tend to give the image that no matter how well their employees perform, the higher management is not happy. It is worth mentioning that, the negative attitude of the higher management only will not cause the company to suffer. It can be a person from any level of the management. Negativity projected from an individual can affect the entire office.
3. **Loss of Innovation and Creativity:** A workplace with only negative thoughts floating around has no room for creativity and innovation. It is a healthy activity for workers to have a brainstorming session and sit together to discuss ideas. However, these sessions can prove be quite stressful even if one person is projecting negativity. Stress can be a huge barrier for the generation of creative ideas. The most positive employees are bound to snap under stress and negative peers. Nobody likes to hear constant whining and criticism.

Creating a Positive Work Environment

Creating positivity in a work place requires both the effort of the higher management and the staff as well. It can only be through efforts of the entire team which will eventually create a positive environment at work.

1. **Clarity in Communication:** The first step towards eradicating negativity in a workplace is to build a strong communication channel. Having good communication channel is essential in fostering good work relationships. If there has been issue at work such as dirty carpets or upholstery, then it is best to address it as soon as possible. There is no point in beating around the bush and avoid an issue by simply hiring any cleaning services. Moreover, the higher management should be able to communicate to the staff about their expectations from them and what goals they need to achieve. Clarity at communication is essential at all levels.
2. **Pay Attention:** Most of the higher management makes the mistake of ignoring what their staff is saying. This leaves the employees feel that they are not being valued and what they say is worthless. There should be certain times of the day that should be reserved to listen to the employees and what hurdles they have been facing. This activity will help improve communication and make the employees feel that they are heard.
3. **Give Recognition where it is due:** One of the leading causes of depression at a workplace is not being recognized for your efforts. Employees who perform well must be rewarded in some way. Either they should be rewarded in monetary ways or through verbal appreciation. Moreover, there can be additional benefits such as letting employees work from home or letting them come to work late or leave early. Giving employees such incentives will inculcate positivity in the workplace and boost employee morale as well.

5.4 EMOTIONAL INTELLIGENCE

Although throughout the early history of intelligence research the focus was on the measurement of cognitive skills, this approach has also attracted some criticism.

Drawing from several different sources, a simple definition of emotional intelligence (also called the Emotional Quotient, or EQ) describes an ability to monitor your own emotions as well as the emotions of others, to distinguish between and label different emotions correctly, and to use emotional information to guide your thinking and behavior and influence that of others (Goleman, 1995; Mayer & Salovey, 1990).

Emotional intelligence is what we use when we empathize with our co-workers, have deep conversations about our relationships with significant others, and attempt to manage an unruly or distraught child. It allows us to connect with others, understand ourselves better, and live a more authentic, healthy, and happy life.

1. **EQ vs. IQ:** EQ is emotional intelligence, which, as stated above, is all about identifying emotions in ourselves and others, relating to others, and communicating about our feelings.

IQ, on the other hand, is cognitive intelligence. This is the intelligence that people are generally most familiar with, as it is the type that is most often referred to when the word “intelligence” is used. It is also the type that is most often measured through testing and estimated through things like grade-point average.

2. **Social Intelligence vs. Emotional Intelligence:** Social intelligence is more closely related to emotional intelligence than IQ is, as they both have to do with navigating social or emotional situations. However, these are two distinct types of intelligence even if they somewhat overlap.

Social intelligence uses some of the same skills and abilities but is often focused toward the future. It allows you to understand the feelings, personalities, and behaviors of yourself and others in order to seek positive outcomes.

3. **Emotional Intelligence in Psychology:** Emotional intelligence filled a gap in the mainstream understanding of intelligence, especially for psychologists. The field always seemed to have a general understanding that IQ wasn’t everything, but the theories on what, exactly, the other important components were varied greatly, and psychologists couldn’t agree on a single concept or idea.
4. **The Framework:** There are two numbers to remember to help you understand what emotional intelligence is all about: five and four. There are five components of the emotional intelligence model and four dimensions to EQ.
5. **Components/Elements/Domains of the EQ Model:** According to Daniel Goleman, there are five components or elements of emotional intelligence:

- Self-Awareness;
- Self-Regulation;
- Motivation;
- Empathy;
- Social Skills.

1. Self-awareness can be defined as “the ability to recognize and understand your own emotions”. It is the foundational building block of emotional intelligence, since regulating ourselves, having empathy for others, and so on all rely on identifying and understanding emotion in ourselves.
2. Self-regulation is one step further to have high EQ, we must not only be able to recognize our own emotions, but we must also be able to appropriately express, regulate, and manage them.

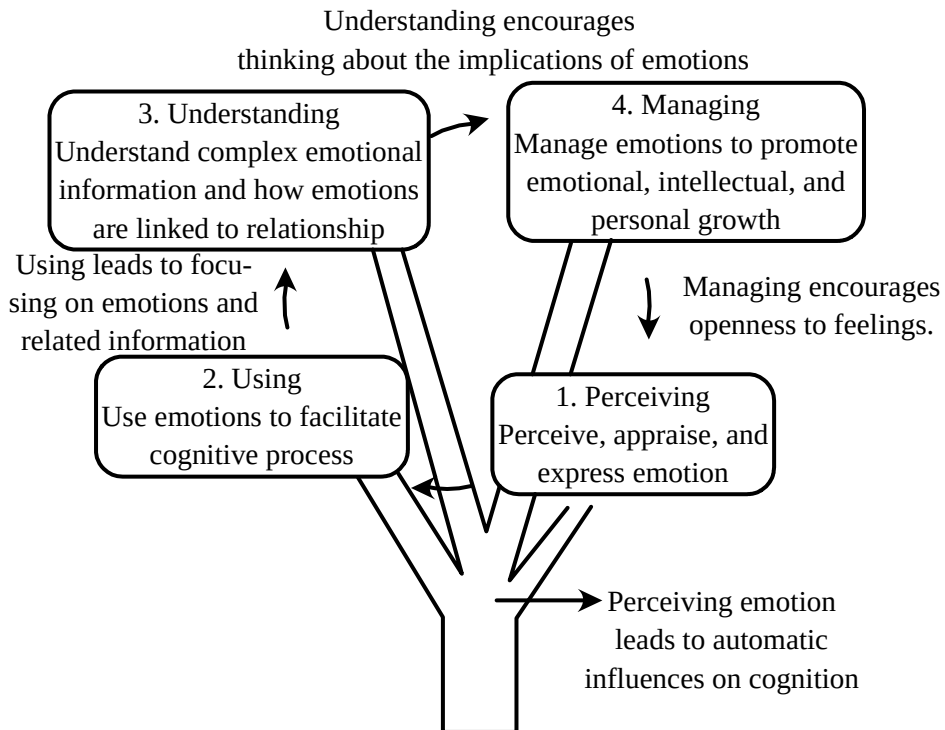
3. People who have high EQs also generally possess more intrinsic motivation. Those with high EQs are motivated for their own personal reasons and work toward their own goals.
4. Empathy can be defined as the ability to understand how other people are feeling and recognize, on an intimate level. It does not mean you sympathize with, validate, or accept their behavior, just that you can see things from their perspective and feel what they feel.
5. Finally, social skills are the last piece of the EQ puzzle; these skills are what allow people to interact socially with one another and to successfully navigate social situations. Those with high EQs generally have higher-than-average social skills and are able to effectively pursue their goals and get the outcomes they want when interacting with others.

5.4.1 The 4 Dimensions of Emotional Intelligence (and a Chart)

According to EQ “founding fathers” Salovey and Mayer, there are four distinct dimensions or branches of emotional intelligence that form a hierarchy of emotional skills and abilities:

1. Perceiving emotion;
 2. Using emotions to facilitate thought;
 3. Understanding emotions;
 4. Managing emotions.
1. The first dimension, perceiving emotion, relates to being aware of and recognizing other people’s states (both physical and psychological states, like being in physical pain or feeling frazzled), identifying emotions in other people, expressing one’s own emotions and needs accurately and appropriately, and distinguishing between accurate, honest feelings and inaccurate, dishonest feelings.
 2. Using emotions to facilitate thought involves redirecting and prioritizing your thinking based on the feelings associated with those thoughts, generating emotions that will facilitate better judgment and memory, capitalizing on mood changes so you can appreciate multiple points of view, and using emotional states to improve your problem-solving skills and creativity.
 3. The dimension of understanding emotions includes understanding the relationships between various emotions, perceiving the causes and consequences of emotions, understanding complex feelings and contradictory states, and understanding the transitions among emotions.
 4. The final dimension, managing emotions, refers to being open to both pleasant and unpleasant feelings; monitoring and reflecting on your emotions; engaging, prolonging, or detaching from an emotional state; and managing the emotions both within yourself and in others.

See the chart below to get a better idea of this hierarchy.



5.4.2 Key Skills in the Emotional Intelligence Framework

This emotional intelligence framework has been adapted to fit business and organizational contexts. In this organizational context, there are a few sub-skills and abilities under each component that contribute to higher emotional intelligence and greater success as an employee, group member, and organization member:

1. Self-Awareness

- **Emotional awareness:** recognizing one's emotions and their effects;
- **Accurate self-assessment:** knowing one's strengths and limits;
- **Self-confidence:** sureness about one's self-worth and capabilities.

2. Self-Regulation

- **Self-control:** managing disruptive emotions and impulses;
- **Trustworthiness:** maintaining standards of honesty and integrity;
- **Conscientiousness:** taking responsibility for personal performance;
- **Adaptability:** flexibility in handling change;
- **Innovativeness:** being comfortable with and open to novel ideas and new information.

3. Self-Motivation

- **Achievement drive:** striving to improve or meet a standard of excellence;
- **Commitment:** aligning with the goals of the group or organization;
- **Initiative:** readiness to act on opportunities;
- **Optimism:** persistence in pursuing goals despite obstacles and setbacks.

4. Empathy/Social Awareness

- **Empathy:** sensing others' feelings and perspective, and taking an active interest in their concerns;
- **Service orientation:** anticipating, recognizing, and meeting customers' needs;
- **Developing others:** sensing what others need in order to develop, and bolstering their abilities;
- **Leveraging diversity:** cultivating opportunities through diverse people;
- **Political awareness:** reading a group's emotional currents and power relationships.

5. Social Skills

- **Influence:** wielding effective tactics for persuasion.
- **Communication:** sending clear and convincing messages.
- **Leadership:** inspiring and guiding groups and people.
- **Change catalyst:** initiating or managing change.
- **Conflict management:** negotiating and resolving disagreements.
- **Building bonds:** nurturing instrumental relationships.
- **Collaboration and cooperation:** working with others toward shared goals (see emotional intelligence in the workplace).
- **Team capabilities:** creating group synergy in pursuing collective goals (Goleman, 1998).

5.4.3 Emotional Intelligence, IQ, and Personality Are Different



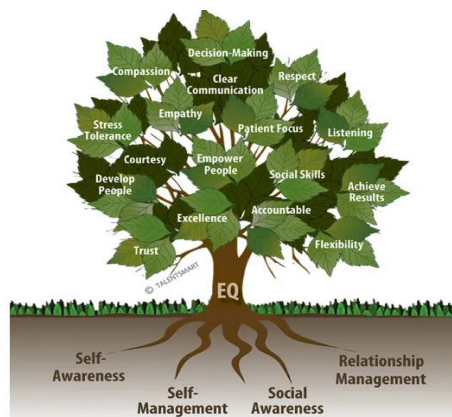
Emotional intelligence is an essential part of the whole person

Emotional intelligence taps into a fundamental element of human behavior that is distinct from your intellect. There is no known connection between IQ and emotional intelligence; you

simply can't predict emotional intelligence based on how smart someone is. Intelligence is your ability to learn, and it's the same at age 15 as it is at age 50. On the other hand, is a flexible set of skills that can be acquired and improved with practice. Although some people are naturally more emotionally intelligent than others, you can develop high emotional intelligence even if you aren't born with it.

Personality is the final piece of the puzzle. It's the stable "style" that defines each of us. Personality is the result of hard-wired preferences, such as the inclination toward introversion or extroversion. Also like IQ, personality is stable over a lifetime and doesn't change. IQ, emotional intelligence, and personality each cover unique ground and help to explain what makes a person tick.

5.4.4 Emotional Intelligence Is Linked to Performance



Emotional intelligence is the foundation for critical skills

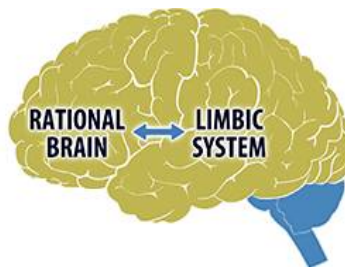
How much of an impact does emotional intelligence have on your professional success? The short answer is a lot! It's a powerful way to focus your energy in one direction with a tremendous result. Talent Smart tested emotional intelligence along side 33 other important workplace skills, and found that emotional intelligence is the strongest predictor of performance, explaining a full 58% of success in all types of jobs.

Of all the people we've studied at work, we've found that 90% of top performers are also high in emotional intelligence. On the flip side, just 20% of bottom performers are high in emotional intelligence. You can be a top performer without emotional intelligence, but the chances are slim.

Naturally, people with a high degree of emotional intelligence make more money an average of \$29,000 more per year than people with a low degree of emotional intelligence. The link between emotional intelligence and earnings is so direct that every point increase in emotional intelligence adds \$1,300 to an annual salary. These findings hold true for people in all industries, at all levels, in every region of the world. We haven't yet been able to find a job in which performance and pay aren't tied closely to emotional intelligence.

5.4.5 Emotional Intelligence Can Be Developed

The communication between your emotional and rational “brains” is the physical source of emotional intelligence. The pathway for emotional intelligence starts in the brain, at the spinal cord. Your primary senses enter here and must travel to the front of your brain before you can think rationally about your experience. However, first they travel through the limbic system, the place where emotions are generated. So, we have an emotional reaction to events before our rational mind is able to engage. Emotional intelligence requires effective communication between the rational and emotional centers of the brain.



Emotional intelligence is a balance between the rational and emotional brain

“Plasticity” is the term neurologists use to describe the brain’s ability to change. Your brain grows new connections as you learn new skills. The change is gradual, as your brain cells develop new connections to speed the efficiency of new skills acquired.

Using strategies to increase your emotional intelligence allows the billions of microscopic neurons lining the road between the rational and emotional centres of your brain to branch off small “arms” (much like a tree) to reach out to the other cells. A single cell can grow 15,000 connections with its neighbors. This chain reaction of growth ensures it’s easier to kick this new behavior into action in the future. Once you train your brain by repeatedly using new emotional intelligence strategies, emotionally intelligent behaviors become habits.

Exercise

1. How would you describe yourself?
2. **I understand the reasons for my feelings.**
AlwaysMost of the timeFrequentlySometimesRarelyNever
3. **I understand how other people’s experiences affect their feelings, thoughts, and behavior.**
AlwaysMost of the timeFrequentlySometimesRarelyNever
4. **I understand my leadership strengths and weaknesses.**
AlwaysMost of the timeFrequentlySometimesRarelyNever

5. I see people as good and well-intentioned.

Always Most of the time Frequently Sometimes Rarely Never

6. I look forward to the future.

Always Most of the time Frequently Sometimes Rarely Never

7. I can describe my feelings in detail, beyond just “happy,” “sad,” “angry,” and so on.

Always Most of the time Frequently Sometimes Rarely Never

8. I manage stress well.

Always Most of the time Frequently Sometimes Rarely Never

9. I focus on opportunities rather than obstacles.

Always Most of the time Frequently Sometimes Rarely Never

10. I’m calm in the face of pressure or emotional turmoil.

Always Most of the time Frequently Sometimes Rarely Never

11. I feel hopeful.

Always Most of the time Frequently Sometimes Rarely Never

12. I control my impulses.

Always Most of the time Frequently Sometimes Rarely Never

13. I’m optimistic in the face of challenging circumstances.

Always Most of the time Frequently Sometimes Rarely Never

14. I use strong emotions, such as anger, fear, and joy, appropriately and for the good of others.

Always Most of the time Frequently Sometimes Rarely Never

15. I’m patient.

Always Most of the time Frequently Sometimes Rarely Never

16. I try to understand why people behave the way they do.

Always Most of the time Frequently Sometimes Rarely Never

17. I’m adept at managing multiple, conflicting demands.

Always Most of the time Frequently Sometimes Rarely Never

18. I readily understand others’ viewpoints, even when they are different from my own.

Always Most of the time Frequently Sometimes Rarely Never

19. I'm flexible when situations change unexpectedly.

AlwaysMost of the timeFrequentlySometimesRarelyNever

20. I understand how stress affects my mood and behavior.

AlwaysMost of the timeFrequentlySometimesRarelyNever

21. I can easily adjust goals when circumstances change.

AlwaysMost of the timeFrequentlySometimesRarelyNever

22. I can describe my emotions in the moment I experience them.

AlwaysMost of the timeFrequentlySometimesRarelyNever

23. I can shift my priorities quickly.

AlwaysMost of the timeFrequentlySometimesRarelyNever

24. My curiosity about others drives me to listen attentively to them.

AlwaysMost of the timeFrequentlySometimesRarelyNever

25. I strive to understand people's underlying feelings.

AlwaysMost of the timeFrequentlySometimesRarelyNever

26. I adapt easily when a situation is uncertain or ever-changing.

AlwaysMost of the timeFrequentlySometimesRarelyNever

5.5 TELEPHONE ETIQUETTE

These are some basic manners that everyone in Business should follow because what you say represents you, your organization and your ideas. All of these deserve to be portrayed in the best possible manner. There are certain thumb rules that we go by in Business.

Telephone is an important device with the help of which people separated by distance can easily interact and exchange their ideas. Got a brilliant idea and want to convey information to your friend staying out of the country, use the telephone. Telephone is one of the easiest and cheapest modes of communication.

Telephone etiquettes - An individual needs to follow a set of rules and regulations while interacting with the other person over the phone. These are often called as telephone etiquettes. It is important to follow the basic telephone etiquettes as our voice plays a very important role in creating an impression of our personality, education, family background as well as the nature of job we are engaged in. The person giving the information is called the sender and the second party is the recipient.

Let us now study the various telephone etiquettes. Please find below the various telephone etiquettes.

- Always remember your **voice has to be very pleasant** while interacting with the other person over the phone. Don't just start speaking, before starting the conversation use warm greetings like "good morning", "good evening" or "good noon" depending on the time.
- **Never call any person at odd hours** like early morning or late nights as the person will definitely be sleeping and will not be interested in talking to you.
- **In any official call, don't use words like "Any guess who I am?"** as the person on the other side might be occupied with something and can get disturbed. Always say "Is it Ted?", and do ask him, "Is it the good time to talk to you?" and then start communicating.
- **Make sure your content is crisp and relevant.** Don't play with words, come to the point directly and convey the information in a convincing manner. First prepare your content thoroughly and then only pick up the receiver to start interacting.
- After dialling, always reconfirm whether the person on the other side is the desired person whom you want to interact with. Always ask "Am I speaking to Mike?" or "Is this Jenny?" before starting the conversation.
- Always carefully dial the numbers, never be in a rush or dial the numbers in dark as it would lead to a wrong call. If by mistake you have dialled a wrong number, don't just hang up, do say sorry and then keep the phone courteously.
- **Never put the second party on a very long holds.** Always keep the information handy and don't run for things in between any call as the listener is bound to get irritated.
- While interacting over the phone, don't chew anything or eat your food. First finish your food and then only dial the number. If you are reading, please leave the book aside, first concentrate what the other person wishes to convey and then continue with the book.
- After completing the conversation, don't just hang up. Reconfirm with the receiver whether he has downloaded the correct information or not and do end your conversation with pleasant words like "Take care", "nice speaking with you" and a warm bye but never say Goodbye.
- Always speak each and every word clearly. The person on the other hand can't see your expressions so remember your tone should be apt to express your feelings in the correct form.
- **Don't take too long to pick up any call.** If you miss the call, make sure you give a call back as the other person might have an important message to convey. Avoid giving missed calls at work places as it irritates the other person.
- In professional talks, never keep the conversation too long as the other person might be busy.

- If you are not the correct person and the speaker needs to speak to your fellow worker always say “one moment please- I will call him in a minute”. If the colleague is not in the office premises, always take a message on his behalf and don’t forget to convey him when he is back.
- Decrease the volume of the television or turn off the speakers while speaking over the phone as noise acts as a hindrance to effective communication
- If there is any disturbance in the network, don’t just keep speaking for the sake of it; try to call after sometime with a better line.

5.5.1 Essential Rules of Phone Etiquette

1. **Answer a call within three rings:** If your position entails always being available to callers, you should actually be available. That means staying focused and answering calls immediately. The last thing you want to do is keep a customer waiting after a string of endless ringing or send them to voicemail when you should’ve been able and ready to reply.

As long as you’re alert and at your phone at all times excluding breaks this rule should be fairly simple to follow. However, we recommend responding within three rings in order give yourself enough time to get in the zone and prepare for the call. Picking up the phone right away might leave you flustered.

2. **Immediately Introduce Yourself:** Upon picking up the phone, you should confirm with the person whom they have called. In personal calls, it’s sufficient to begin with a “Hello?” and let the caller introduce themselves first. However, you want to allow the caller to know if they’ve hit a wrong number, as well as whom they are speaking with.

Practice answer the phone with, “Hi, this is K. Teja Kumar(Your first name) from XY company (Company name). How can I help you?” Your customer will be met with warmth, which will encourage a positive start to your call. And, if it ends up being an exasperated college student trying to order pizza, they’ll at least appreciate your friendliness.

3. **Speak Clearly:** Phone calls, while a great option for those who detest in-person interaction, do require very strong communication skills. For one, the person on the other end of the line can only judge you based on your voice, since they don’t get to identify your body language and hopefully kind smile.

You always want to speak as clearly as possible. Project your voice without shouting. You want to be heard and avoid having to repeat yourself. A strong, confident voice can make a customer trust you and your support more. In case of bad cell service or any inability to hear or be heard, immediately ask to hang up and call back.

4. **Only use speakerphone when necessary:** We all know the trials of speakerphone. It's easier for you because you can use your hands to multitask. However, for the other caller, it's like trying to hear one voice through a honking crowd of taxis in Manhattan impossible and frustrating.
5. **Actively listen, and take notes:** Speaking of paying attention to your customers, it's essential that you're actively listening to them throughout the conversation. Actively listening means hearing everything they have to say and basing your response off of their comments, rather than using a prescribed script. This proves to your customers that you're present and are empathetic to their inconveniences.

6. **Use Proper Language:** A key difference between professional and personal phone calls is obvious the language. It might be acceptable to use slang and swears when talking on the phone with your friends, but this kind of language can cause you to lose a customer for life.

Always be mindful and respectful when on the phone. You never know what customers might be offended by something you say, so it's best to use formal language. It's okay to throw in humor if appropriate, but never crack a joke that could upset a customer.

7. **Remain Cheerful:** You never know when a customer is having a bad day. When someone is rude to you on the phone, your immediate reaction may be to put them in your place. First, though, take a moment to step into their shoes and recognize why they're so upset.

The point is to always remain positive and friendly, especially in the face of negativity. Your optimistic outlook may be enough to turn a failing phone call right around. Remind yourself that the last thing your customer probably wanted was to spend their afternoon on the phone with customer support. So, make that call the best it can be, and it may create a loyal, lifetime customer.

8. **Ask before putting someone on hold or transferring A Call:** There's often nothing more infuriating than being put on hold. After waiting on hold for ten or fifteen minutes to speak with a real-life human being, you finally get to explain your problem. Then, you're immediately put back on hold and then transferred to someone else to whom you must re-explain the whole problem. Talk about exhausting.

However, if you must put a customer on hold or transfer their call, always ask for their permission first. Explain why it's necessary to do so, and reassure them that you or another employee are going to get their problem solved swiftly. By keeping your customer in the loop, they'll be less inclined to complain about a long wait time.

9. **Be honest if you don't know the answer:** You might need to put a customer on hold or transfer their call if the dreaded occurs you don't know the solution. Perhaps you've tried everything you can or simply have no idea what they're talking about. Don't panic; customer support representatives are humans, too, and it's okay not to be the knowing everything voice of reason.

10. **Be mindful of your volume:** You may be so focused on your phone call with a customer that you're barely paying attention to your present setting. When working in a call center, things can get pretty loud. You always want to be mindful of your volume and ensure that you're not disrupting the ability of your co-workers to speak to customers and get their work done.
11. **Check for and respond to voicemails:** It's quite possible that a customer might reach out to you when you're on a break or after you've left work for the day. If it's possible for you to receive voicemails, make sure you're always checking for them. It's easy for a voicemail to slip under the radar, but the customer won't easily forget.

Start and end each day by checking your voicemail. It takes just a few minutes and can avoid a lost customer support request. Your customers will appreciate your prompt response, and you can get on to doing what you do best providing knowledgeable and friendly support.

However, there will be some interactions where these actions may not be enough to defuse the situation. Some customer interactions will require your team to take special measures to ensure you're meeting the customer's immediate and long-term needs. In the next section, we'll break down a few of these scenarios and what you can do to resolve them.

5.5.2 Customer Service Phone Etiquette

Sometimes you may pick up the phone and immediately have to rebuild a relationship with a customer. These cases should be scarce, but they will happen to even the best customer service teams. It's important to use the correct phone etiquette in these types of cases to produce the most effective outcome for both the customer and the company. To help you prepare, below are a few common challenges that most customer service reps will face when working on the phone.

1. **The customer is asking you to do something that you can't:** The only "downside" to providing great customer service is that sometimes your customers expect too much from you. When you're constantly fulfilling their needs they may ask you to do something that you simply don't have the power to do, or is against your company's policy. Often times they're not making a malicious request, but rather the customer thinks your team is so effective it can provide an advanced service.
2. **The customer insists on staying on the phone until their problem is resolved:** Customers are dedicated to reaching their goals and some will do nearly anything to achieve success, even if that means staying on the phone until they get their way. This motivation can sometimes lead to stressful situations where customers become agitated because a rep can't perform a specific action. These cases are rare but they will happen, especially if your product is imperative for customer success.

The best measure to take in these cases is to provide proactive customer service. Pay attention to cues in the customer's tone and vocabulary that would indicate frustration or stress. Then prevent escalation by acknowledging the roadblock as well as how the problem impacts the customer's workflow. This demonstrates to the customer that you have been actively listening to their request and are aligned with their goals.

If you can't defuse the situation, the next best step is to initiate a follow up plan. Let the customer know that you would like to look into the issue further and would like to follow up via their preferred contact method. If the customer is resistant to getting off the phone, explain how you need to get in touch with internal references who can assist you with the issue. Make it clear that it's in the customer's best interest to hang up the phone and follow up at a later time. If that's not possible, contact your manager immediately to intervene with the situation.

3. **The Customer is Demanding to Speak with A Manager:** Many customers think that demanding to speak with management will help resolve their case faster. In actuality, customer service managers dictate the company's stance on customer service issues and will echo the rep's initial response if it's in accordance with their policy. This can lead to poor customer experiences as customers will feel like the company has failed to meet their individual needs.

Sometimes customers will demand outright to speak with your manager. For these cases we recommend implementing a one strike rule, meaning if a customer asks to speak with your manager then you have one chance to prevent the escalation.

4. **The Customer doesn't Understand your Explanation:** Phones are great for providing immediate support for simple and easy-to-fix issues but they can be tricky to work on when cases become more complex. Both you and the customer have to keep track of important case details to ensure you're on the same page throughout the troubleshooting process. In these cases, it's easy for customers to misinterpret information and become confused about the steps you're recommending. Even if you're providing detailed troubleshooting steps, your in-depth explanation may be too advanced for the customer's level of product knowledge.

For these scenarios, leverage customer service tools that can help clarify your explanation. Tools like screen shares and virtual assistants provide hands-on support and guide customers through each step of the troubleshooting process. They're following by your recommendations properly and answer any questions that have at that moment.

5. **The Customer is keeping you on the Phone for too Long:** Customers value their time, but so do customer service reps. Most reps have a case quota that they need to reach every day and will fall short if they get stuck on a lengthy call. When you're dealing with 30+ calls each day, you can't afford to be bogged down by an hour-long call. This presents you with a tricky challenge of meeting customer needs as well as your own career goals.

While you should give each customer your utmost attention and dedication to their problem, be mindful of how long you're on the phone with a customer. When you're no longer making any significant progress on the case, ask to follow up with them. Explain why you need to follow up and how this will lead to a faster resolution. This measure not only helps you reach your daily goals but will proactively demonstrate that you're being mindful of the customer's time.

5.5.3 Ways to Improve Your Telephone Etiquette

For working as a corporate employee for the last several years, the following telephone etiquette may expertise for the benefit of others. Regardless of your position, answering the phone is a part of everyone's daily repertoire at work. So, it makes sense to be the best you can be when taking a call. Below are some tips that will up your game.

1. **Greet everyone with a calm tone**, no matter how busy you may be at that moment. Likewise, notice their tone and the speed in which they are speaking. This will alert you to how urgent the call is.
2. **Be positive and upbeat**, so the caller knows you're happy to hear from them. That goes along with smiling, even though they can't see you they will pick up on it at the other end of the line.
3. **Take the time to say "Good morning" or "Good afternoon."** With caller ID, it can be easy to also use the person's name.
 - If you are unfamiliar with the name given by caller ID or the caller's voice, however, it's preferable to ask, "Who's calling, please?" or wait until they introduce themselves, rather than making assumptions.
 - If you do know them well, you may want to take a moment for personal chit-chat, like "How is your day going?" But, then quickly get down to business.
4. **Be efficient.** Realize other people are as busy as you are, so keep business calls brief and remain sensitive to their schedule. If a phone meeting is supposed to last one hour, stay within that time constraint. End the call on time or sooner.
5. **Always be respectful**, as you may not realize to whom you're speaking. If it is a prospective client or new hire, a phone call may very well be the "first and lasting" impression they form of the company. A simple phone conversation can make them feel welcome (or not).
6. **Express your willingness to help** or assist in any way, providing the needed information or referring the caller to someone else who knows the answer to their questions.
7. **Be a good listener!** That means practicing "active" listening (what some call "world-class" listening), without interrupting and focusing on the caller's need.

8. **Let them know you liked talking to them.** Saying something as simple as, “It was a pleasure talking to you today,” can go a long way. Even the trite, “Have a nice day,” still works as a polite, thoughtful closure to a call.
9. **Get to know your frequent callers.** Remembering their names and what they might be calling about is flattering and communicates that you value their business.

Finally, on business calls, it’s important to **always have a professional demeanor** and speak in more formal language. Slang or casual verbiage has no place in work-related communications. There’s a fine line between being *friendly* and treating someone like a *friend*.

Although most of these tips are geared towards external callers, some of the same principles can also be applied to intra-company phone calls. It may be harder to keep that professional edge going when talking to colleagues with whom you work closely and have developed friendships.

However, my advice is to sound professional on all phone calls during work hours, staying in business mode. The place to be more casual is at offsite working lunches and happy hour events.

5.6 INTERPERSONAL SKILLS

Interpersonal skills involve the ability to communicate and build relationships with others. Often called ‘people skills’, they tend to incorporate both your innate personality traits and how you’ve learned to handle certain social situations. Effective interpersonal skills can help you during the job interview process and can have a positive impact on your career advancement.

Interpersonal skills are the behaviors and tactics a person uses to interact with others effectively. In the business world, the term refers to an employee’s ability to work well with others. Interpersonal skills range from communication and listening to attitude and deportment.

Interpersonal skills are often referred to as social intelligence. They depend on reading the signals others send and interpreting them accurately in order to form a response.

Everyone has a personal style and an interpersonal style, but some are more successful than others. While interpersonal skills may be based in part on personality and instinct, they also can be developed.

5.6.1 Understanding Interpersonal Skills

Interpersonal skills can be developed but they cannot be learned solely from a textbook. They come naturally to some people, while others have to work at cultivating them. In many organizations, employees with strong interpersonal skills are valued for their pleasant demeanor and positive, solution-oriented attitude. These employees are seen as team players, who work well with others to achieve a goal. In more human terms, everyone likes being around them, and that never hurts.

Interpersonal skills are strongly linked to a knowledge of social expectations and customs, whether learned or acquired. People with the strongest interpersonal skills adjust their tactics and communications on the fly depending on the reactions of others.

5.6.2 Importance of Interpersonal Skills

Strong interpersonal skills can help you during the job interview process as interviewers look for applicants who can work well with others. They will also help you succeed in almost any job by helping you understand other people and adjusting your approach to work together effectively. For example, while a software engineer may spend the majority of her time working on code independently, she may need to collaborate with other programmers to effectively bring a product to market.

This is especially true as more companies implement collaborative agile frameworks to get work done. Employers will be looking for workers who can both perform technical tasks with excellence and communicate well with colleagues.

Employers value interpersonal skills because they contribute to positive work environments and help maintain an efficient workflow. Here is a list of interpersonal skills for you to identify the ones you may possess that are valuable to employers.

1. **Active listening:** Active listening means listening to others with the purpose of gathering information and engaging with the speaker. Active listeners avoid distracting behaviours while in conversation with others. This can mean putting away or closing laptops or mobile devices while listening and asking and answering questions when prompted.
2. **Dependability:** Dependable people can be relied on in any given situation. This can include anything from being punctual to keeping promises. Employers highly value dependable workers and trust them with important tasks and duties.
3. **Empathy:** A worker's 'emotional intelligence' is how well they understand the needs and feelings of others. Employers may hire empathetic or compassionate employees to create a positive, high-functioning workplace.
4. **Leadership:** Leadership is an important interpersonal skill that involves effective decision making. Effective leaders incorporate many other interpersonal skills like empathy and patience to make decisions. Leadership skills can be used by both managers and individual contributors. In any role, employers value people who take ownership to reach common goals.
5. **Teamwork:** The ability to work together as a team is extremely valuable in every workplace. Teamwork involves many other interpersonal skills like communication, active listening, flexibility and responsibility. Those who are good 'team players' are often given important tasks in the workplace and may be seen as good candidates for promotions.

5.6.3 How to Improve Interpersonal Skills

While interpersonal skills can seem easy to practice as you interact with others on a daily basis, making a deliberate plan can help you quickly improve. Consider the following ways to improve your interpersonal skills.

1. **Attend workshops or online classes:** There are several workshops, online classes and videos on ways you can practice building interpersonal skills. While many are free, some are available at a cost.
2. **Seek opportunities to build relationships:** If you work from home or do not otherwise have many opportunities to build interpersonal skills, you might consider joining a group. This could be related to your work networking or industry-specific groups or simply a group that shares a similar interest or hobby.
3. **Be thoughtful about ways your interactions could improve.** Take time to review the interactions you have had and consider ways you could have interacted more effectively. This might be certain words you said, ways you reacted or body language you used.
4. **Ask trusted friends or colleagues for constructive criticism.** It is helpful to get a third-party perspective about your skill level and specific ways you can improve. Ask friends or trusted colleagues to provide constructive criticism regarding your interpersonal skills.
5. **Observe other positive interpersonal interactions.** It can also be helpful to learn by observing others use their interpersonal skills. Observe positive interactions of those around you and apply the qualities you admire to your own relationships.
6. **Seek mentorship.** Asking someone you trust, admire and respect to counsel you on improving interpersonal skills and advancing in your career can be an extremely effective way to learn.

5.6.4 Highlight Interpersonal Skills when Applying for Jobs

During the job application and interview phase, you can highlight your interpersonal skills on your resume and your cover letter. After you are hired, you should continue to maintain your skills and develop new ones.

1. **Including Interpersonal skills on a resume:** On your resume, include a few key interpersonal skills under the 'skills' section. Generally, the best skills to put on a resume are those that you are confident will be verified by any of the references you list on your job application. Review the job posting to understand which of your skills are most relevant to the job you're applying for and which you should prioritise on your resume.

Your resume skills section may look like this.

Technical skills: POS Systems, Excel, HTML, Digital Phone Systems

Additional skills: *Effective Team Player, Highly Communicative and Cooperative, Active Listener, Innovative Researcher*

You can also provide examples of your interpersonal skills in the ‘experience’ section of your resume. Do this by including concrete examples of how you worked with others and the results you achieved. For example, collaborated with designers, copywriters and strategists on a rebranding initiative that resulted in a 30 percent increase in website visits.

- 2. Including interpersonal skills on a cover letter:** For your cover letter, you may want to focus on one strong, relevant interpersonal skill. This can help the employer get a good idea about an area you see as one of your strengths. You may also want to briefly explain how that skill can benefit the employer and create a good work relationship.

An example section highlighting your skills in a cover letter could look like the following.

With my previous employer, I was often called upon to help form collaborative teams. My managers pointed to my ability to listen and understand my colleagues’ strengths to best determine how to assign effective roles.

- 3. Interpersonal skills in a job interview and on the job:** During your job interview, the hiring manager may be looking to see how actively you listen, whether you maintain eye contact and if you are courteous and respectful. The job interview is also a good opportunity to show dependability. Arriving early for your interview, for example, shows you are serious about the interview and respect the interviewer’s time.

Once you successfully get a job, you will continue to rely on interpersonal skills. By demonstrating that you are dependable, taking the initiative to lead and having a positive impact on your colleagues, you can develop a strong reputation as a collaborative teammate.

Interpersonal communication skills are increasingly valued by employers in every industry. Regardless of what type of career you are looking to enter, your ability to work well with your colleagues and employer may make a good impression and result in positive career growth.

5.7 OUTCOMES

1. Effectively communicate through verbal/oral communication and improve the listening skills
2. Become more effective individual through goal/target setting, self motivation and practicing creative thinking.
3. Self-Awareness, Personal Development, and Life Skills and students will develop and exhibit and accurate sense of self.

5.8 INTERVIEW QUESTIONS

The Phone Interview

Due to a company's geographic location, travel costs, and divergent schedules, a phone interview may often be your initial contact with a prospective employer. Therefore, we're offering some phone interview tips.

Objective: The idea behind a phone interview is to gain an invitation for a personal interview, and to gather more information for future steps in the process.

Preparation: Have a pad, pen, and a copy of your resume near the phone. Use a phone in a quiet area. Avoid any background noise. Also avoid using a cordless phone, because they tend to transmit poorly.

Speaking

- a. Smile and be enthusiastic. Your enthusiasm will carry through to the interviewer.
- b. Speak in a conversational manner, and be sure to speak loudly enough to be heard. Speak with some inflection and tone.
- c. Let the interviewer do most of the talking. When s/he asks you a question, expound upon the answer. Use the opportunity to sell your skills and experience.
- d. When the interview is over, let her/him know that you are very interested in scheduling a personal interview at her/his place of business.

Placement Questions

Here some of the HR Interview Questions asked for Freshers Candidates. (Capgemini)

- Tell me about yourself
- What will be the first you will do if you will see someone getting fired?
- How you will feel if you get rejected from here?
- What is the first thing you will do after going out?
- How many stairs you climbed while coming for this interview?
- Why you haven't chosen any other project as a final year project?
- Have you copied the project or did it on your own?
- Why should we hire you on Capgemini?
- Why do you want to work with Capgemini?

HR Interview Questions asked for Freshers/Experience Candidates. (Cognizant)

- Tell me about a situation where you had to quickly adjust to a change in your department or team priorities. How did this change affect you?

- Describe a time you had to meet a scheduled deadline while your work was being interrupted continuously. What was most difficult about this and how did you handle it?
- Give me an example of a time when you had to balance multiple responsibilities at once. What did you do to keep organized? How did you prioritize your tasks?
- Tell me about a challenging time you faced with a person from a different background or culture.
- Interacting with co-workers or customers from different backgrounds or cultures can be challenging at times. Tell me about a challenging time you faced with a person from a different background or culture.
- What skill do you feel you need to develop the most? Why?
- Describe some specific tasks or conditions you found frustrating. How did you handle them?
- Describe the style of management under which you work most effectively. Why do you prefer this style?
- Tell me about a time you received constructive criticism. What was it? How did it make you feel when you received it? What did you do to improve?
- Tell me about a time when you were asked to change your schedule unexpectedly. How did you feel about it? How did you handle it?
- What types of responsibilities do you like most?
- What types of responsibilities do you like least?
- What makes one location of work more desirable to you than another?
- Are you willing to relocate or travel?
- Tell me about a time when it was necessary to admit to others that you had made a mistake. How did you handle that?
- How would you describe the perfect work environment for you?
- How do you react when asked to do something beyond your capabilities?
- Describe your ideal company, location and job
- How do you feel about working nights and weekends?
- What motivates you to do good job?
- What makes you angry?
- Where do you see yourself five years from now?
- What is more important to you: money offered, or the type of job?
- Do you enjoy working independently?

- In what kind of a work environment are you most comfortable?
- Do you prefer working with others or all by yourself?

Interview Questions

[IBM]

- Where is your resume? Sir invigilator stapled it with my answer sheet.
- Introduce yourself.
- Why do you want to switch to S/W industry? More opportunities.
- Write a program in C to sort a list of numbers in descending order.
- What is static & dynamic logic?
- Differentiate between analog & digital communication.
- What's BI-CMOS?
- Why do you think we should recruit you?
- Which is the last book that you have read?
- Tell me something about the book?
- Which is your preferred location?
- Are you ready to relocate?
- Do you have any questions for us?
- Tell about yourself which is not mentioned in your resume.
- Why IBM?
- Sell yourself, Why should we recruit you when so many candidates are there.
- Why do you want to leave your previous company?
- Don't mention any negative comments about your previous company.
- What do you expect from IBM?
- List all 48 subjects throughout your Engineering?
- Tell any three good things about your college.
- They will ask you about relocation Initially say anywhere throughout the globe and you can speak your preference once you smell the victory.

Life Skill Course
Human Values and Professional Ethics
As per Choice Based Credit System (CBCS)
Common to all Branches



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Human Values and Professional Ethics

Learning Outcome

On completion of this course, the UG students will be able to:

- Understand the significance of value inputs in a classroom and start applying them in their life and profession
- Distinguish between values and skills, happiness and accumulation of physical facilities, the Self and the Body, Intention and Competence of an individual, etc.
- Understand the value of harmonious relationship based on trust and respect in their life and profession
- Understand the role of a human being in ensuring harmony in society and nature.
- Distinguish between ethical and unethical practices, and start working out the strategy to actualize a harmonious environment wherever they work.

Unit-1: Introduction - Definition, Importance, Process & Classifications of Value Education

- Understanding the need, basic guidelines, content and process for Value Education
- Understanding the thought provoking issues; need for Values in our daily life
- Choices making - Choosing, Cherishing & Acting
- Classification of Value Education: understanding Personal Values, Social Values, Moral Values & Spiritual Values.

Unit-2: Harmony in the Family - Understanding Values in Human Relationships

- Understanding harmony in the Family- the basic unit of human interaction
- Understanding the set of proposals to verify the Harmony in the Family;

- Trust (*Vishwas*) and Respect (*Samman*) as the foundational values of relationship
- Present Scenario: Differentiation (Disrespect) in relationships on the basis of body, physical facilities, or beliefs.
- Understanding the Problems faced due to differentiation in Relationships
- Understanding the harmony in the society (society being an extension of family): *Samadhan*, *Samridhi*, *Abhay*, *Sah-astitva* as comprehensive Human Goals
- Visualizing a universal harmonious order in society- Undivided Society (*Akhand Samaj*), Universal Order (*Sarvabhaum Vyawastha*)- from family to world family.

Unit-3: Professional Ethics in Education

- Understanding about Professional Integrity, Respect & Equality, Privacy, Building Trusting Relationships.
- Understanding the concepts; Positive cooperation, Respecting the competence of other professions.
- Understanding about Taking initiative and Promoting the culture of openness.
- Depicting Loyalty towards Goals and objectives.

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Unit-2: Harmony in the Family

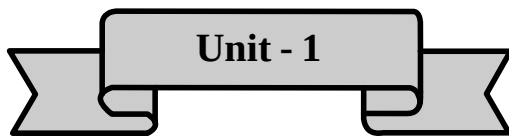
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INTRODUCTION

1.0 OBJECTIVES

After completion of this unit we should be able to understand :

- Basic concepts of human values, Value Education.
- Importance of human values and their classification.
- Guidelines for value education.
- Discuss Process of Value Education.

1.1 INTRODUCTION

The word “Value” stands for ideas, beliefs or concepts of a person or the group of persons who treat them as very much essential to their life. It is a concept with some an emotional connotation. The value education is always essential to shape one’s life and to give one an opportunity of performing on global stage. An values form basis for all our thoughts, behaviors and actions. Once we know what is valuable to us, these values becomes the basis and anchor for our actions.

Concepts of various disciplines concern out head but values stir our hearts. Thus, the values of an individual, group or a society includes all important religious beliefs, moral attitudes and philosophy of life, political ideologies and social structure etc., which are of great importance for sustaining society and its culture.

The value means importance and education means knowledge, therefore value education means knowledge of importance. Other words when we get knowledge of importance of anything, importance of human being, importance of us as human being, then we have value education.

We need to understand universality of various human values, because only then we can have a definite and common program for value education. Only we can be assured of a happy and harmonious human society.

Character oriented education that instills basic values and the ethnic values in one's psyche is called as 'value based education'. One definition refers to it as process that gives young people an initiation into values, giving knowledge of rules needed to function in this mode of relating to other people, and to seek development in the student a grasp of certain underlying principles, together with an ability to apply these rules intelligently, and to have settled disposition to do so. Values form the basis for all our thoughts, behaviors and the actions.

Values refers to a person's principles or standards of behavior; one's judgment of what is important in life. Ethics is a set of rules, almost similar to values but tends to be codified into recognized system or set of rules which are clearly adopted by a group of people.

1.2 VALUE EDUCATION

The value of education can be defined as fundamentals of comfort and materialistic happiness that enables human beings to live in harmony. It is valuable universally. Value education is defined as process in which people gives value to an other peoples.

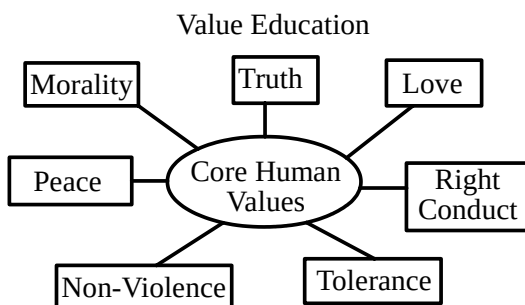


Figure-1.1: Value Education

“Excess of knowledge and power, without Values, make human beings devils”
- **Swami Vivekananda**

“Value-education is an aggregate of all the process by means of which a person develops abilities, attitudes and other forms of behaviour of positive values in the society in which he lives”.

- **C. V. Good**

Value Education is important to help everyone in improving value system that he/she holds and put them to use. Once, everyone has understood their values in a life they can examine and the control different choices they make in their life. The value education is always essential to shape one's life and to give him an opportunity of performing himself on the global stage. Value education is an combination of two words value and the education. The term can be looked at from two points of view.

1. Is Education of any value or worth? and
2. How can we add the value to education.

Value education is deals with what is universally valuable to us, what is conductive to our individual and collective happiness and prosperity in a sustainable way. It can be refers to it as process that gives young people an initiation into values, giving knowledge of rules needed to function in this mode of relating to an other people, and to seek an development in a student a grasp of certain underlying principles, together with an ability to apply these rules intelligently and to have settled disposition to do so. The character oriented education that instils basic values and ethnic values in one's psyche is called as 'Value Based Education'. Subject that enables us to understand 'what is valuable' for human happiness is called as value education.

1. Value education is important to help everyone in improving value system that he/she holds and puts it to use.
2. An value education means inculcating in a children a sense of humanism, the deep concern for the well-being of others and nation.

It can be accomplished only when we instill in a children a deep feeling of commitment to values that would build this country and bring back to people pride in a work that brings order, security and assured

progress. The value education we like to develop the social, moral, aesthetic and the spiritual sides of person which are often undetermined in a formal education. Value education teaches us to preserve whatever is good and worthwhile in what we have inherited from our culture. It can help us to accept respect attitude and the behaviour of those who differ from us. The value education does not mean value imposition or indoctrination.

Value education has capacity to transform the diseased mind into a very young, fresh, innocent, healthy natural and attentive mind.

Transformed mind can be capable of higher sensitivity and heightened level of a perception. It leads to fulfillment of evolutionary role in man and in a life.

The value of education should include:

- (i) All dimensions thought, behavior, work and realization.
- (ii) All levels of human living – individual, family, society and nature

Very purpose and the main function of education is development of an all round and well-balanced personality of a student, and also to develop all dimensions of human intellect so that our children can help make our nation more democratic, cohesive, socially responsible, culturally rich and the intellectually competitive nation.

The value-education is a many-sided endeavour and an activity during which young people are assisted by adults or older people in schools, family homes, clubs and religious and other organisations, to make explicit those underlying their own attitudes, to assess an effectiveness of these values for their own and others long term well-being and to reflect on and acquire other values which are more effective for the long term well-being.

1.2.1 Effective Management of Value Education

Following are activities for effective management of value education;

1. Paripath is the regular activity of school, D.Ed. College, in B.Ed. College and Junior and Senior Colleges it should be the regular activity.

2. Follow up activities should be conducted of the paripath, some activities based on a paripath should be organised.
3. Renowned persons, ideal teacher's the contribution may be taken.
4. Media should disseminate non-formal education interestingly, literature, serials, movies should not encourage false belief, sex and the violence.
5. Through textbooks, especially of first languages, teaching should be done, keeping in view, what values will be inculcated through the each lesson

For an effective management of value education we suggest following recommendations:

1. A value education should be imparted compulsorily up to high school level. Evaluation of value education should be routine one. It should be based on daily observation of student by teachers and peers.
2. Student should be rewarded for good habits and good deeds in assembly which will inspire other student.
3. Non-formal programmes such as educational visits, exchange of resource material, mobile exhibitions, regional seminars, visits to cultural and the national monuments and museums needs to be emphasised.
4. All teachers in the school should be regarded as teachers of value education and all subjects including physical education can be used for the inculcation of right values.
5. There should be formation of courses both at secondary level and at university level aiming at giving the children basic knowledge about media, its people and the cultural tradition.
6. Co-curricular activities have physical, ethical, aesthetic, recreational, psychological, academic, social, cultural, disciplinary values for that proper selection of the activities is an important part of organisation.
7. An exchange of programmes amongst various states, countries, studying each other's cultures and the literacy works should be taken up to develop the spirit of kind-ship and common value system.

8. Co-curricular activities which are necessary for inculcation of values should be arranged rigorously.
9. For all round development of students provision of special teachers for subjects such as physical education, vocation, music and dance is to be made.
10. Fine arts, music, creative writing, puppetry and theatre are to be given due place in curriculum right from school to university level.
11. Fairly long period of social service should be introduced by all schools and the universities.
12. Student should maintain a diary of daily activity and teacher should check it.

1.2.2 Objectives of Value-Education

An objectives of value-education were based on the religion and philosophy. There was no secular value-education; but in today's modern world, it has been taken as very much essential.

1. To improve the integral growth of human value.
2. To create and develop awareness about the values and their significance and their role.
3. Inculcation of good manners and of the responsible and cooperative citizenship.
4. An inculcation of the spirit of patriotism and the national integration.
5. Developing tolerance towards and understanding of different religious faiths.
6. Enabling pupils to make decisions on the basis of sound moral principles.
7. Developing the democratic way of thinking and living.
8. Developing sense of brotherhood at social, national and the international levels.
9. Helping pupils to have faith in themselves and in some supernatural power i.e., supposed to control this universe and human life.

10. Evolving the evaluation criteria on the value-education.
11. Clarifying the meaning and the concept of value-education.
12. Suggesting measures for an better utilisation of value-education.
13. Finding out interests of pupils in relation to different aspects and the activities of an value-education.
14. To increase awareness about our national history, our culture, heritage, constitutional rights, national integration, community development and the environment.

1.2.3 Significance of Value Education

1. If once, we have understood his/her values in life he/she can examine and the control different choices he/she makes in his/ her life.
2. The value education is an important to help everyone in improves the value system that he/she holds and puts it to use.
3. One has to frequently uphold different types of values in his/ her life like cultural values, universal values, personal values and the social values.
4. Value education is always essential to shape one's life and to give one an opportunity of performing on the global stage.

Need for an value education among parents, children, teachers etc, is constantly increasing as we continue to witness increasing violent activities, behavioral disorders and the lack of unity in a society etc.

An value education can be enables us to understand our needs and visualize our goals correctly and also indicates the direction for their fulfillment. It can also be helps remove our confusions and the contradictions and enables us to rightly utilize the technological innovations.

1.2.4 Guidelines for Value Education

An education is for a holistic life and not for a mere living. The 'Education' needs to be enriched with values and it is not mere stuffing of facts. To qualify for any course on the value education following guidelines for the content of the course are important.

1. Universal
 2. Rational and secular
 3. Natural and verifiable
 4. Encompassing and
 5. Leading to harmony
1. **Universal:** Value education is universal which implies that it is applicable to every human beings irrespective of of cast, creed, nationalities, religions etc., for all times and space.
 2. **Rational:** Value education should be in accordance with human reasoning.
 3. **Secular:** It is not dependent on any cast, creed or religion or sect.
 4. **Natural:** It has to be 'naturally acceptable' to the human being who goes through the course and there needs to be every provision in nature for its fulfillment.
 5. **Verifiable:** It needs to be experientially verifiable, and not based on dogmas. It should not be a mere theory based on assumptions.
 6. **All encompassing:** It needs to cover all features like one's thoughts, behaviour, experience, realization and work. It should also include all the levels of human existence like individual, family, society and nature.
 7. **Leading to Harmony:** The Value Education ultimately is targeted to promote harmony within the individual, among human beings and with nature. The aim is to promote harmony at all levels.
 - i) Individual
 - ii) Family
 - iii) Society
 - iv) Nature

1.2.5 Importance of Value Education

1. Value Education helps us to build up strong relationships.
2. Value Education helps us to explore our inner happiness.
3. Value Education helps us to actualize the potential which already exists within us.

4. Value Education reduces the feeling of jealousy and promotes brotherhood.
5. Value Education widens our perception towards analyzing things.
6. Value education teaches one to be in harmony with self, people around us and an entire world.
7. Value Education helps us to visualize our goals clearly.
8. Value Education helps us to remove the ignorance which covers our inner knowledge.

1.3 INTRODUCTION TO VALUES

Values refer to a person's principles or standards of behavior; one's judgment of what is important in life. Ethics is a set of rules, almost similar to values but tends to be codified into recognized system or the set of rules which are clearly adopted by group of people. To behave ethically is to behave in a manner, acceptable to society.

An value denotes the importance of determining what action or ideal is best to do or live, Value may be described as treating the actions themselves by putting value to them. The value deals with the right conduct and the good life, in the sense that the highly valuable action can be regarded as ethically "good" and the action of low value may be regarded as "bad".

An ethical value denotes the importance of a thing, with the aim of determining what action or life is best to do, or at least attempt to describe an value of different actions. It can be described as treating actions themselves as abstract objects, putting value to them. It can be deals with right conduct and the good life. In the sense that a highly, or at least relatively highly, valuable action or may be regarded as the good, and an action of low, or at least relatively low, value can regarded as bad.

Personal and cultural values are relative in sense that they can be differ between people, and on a larger scale, between people of various cultures. On other hand, there are theories of existence of absolute values, which can also be termed as noumenal values. The absolute value is independent of individual and the cultural views and also independent of whether it is known or not.

An relative value can be regarded as an ‘experience’ by subjects of absolute value. Relative value thus varies with an individual and the cultural interpretation, while absolute value remains constant, regardless of individual or collective ‘experience’ of it.

An intensity or duration of an object decreases its total value and vice versa when decrease in the whole value. Total value can be regarded as being the sum of total intrinsic value and total instrumental value. It can be either relative or absolute, or both. Ethics and values are important virtues since they can be develop to be roots of traditions of various people around a world.

Other words values are those aspects of personality that are important to someone while ethics is a system of moral values that governs the behavior of a person in a society. Good examples of ethical values are integrity, honesty and responsibility. Leaders recognize the importance of ethical behavior. Best leaders exhibit both their values and their ethics in their leadership style and the actions.

1.4 DEFINITION OF VALUES

Values decide the standard of behavior. Some universally accepted values are freedom justice and equality. Other principles of values are love, care, honesty, integrity, self respect. Values reflect one’s personal attitudes and the judgments, decisions and choices, behaviour and relationships, dreams and vision. They influence our thoughts, feelings and actions. They guide us to do the right things. An values are regarded desirable, important and held in high esteem by a particular society in which a person lives. Thus, the values give meaning and strength to the person’s character by occupying the central place in his life.

“The value is defined as a principle that promotes well-being or prevents harm. Values are our guidelines for our success-our paradigm about what is acceptable”.

Human as a whole defines ones individual personality which is the human nature. There are multiplicities of Definitions on Values.

1. "A thing has or is a value if and when people behave toward it so as to retain or increase their possession of it."
- **George Lundberg.**
2. "Values are obverse of motives...the object, quality, or condition that satisfies the motivation."
- **Richard.T.Lapiere**
3. "By a social value we understood any datum having an empirical content accessible to the members of some social group and the meaning with an regard to which it is or may be an object of activity."
- **Znaniecki**
4. "A value is a conception, explicit or implicit distinctive of an individual or characteristic of a group of desirable which influences the selection from available means and ends of the action".
- **Clyde Kluckhohn**
5. "Values are desirable end states which acts as a guide to human endeavor or most general statements of legitimate ends which guide social action".
- **Neil.J.Smelser**
6. "Values are normative standards by which human beings are influenced in their choice among alternative courses of action which they perceive".
- **Philip.E.Jacob & James. J.Flink**
7. "What we properly call a value in life is an organic mixture of need, interest, feeling, purpose and goal, the production and conservation of values is one of the main concerns of human existence."
- **Lewis Mumford**
8. "A value is a brief upon which a man acts by preference".
- **Gordon .W. Allport**
9. "The value means primarily to prize, to esteem, to appraise and to estimate. It means the act of achieving something, holding it and also the act of passing judgement upon the nature and amounts of values as compared with something else".
- **John Dewe**

An values are the guiding principles of life which are conducive to all round development. They give direction and firmness to life and bring

joy, satisfaction and peace to life. Values are such as the rails that keep a train on a track and help it move smoothly, quickly and with direction. They bring quality to life.

1.5 CLASSIFICATION OF VALUE EDUCATION

Values are a set of principles or standards of behaviour. In words of John Dewey, “the value means primarily to prize, to esteem, to appraise and to estimate. It means the act of achieving something, holding it and also the act of passing judgement upon nature and amounts of values as compared with something else”.

The values are regarded as desirable, important and held in high esteem by the particular society in which a person lives. Thus, the values give meaning and strength to a person’s character by occupying a central place in his life. The values reflect one’s personal attitudes and judgments, decisions and choices, behaviour and the relationships, dreams and vision. They can influence our thoughts, feelings and the actions. They guide us to do right things.

The values are guiding principles of life which are conducive to all round development. They give direction and firmness to lift and bring joy, satisfaction and peace to life. Values are like the rails that keep a train on the track and help it move smoothly, quickly and with direction. They bring quality to life.

The values are classified broadly into five types. They are,

1. Personal
2. Social
3. Moral
4. Spiritual and
5. Behavioural

1. **Personal Values:** Personal values refer to those values which are desired and cherished by individual irrespective of his or her social relationship. Individual determines his own standards of achievement and attains these targets without an explicit interaction with any other person.

Examples: Ambition, cleanliness, contentment, courage, creativity, determination, dignity of labour, diligence, excellence, honesty, hope, maturity, regularity, punctuality, self-confidence, self-motivation and the simplicity etc.

2. **Social Values:** Social values refers to those values which are other oriented. These are concerning to society. These values are cherished and practised because of our association with others. Unlike personal values, the practice of social values necessitates the interaction of two or more persons. Social values are always practised in relation to our neighbors, community, society, nation and world. These are local, parochial and temporary in application.

Examples: Accountability, brotherhood, concern for environment, courtesy, dialogue, dutifulness, forgiveness, freedom, friendship, gratitude, hospitality, Justice, love, magnanimity, patience, repentance, responsibility, service, sharing, sports-manship, sympathy, team spirit and tolerance etc.

3. **Moral Values:** These values refers to those values which are related to an individual's character and the personality conforming to what is right and virtuous. They can be reveal a person's self-control. Realm of moral values is rather a debatable one. According to the sage Yagnavalkya, as a moral Value 'dharma' signifies cultivation of virtues of non-injury, sincerity, honesty, cleanliness, control of senses, charity, self-restraint, love and forbearance.

Examples: Honesty, integrity, sense of responsibility and compassion etc.

4. **Spiritual Values:** Ethical value as perception of the 'within' in man, it arises from inner depth dimension of man; it bestows the capacity to see the false as false and the true as the true. This is the key to the integration of man. Ultimate ethical value is called as spiritual value. Spiritual value is awareness itself. An virtues that can be associated with an spiritual values are purity, contentment, austerity, the scriptural study, devotion to God, spiritual wisdom, dispassion, self-discipline, control of senses, endurance, piety, sublimity, japa, meditation and the tranquility etc.

5. **Behavioural Values:** Behavioural values refers to all good manners that can be needed to make our life successful and joyous. These are those values which we exhibit by our conduct and the behaviour in our daily life. An behavioural values will adorn our life and the spread cordiality, friendliness and love all around.

The nature of professional requirement values can be classified into various categories like,

a. Economic	b. Social
c. Political	d. Spiritual
e. Modern	f. Aesthetic
g. Religious	h. Material
i. Academic	j. Socio-political
k. Global	l. Environmental
m. Cultural	n. Moral professional values etc.

1.5.1 Characteristics of Values

1. Values are represent an individual's highest priorities and deeply held driving forces.
2. Values are the hub of personality and is powerful force affecting behaviour.
3. Many values are relatively constant and durable.
4. Its contains a judgment element.
5. Values are generally, tinged with moral flavour and they contain a judgmental element, involving an individual's idea as to what is right, good, desirable.
6. In the value system, all of us have a hierarchy of values; which is identified by the relative importance we assign to different values such as freedom, self respect, honesty, self respect, and so on.
7. When we rank an individual's values in terms of their intensity. We obtain the value system of that person.
8. Values are fewer in number than attitudes.
9. Values transcend specific objects, situations or persons.

1.5.2 Types of Values

Values can be classified into two broad categories.

1. **Individual values:** These are the values which are related with the development of human personality or individual norms of recognition and protection of the human personality such as honesty, loyalty, veracity and honour.
2. **Collective values:** These values are connected with the solidarity of the community or collective norms of equality, justice, solidarity and sociableness are known as collective values.
3. **Terminal Values:** A terminal value is an ultimate goal in a desired status or outcome. These lead to the ends to be achieved.
4. **Instrumental values:** The combination of terminal and instrumental values an individual has, create an enduring cluster of values which is his value system. Thus, according to this survey, our values and value system are primarily the determinants of who and what we are as individuals.
5. **Intrinsic values:** These are the values which are related with goals of life. They are sometimes known as ultimate and transcendent values. They determine the schemata of human rights and duties and of human virtues. In the hierarchy of values, they occupy the highest place and superior to all other values of life.

1.6 HUMAN VALUES

Value of any unit in this existence is its participation in larger order of which it is a part, e.g. value of a pen is that it can write. Here writing is participation of the pen in the bigger order in which pen, paper, human being all are present.

An value of an eye is that it can be used for seeing. Value of a spinach plant is that it gives nutrition to animals and humans.

Moral + Values + Ethics = Human Values

- a. **Ethics:** Ethics is the study of characteristics of morals. It can be defined as the discipline dealing with what is good and bad with moral duty and obligation. Personal ethics is deals with how we treat others in our day to day life. It deals with moral choices that are made by each person in his or her relationship with other persons.

- b. **Values:** Values decide the standard of behavior. Some universally accepted values are freedom justice and equality. Other principles of values are love, care, honesty, integrity and self respect. Values are classified as three types. They are,
- Moral
 - Pragmatic and
 - Aesthetic
- **Moral:** In moral-fairness, truth, love, happiness, justice can appear.
- **Pragmatic:** In pragmatic-efficiency, health, thrift, patience can appear.
- **Aesthetic:** In aesthetic-attractive, cold, soft can appear.
- c. **Morals:** Morals are more like principles, based on teachings and often guided by the societal and religious standards. Morals refer to the way in which people behave in relationships and in wider society.

Human values are the set of emotional rules; people follows to make the right decisions in life. When values are used in the professional setting, these are called as ethics. Values are used in every day decision making at work and at home. Good values instill the sense of integrity, honesty and the diligence in people. Without good values, people would become corrupt, dishonest and the undependable as people and the employees.

1.6.1 Evolution of Human Values

The human values evolve because of following factors:

1. An impact of norms of society on fulfillment of the individual's needs or desires.
2. Developed or modified by one's own awareness, choice, and judgment in fulfilling a needs.
3. By the teachings and practice of Preceptors (Gurus) or Saviors or the religious leaders.
4. Fostered or the modified by social leaders, rulers of kingdom and by law (government).

1.6.2 Important Human Values

Human values can be refer to principles, standards or quality considered worthwhile or desirable, which a person can be expected to demonstrate while dealing with an others. Following are some important human values;

1. Obeying the law.
2. Reflecting and the responsibility expected of all professionals.
3. Demonstrating the strong and consistent commitment to an ethical values.
4. Protecting life and the safeguarding people.
5. Commitment to community well being.
6. Care for an environment.

1.6.3 Types of Human Values

Human values can be classified as follows;

1. **Positive Values:** Truth, love, peace, creative, etc.
2. **Negative Values:** Impatience, greed, blind faith, arrogance, etc.

Human values can be classified as follows;

1. Values relating to an individual (good or bad) i.e., related to the person.
2. Values where there is normally an element of consensus implied as interms like fair, decent and tolerant.
3. Values relating to things in a sense of 'fitting' such as good pen or the good computer etc.

With reference to above values, there are two separate and important aspects:

1. How does each culture establish its current, commonly accepted values?
2. How does each person acquire an values that are unique for him or her? Given that all individual items must inevitably be strongly coloured and the broadly determined by culture in which he or she was born and bred?

An management by values highlights the concepts of 'self' in man. An ethical quantity of managerial decision making can be improved through a full understanding and internalization of doctrine of karma. All decisions can be depends critically on a purity of mind of decision, maker. Virtues held in high esteem are simlicity, scrifice, renunciation and compassion.

1.6.4 Universal Values

There are five systems of universal values that makes a human being noble, caring and kind.

1. **Peace:** When the will power is strong to discern the differences between real needs and unnecessary desires, we cease to be driven by urge to own more and more things. The state of Inner nervous stops and the remain peaceful.
2. **Right Conduct:** Right conduct is concerned with maintenance of body to serve us in performing the tasks of life.
3. **Love:** Love is a sudden reaction of the heart. It is the power of love which causes one person to wish happiness for another and take pleasure in his or well- being. Love is unconditional, positive and regard for the good of another. This is the unseen undercurrent binding all the four values.
4. **Non- violence:** Non-violence can be described as a universal love. This creates harmony with the environment. That is living in a way that causes as little harm as possible to one-self, other people, animals, plants is a sign of a well-balanced personality.
5. **Truth:** Truth is a first and vital step in the formation of a strong character. Voicing untruth is an anti-social act and causes confusion in the minds of both the speaker and listener. Telling lies hurts ourselves and others in a subtle but a real way.

1.6.5 Cultural Values

1. The groups, societies and cultures have values that are largely shared by their members.

2. Values identify those objects, conditions or characteristics that members of society consider important i.e., valuable.
3. In the western world, for example, values might includes material comfort, wealth, competition, individualism or religiosity.
4. Values of a society can be often identified by noting which people receives the honour or respect.
5. In the US, for example, the professional athletes at top levels in some sports are honored in the form of monetary payment morethan college professors.
6. Values are related to norms of a culture, but they are more general and the abstract than norms. Norms are rules for a behavior in the specific situations, while values identify what should be judged as good or evil.

Example: Flying national flag on 15th August in India is a norm, but it reflects an value of patriotism.

7. Wearing dark clothing and the appearing solemn are normative behaviors at funeral. They can be reflect the values of respect and support of friends and the family.
8. Various cultures reflect an different values. “Over last three decades, traditional-age college students have shown an increased interest in personal well-being and the decreased interest in welfare of others”. An values seem to have changed and affecting the beliefs and attitudes of the college students.

1.6.6 Humanbeing in Bigger Order

Bigger order includes the human beings, plants, air, water, soil, animals and birds etc. Value of human being is participation of human being to ensure continuity of harmony in that order. In order to understand human values, we need to study human being along with all that is there in a existence, and role of human being in relationship with each unit in a existence.

1.6.7 Fundamental Values

Four fundamental values developed by Indians about human life are,

1. Presence of divine motherhood in all women.
2. An essential divinity inherent in all life.
3. Civilization is manifestation of divinity in a man. Society is most developed where highest truths becomes the practical. An end of all work is to being out divine in ourselves by serving divine in others.
4. Religion is the manifestation of divinity already in a man. Pluraliity of religion is only on a surface. At spiritual core there is an essential unity of all of them.

1.7 CONTENT OF VALUE EDUCATION

Value education is the ladder which leads us to harmony. The contents of value education helps to understand myself and answer the questions like - Who am I? From where have I come? It also helps us to understand the difference between ambitions and aspirations.

It can be helps to discover the path to real happiness and content-
edness. It can be leads one to real laughter and the encourages positive
thinking. It can be describes the interrelationships at all levels namely,
individual, family, society, nature and the existence. Everything has its
own importance in nature and this study helps us to identity this fact
through our thoughts. We learn to live in harmony within ourselves, others
in a society and rest of nature.

- To understand myself, my aspirations, my happiness.
- To understand the goal of human life.
- To understand the other entities in nature, their inter-connectedness and co-existence and role of human being in nature.
- To understand the harmony at four levels of human living

The value education must be include as,

- i. All dimensions thought, behaviour, work and the realization.
- ii. All levels individual, family, society, nature and the existence.

1.8 ROLE OF VALUE EDUCATION

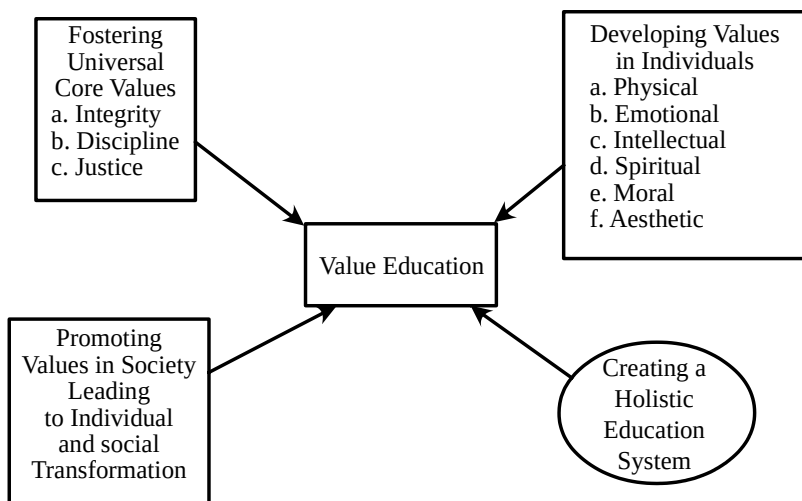


Figure-1.2

An value education plays the very important role in creating the better society, more ethical organizations and groups and better human beings.

1. Value education can be helps to build human beings who possess strength, integrity and fortitude.
2. Value education builds an values of cooperation and peace as well as the tolerance.
3. An efficiency can be step up when the person possesses the right values. It can be include punctuality, keeping one's word, professionalism, lack of bias or prejudice etc.
4. Promoting an personality development and the social cohesion.
5. Creating the cordial relationships between people by encouraging an values of respect, love and the affection.
6. Building character in the young people who will lead the country in the future.
7. Regeneration values of the national pride and the integration towards nation- building.
8. Promoting harmony between nations and creating a peaceful world order.

9. Identifying an core universal values of:
 - a. Truth (Satya)
 - b. Righteous Conduct (Dharma)
 - c. Peace (Shanti)
 - d. Love (Prema) and
 - e. Non-Violence (Ahimsa)
10. To help create a foundation of quality of life and the strike a balance between external and an internal values. Hence, the value of education can be plays the significant role in a betterment of individuals, groups and society at large.

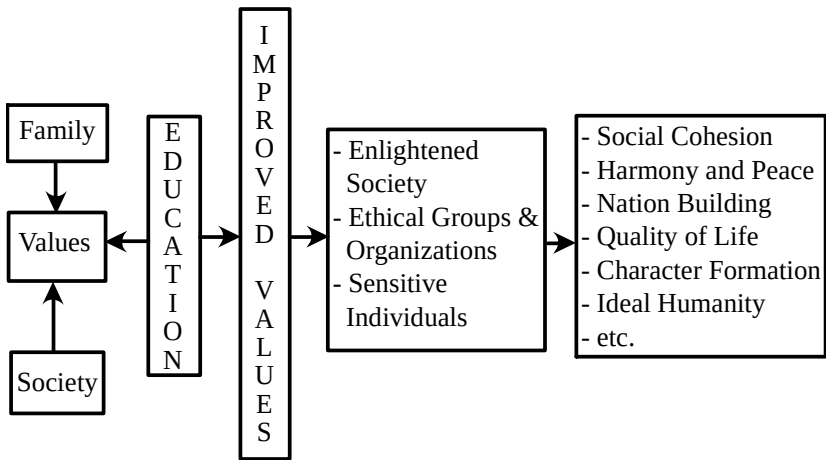


Figure-1.3

1.9 NEED FOR VALUE EDUCATION

The value education is necessary to:

1. Identity the our aspirations correctly.
2. Understand the universal human values for continuous prosperity.
3. To value complements with an skills
4. To evaluate our beliefs
5. Use technology to evaluate human values for human welfare

Value education is an crucial missing link in the present education system. It deals with fundamentals of human values that aim at fulfilling the needs of humans and society. It can be helps to understand and visualize a desirable content for the human happiness.

It can be liberates the human misery and sufferings by establishing character of the technology for human welfare. It can be helps impart right knowledge or insight to identify an important virtues of life. It can be helps confront serious maladies and become aware of dangers and the initiate alternative solutions. An subject that can be enables us to understand 'what is valuable' for human happiness is called as value education. Need for value education is,

1. **Correct Identification of our Aspirations:** Subject which can be enables us to understand 'what is valuable' for human happiness is called as 'value education' (VE). It can be enables us to understand our needs and the visualize our goals correctly and also indicates the direction for their fulfilment. It can also be helps to remove our confusions and contra-dictions and bring harmony at all levels.
2. **Understanding Universal Human Values to Fulfil our Aspirations in Continuity:** Values form the basis for all our thoughts, behaviours and the actions. Once we know what is valuable to us, these values becomes the basis and the anchor for our actions.

We also need to understand a universality of different human values, because only then we can have the definite and common program for the value education. Then only we can be assured of a happy and the harmonious human society.

3. **Complimentarity of Values and Skills:** To fulfil our aspirations both values and the skills are necessary. If we identify and set the right goals and produced in a right direction. It is known as value domain, the domain of wisdom, and when we learn and practices to actualize this goal to develop techniques to snake this happen in a real life in different dimensions of human endeavour (struggle). It is known as domain of skills.

Thus, there is an essential complementarity between values and the skills for an success of any human endeavour. For example, I want to lead a healthy life. Only wishing for the good health will not help me keep my body fit and healthy and without having understood the meaning of health, I will not be able to choose things correctly to keep my body fit and the healthy.

4. **Evaluation of Our Beliefs:** Each one of us believes in a certain things and we base our values on these beliefs, be they false or true which may or may not be true in reality. These believes come to us from what we read, see, hear, what our parents tells us our friends talk about, what the magazines talk of, what we see from TV etc. The value Education helps as to evaluate our beliefs and can be assumed the values.
5. **Technology and Human Values:** Present education system has become largely skill-based. Prime emphasis is on science and the technology. Science and technology can only helps to provide the means to achieve what is considered as valuable.

It is not within a scope of the science and technology to provide a competence of deciding what really is valuable. An value Education is a crucial missing link in a present education system. Became of this deficiency, most of our efforts can be prove to be counter productive and the serious crises at the individual, societal and an environmental level are manifesting.

6. **Technical and Other Professional Institutions:** The subject that enables us to understand 'what is valuable' for human happiness is called as value education. Present education system has become largely skill-based. Prime emphasis is on science and the technology.
 - a. Science and technology can only help us to provide the means to achieve what is considered valuable.
 - b. It is not within a scope of science and technology to provides the competence of deciding what really is valuable.
 - c. The value Education is a crucial missing link in a present education system. Because of this deficiency, most of our efforts may prove to be counter productive and the serious crises at individual, societal and the environmental level are manifesting.

7. **Students and Teachers:** Teachers pass values to students both consciously and unconsciously through their conduct in and out of class rooms. Thus, the need for a consciously planned value education program is obvious to establish the formal learning.

Students might face more complicated decision making situations about issues involving values. They should be helped in developing the ability to make proper choices in such situations through value education.

1.9.1 Basic Guidelines for Value Education

Definition: Value Education is “the education that addresses questions like - How to live lifewell? How to find happiness? How to make others happy? How to manage all kinds of peopleand happenings? How to grow and succeed in the right manner?” The Basic Guidelines for value-education are:

- (a) Universal Outlook
 - (b) Rationalism.
 - (c) Natural and verifiable
 - (d) All Encompassing
 - (e) Harmony.
 - (f) Sustainability
 - (g) Sensitivity to other human begins
- (a) **Universal:** It needs to be applicable to all the human beings irrespective of cast, creed, nationalities, religion, etc., for all times and regions.
- (b) **Rational:** It has to appeal to human reasoning. It has to be amenable to reasoning and not based on dogmas or blind beliefs.
- (c) **Natural and Verifiable:** It has to be naturally acceptable to the human being who goes through the course and when we live on the basis of such values it leads to our happiness. It needs to be experientially verifiable, and not based on dogmas, beliefs or assumptions.
- (d) **All Encompassing:** Value education is aimed at transforming our consciousness and living. Hence, it needs to cover all the dimensions (thought, behaviour, work and realization) and levels (individual, family, society, nature and existence) of human life and profession.

- (d) **Leading to Harmony:** The value education ultimately is targeted to promote harmony within the individual, among human beings and with nature.
- (e) **Sustainability:** Value education should inculcate the concept of sustainability among the various individuals. Sustainability aims at use of material resources without causing harm or depletion or denying them for the future generation.
- (f) **Sensitivity to other human beings and creatures:** Value education should develop sensitivity among individuals for other human beings and creatures. It should lead one to realize and understand that the other persons belonging to different caste, community, creed or country are the same at the level of consciousness. Each one of us has unique existence and essence. With this understanding, one is likely to become harmless being and will not inflict harm among other persons and creatures.

1.10 CONTENT AND PROCESS OF VALUE EDUCATION

Process of Value Education: The process of value education is that of self-exploration which means the self-investigation or self-attentiveness. This is a process of discovering your inner-self, being in harmony with an oneself and living in harmony with an others.

The process for Value Education has to be that of a Self-exploration, and not of giving sermons or telling dos & don'ts. Whatever is found as truth or reality may be stated as proposal and every student is to be encouraged to verify it on his/her own right. This process of Self-exploration has to be in the form of a dialogue. The dialogue between the teacher and students to begin with and within the student finally.

1.10.1 Preconditioning

The Preconditioning is assumptions on certain things that have been accumulated as desires without an pre-evaluation. Preconditioning arise due to non-evaluation of belief's and the assumptions that are kept as secretes. One does not bother to evaluate them as the conflict arises. It can be leads to non- fulfillment of relationships with an surroundings.

Sources of preconditioning are,

1. Scriptures
2. Other's experimental assumptions and
3. Statement from unreliable sources.

It can be resolved by:

1. Verifying one's assumptions based on the natural acceptance and the validation.
2. Testing for assurance, satisfaction and the universality.
3. Knowledge remains intact and is not distributed by the external circumstances.
4. Naturally acceptable by the self expression.

1.10.2 Ways to Apply our Personal Core values in Daily Life

The way to daily application of our core values is to establish behaviour that keeps us front of mind. We want to find the opportunities that will lead to our success and prevent decisions that will get us into trouble. So, here are the methods that we use to make sure that our values take root and precedent.

1. **Put them where you can see them:** Our core values are all a single word so they are easy to apply in multiple places. But they are four to seven word phrases we can still put them on post it notes, our screen saver, home screen, and anywhere else i.e., in our line of sight.
2. **Discuss them with class family and friends:** Our core values take on life when you have deep discussions about them. Share them with our significant other and our best friend. Get in the habit of using them to describe our thoughts, feelings and behaviours. Our core value of truth is an important topic when dealing with the critical people in our life. The more intimate the discussion, the more the values will comfortably settle into our soul.
3. **Put the Right people in our life:** The most impactful way to use core values is to manage the company. Other people don't have to share our core values, but they do need to fit them. The most important core value is creativity. We don't require all people in our

life to be creative, but we do require them to be supportive of a creative approach. Otherwise, we know we will have useless conflict. Time is a limited commodity that other people consume. Use our valuable core values to make sure our time is being spent with people worthy of our values.

4. **Assess our daily tasks each morning:** Core values are great filters that help we make good decisions. When we list out our daily activities, we use our values to evaluate whether or not they are the right things for us to be doing. Make sure every thing we do is consistent with whom we are and we will find our day running and effectively.
5. **Integrate them into our regular conversations:** Core values take on a whole new life when they become an integrated part of our dialogue. Even casual conversation spurs opportunity to express ourself through value speak. Since consistency is one of our values, we often use that word to explain why we must stay true to our own writings even when it feels unnatural.
6. **Apply them an key motivators:** Our personal core values are the basis for determining our preferred future. Every opportunity and goal should be looked at through the lens of our core values we will create unnecessary self-conflict and struggle on our life journey. Take a day or two each quarter to do strategic planning and really think about how our life objectives and core values fit together. As long as they are in sync, our mind and soul can work together to accomplish great things.
7. **Evaluate our day at bed time:** The only way lo truly improve is to see where we have strayed from the perfect path. Every day we take time to often prayer and determine it our behaviour was consistent with our core values. Here we apply and core values of Diligence and thoroughly examine our day to transgression. Because we are humans, there is always some thing we could have done better, so we consider the better alternative and took improve tommorrow. No need to beat ourselves up.

1.10.3 Ways to Select Choice Making

The important thing to remember is that we are a product of the choices we make. Each decision helps to define who we are and how we were different from one another. Making good choices begins with taking charge of the decision-making process.

The followings are the ways to make good choice.

1. **Manage the big stuff:** It is very easy to get sidetracked by insignificant issues in life. If you spend a lot of time on trivial stuff; we won't have time to contemplate things that matter.
2. **Values matter:** Make decisions that are consistent with our core beliefs and values. The alternative invariably leads to regret.
3. **Learn from the past:** Learn from our experiences and the experiences of others. Identify situations, where you have had a similar choice in the past. How can you apply those lessons learned to the existing situation.
4. **Know what we know and what we do not know:** Don't try to be an expert in everything. Seek input and advice when variables lie outside our comfort zone.
5. **Keep the right perspective:** View an issue from every angle. What do the facts say? What is our intuition telling us? Is our conscience trying to tell us something listen up?
6. **Don't procrastinate:** We will rarely have all the information that we need to make a 'perfect' decision. So we do not demand perfection. The philosopher Voltaire warned against letting the perfect be the enemy of the good. That advice still holds true today.
7. **Once you make a decision, don't look back, make it work:** Don't second-guess ourselves. We can't relive the past, It is a waste of valuable time and energy.

1.11 PROSPERITY AS PARTS OF VALUE EDUCATION

Prosperity: This is the state of flourishing, thriving, success or good fortune. A prosperity often encompasses not only wealth to varying degrees like happiness and health.

Prosperity is related with material things/physical facilities that are having, when we are able to serve to needs of a body adequately, we feel prosperous. This prosperity is an feeling of adequacy or abidance of physical facilities. The word means the sum of three aspects health, wealth and wisdom, Prosperity is the state of enlightenment towards better life and towards happy society.

Wealth: Wealth is a physical thing. It means having money, or having a lot of physical facilities, or having both.

Prosperity Vs Wealth: Wealth means possessing more number of physical things while Prosperity is a feeling of possessing more than required physical facilities.

Possibilities

- A person may not possess required physical facilities, so he may not feel the prosperous.
- A person may accumulate more and more wealth but still he can be deprived of feeling of prosperity.
- A person may have required wealth and the feel prosperous.

This is the feeling of having more physical facilities than required. An prosperity creates the desire to share what one posseses. Thus, the need for physical facilities is limitless, the feeling of prosperity cannot be assured.

An prosperity is a feeling of happiness availed through the physical facilities that are limited and can be evaluated quantitatively. Wealth is an physical thing which could be money or any other physical things. It can be determines the desires of a human being as physical thing. An accumulating wealth may not leads to happiness as it makes one feel deprived even when sufficient quantity can be available.

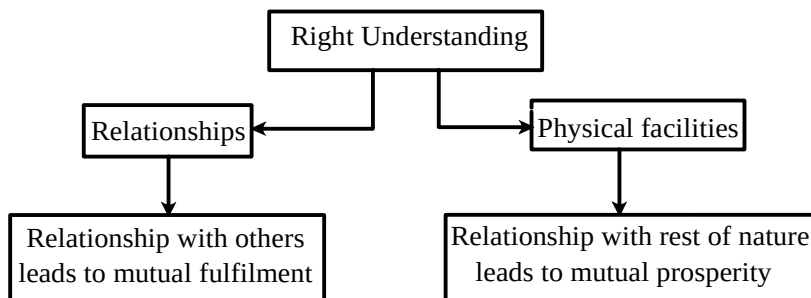


Figure-1.4

Prosperity is to feel happy after the certain desired wealth can be earned and there is no greed to acquire more wealth. It is a feeling of having more than required that gives satisfaction from available physical things. Three basic requirements to ensure happiness and prosperity for human beings are,

1. Right understanding
2. Relationship and
3. Physical facilities

Our basic aspirations are happiness (mutual fulfilment) and prosperity (mutual prosperity). Happiness is ensured by the relationships with other human beings and prosperity is ensured by working on physical facilities.

1. **Right Understanding:** This refers to higher order human skills, the need to learn and utilize our intelligence most effectively. The 'right understanding' will be enable us to work out our requirements for physical facilities and hence correctly distinguish the difference between wealth and the prosperity. Right understanding means understanding the harmony at all. These are four levels of our living.
 - a. Myself
 - b. Family
 - c. Society
 - d. Nature/Existence
2. **Good Relationships:** It refers to the interpersonal relationships that a person builds in his or her life at home, at workplace and in society. Right understanding helps him to develop healthy relations and also to know an expectations involved in relationship.
3. **Physical Facilities:** It includes the physiological needs of individuals and indicates the necessities as well as comforts of life. It means the feeling of having or being able to have more physical facilities than is needed.

Examples: Good clothes, shelter and protection etc.

Thus we can say that when we use right understanding with relationships it gives us mutual fulfillment because if we have right understanding, then we can be happy in ourselves and work to have fulfilling relationships with humans and mutual prosperity with nature. If we do not have the right understanding, then we have problems. Thus, our happiness depends on a fulfillment of these three basic requirements.

- Right understanding + Relationship = Mutual fulfillment or happiness.
- Right understanding + Physical facilities = Mutual prosperity.

This order will ensure mutual fulfillment with an human beings and mutual prosperity with an rest of a nature.

- Mutual fulfillment = Right understanding + Relationship
- Mutual prosperity = Right understanding + physical facilities.

Physical facilities are necessary and complete for animals, while they are necessary but not complete for humans. It is easy to verify.

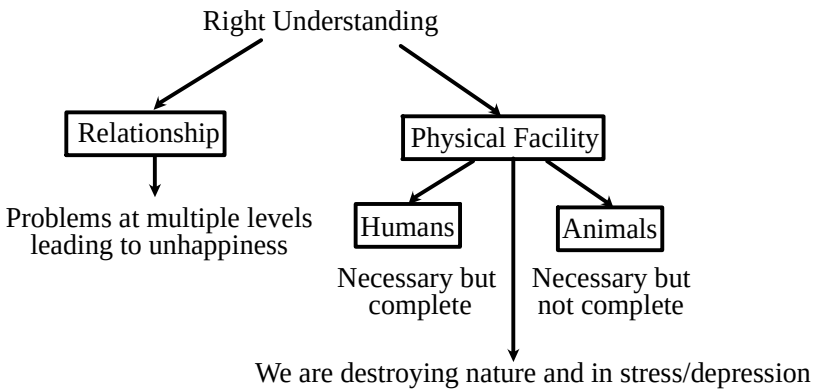


Figure-1.5

1.11.1 Physical Facilities for Animals and Humans

Animals need physical things to survive, mainly to take care of their body. For example, cow will look for food when it is hungry. Once it gets the grass or fodder. It eats it, sits around to chew at leisure. Hence, we can say that as long as animals have physical things, these are largely fine. They don't desire other things like knowledge or a peaceful animal society or getting a good MBA.

While physical facilities are necessary for human beings, these are not complete by themselves to fulfill our needs. Our needs are more than just physical facilities. We all have other needs, other plans, perhaps we think of going to a movie or reading a book, or go to college, or watch some TV, or spend time with family and friends this list is endless. Thus it is easy to see that while physical facilities are necessary for us human beings, they are not complete by themselves to fulfill all our needs.

Giving all priorities to physical facilities only can be termed as ‘Animal consciousness’

1. For animal, physical facility is necessary as well as complete whereas for human beings it is necessary but not complete.
2. Working only for physical facilities is living with an Animal Consciousness.

Hence we can say that for animals – “Physical facilities are necessary and complete.”

For humans “Physical facilities are necessary but not complete.”

Giving all priorities to physical facilities only, or to live solely on a basis of physical facilities, may be termed as ‘Animal Consciousness’. Living with all three; Right understanding, Relationship and Physical facilities is called as ‘Human Consciousness’.

3. Working for right understanding as first priority followed by relationship and the physical facilities implies living with an Human Consciousness.
4. There is a need for transformation from Animal Consciousness to Human Consciousness. It can be accomplished only by working for right understanding as the first priority.
5. This transformation from Animal conscious to human consciousness forms the basis for human values based living

Requirement	Animal	Human being
Necessary	Yes	Yes
Complete	Yes	No

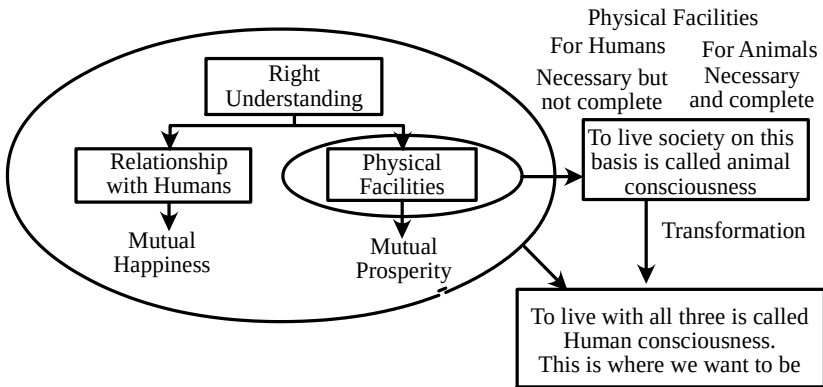


Figure-1.6

- **Relationship:** The relationship we have with other people, or human beings like Mother, brother and sisters, our friends our teachers we desire good relationships with all of them,
- **Mutual Fulfillment:** If there is a problem in relationship, we feel uneasy, it bothers us. Even when we are interacting with someone, and something we said or did offends them, it makes us uneasy i.e., we want mutual fulfillment in relationship.
- **Prosperity in us, Enrichment in Nature:** Prosperity means the feeling of having or being able to have more physical facilities than is needed. When we don't have the feeling of prosperity we will exploit others. Similarly as we interact with nature for our various physical needs either exploit nature or enrich it. Our natural acceptance is that we want to live in harmony with nature.

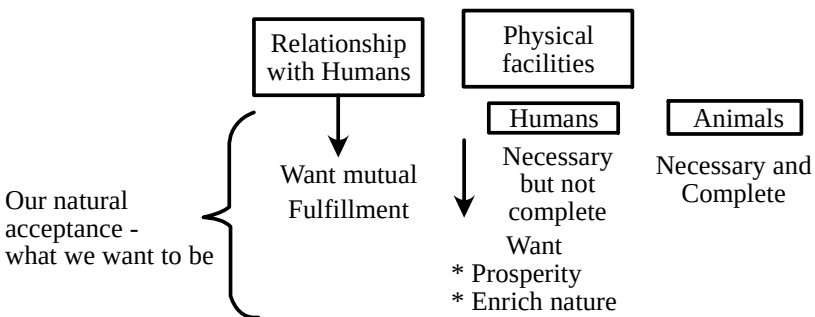


Figure-1.7

1.11.2 Basic Human Aspirations

We desire for many things in this world, say materialistic needs, respect, recognition, love and trust etc., but in the form of all these we aspire for true and continuous happiness and the prosperity.

Happiness: “To be in a state of liking is happiness”. To be in a state of harmony is happiness.

Prosperity: Feeling of having more than required physical facility.

For prosperity two things are required. These are,

1. Identification of quantity required for physical needs
2. Ensuring availability/production

Happiness can be described as consisting of positive emotions and positive activities. There may be three kinds of happiness:

- a. Plenum
- b. Engagement, and
- c. Meaning

In other words, freedom from want and distress, consciousness of the good order of things, assurance of one's place in a universe or society, inner peace and so forth. The happiness is the state of mind, where we feel good in most of walk of life.

Happiness is a very desirable state. Happiness is contagious i.e., when you are happy then only you can spread happiness. In order to attain happiness we must prioritize happiness. There are two paths which leads one to happiness.

- i) **Preya:** What is pleasant? It gives instant happiness. For example, eating good food in a restaurant, wearing nice clothes etc. Happiness thus can be attained is short lived and does not last for long.
- ii) **Shreya:** What is beneficial? Though this path does not give instant happiness but it can be leads one to path of enduring happiness. It can be provides happiness in a long run. For example, working hard for your exams and getting the good result, adjustment in a family which leads to the stronger relationships. True happiness is always leads to peace of a mind.

1.11.3 Our State Today in Human Aspiration

In relationship with humans, there are unfulfilling relationships with family, society and the world at large. Most of them end up working only for accumulation of wealth and exploiting and destroying nature through one wants to feel prosperous and enrich nature relationship.

Prevailing Notions of Happiness and Prosperity

In a modern world, the desire for physical facilities has become unlimited. Physical facilities are no longer seen as objects fulfilling bodily needs but as a means of maximizing happiness. It can be unlimited desire for physical facilities has become anti-ecological and anti-people endangering human survival itself. False notions of happiness and Prosperity can be affected human living at all four levels:

1. **At the Level of Individual:** Problems of depression, psychological disorders, suicides, stress, insecurity, psycho-somatic diseases and loneliness etc.
2. **At the Level of Family:** Breaking of Joint families, mistrust, conflict between older and younger generations, insecurity in relationships, divorce, dowry tortures, family feuds, wasteful expenditures in family functions etc.
3. **At the Level of Society:** Terrorism, naxalism, communism, casteism, racial, ethnic struggles, wars between nations, genocide, nuclear genetic warfare.
4. **At the Level of Nature:** Global Warming, pollution, depletion of mineral resources, deforestation, loss of soil fertility.

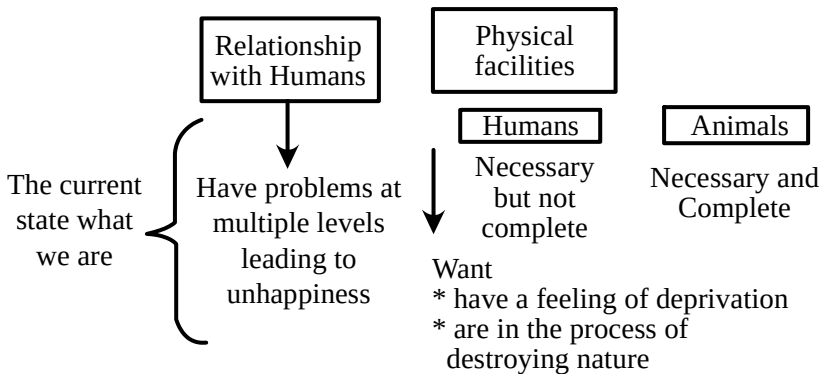


Figure-1.8

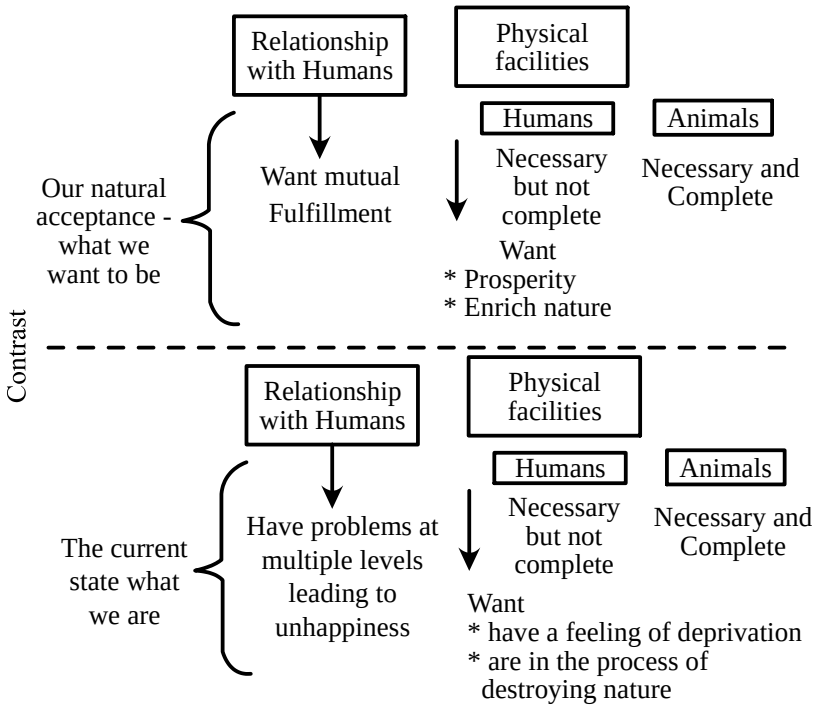


Figure-1.9

1.11.4 Need for Right Understanding

In order to resolve the issues in human relationships, we need to understand them first and this would come from an 'right understanding of relationship'. Similarly in order to be prosperous and to enrich nature, we need to have 'right understanding'.

'Right understanding' will be enable us to work out our requirements for physical facilities and hence correctly distinguish the difference between wealth and prosperity. With nature as well, we need to understand the harmony in nature, and how we can complement this harmony.

Example-7: "Physical facilities are necessary and complete for animals, while they are necessary but not complete for humans". Comment.

Ans.

Animals need physical thing to survive and only to take care of their body. As long as physical things like food are available, they are fine. They do not have any other desire live know-ledge, wealth, power etc.

In case of humans, even if physical things like food is available, they desire for other physical things such as book to read, movie to watch, vehicle to travel, time with family and friends etc. the needs of fulfill the desire goes on until they find happiness. They seen relationship for mutual fulfill-ment of their aspirations.

1.11.5 Why is Happiness so Important to All of Us?

1. As we become happier, we become better people.
2. We are able to enhance our creativity.
3. As we become happier, we become more compassionate.
4. We feel more energetic and perform our task an efficiently.
5. We develop an healthy mind and develop right understanding.
6. We can work towards the creating a 'better' world.

1.11.6 Differences between Prosperity and Wealth

Prosperity is a feeling of having more than required physical facilities; it is not just physical facilities. Almost all of us feel that wealth alone means prosperity and try to explain this phenomenon on this nonexistent or half fact.

Wealth is a physical thing. It means having money, or having a lot of physical facilities or both. This is a very important distinction. We mostly fail to make this distinction today. We keep working for wealth, without realizing that the basic desire is for the feeling of prosperity to have a feeling of having enough. All our physical facilities are directly or indirectly depends on a nature. Continuity of our prosperity can be ensured only if our production systems are in a harmony with a nature. It means by using natural resources in a renewable manner and utilizes appropriate technologies so that human needs are satisfied and nature is also enriched.

Prosperity is more acceptable to us because wealth is just a part of prosperity. We are trying to achieve happiness and prosperity by maximizing accumulation and consumption of physical facilities. It is becoming anti-ecological and anti-people, and threatening the human survival itself. A person has lot of money, but does not want to share even a bit of it. The person 'has wealth' but feels 'deprived'. If one felt prosperous he/she would have shared what one has, since there is lot more than enough wealth anyway.

We are trying to achieve happiness and prosperity by maximizing accumulation and consumption of physical facilities. It is becoming anti-ecological and anti-people, and threatening the human survival itself. For prosperity, two things are required. Those are,

1. Identification of required quantity of physical facilities, and
2. Ensuring availability/production of morethan required physical facilities.

Prosperity is state of enlightenment towards better life and towards the happy society.

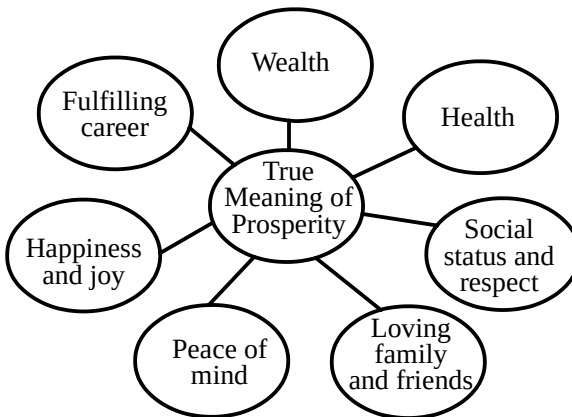


Figure-1.10

To achieve our basic aspiration we need to work for right understanding as base to which we can work for relationship and then physical facilities. Today we are not working accordingly to this that why we can see that there are two kinds of people in a world.

1. Those that do not have physical facilities/wealth and feel unhappy and deprived i.e., SVDD Sadhan Viheen Dukhi Daridra- Materially deficient, unhappy and deprived.

2. Those that have physical facilities /wealth and feel unhappy and deprived i.e., SSDD.

1.11.7 SVDD, SSDD, SSSS

Abbreviations stands for:

- SVDD = Sadhan Viheen Dukhi Daridra
- SSDD = Sadhan Sampann Dukhi Daridra
- SSSS = Sadhan Sampann Sukhi Samridh
- SVDD belongs to category of people lacking physical facilities and are unhappy.
- SSDD belongs to category of people having physical facilities but are unhappy.
- SSSS belongs to category of people having both physical facilities and are feeling happy and prosperous.

The reason for people being in the state of SSDD is that they have accumulated enough wealth but lack right understanding to have relationship with other humans.

To achieve our basic aspirations we need to work for right understanding as base on which we can work for relationship and then physical facilities. Today we are not working according to this that why we can see that there are two kind of people in the world.

- a. Those that do not have physical facilities/wealth and feel unhappy and deprived i.e., SVDD: Sadhan Viheen Dukhi Daridra – Materially Deficient, Unhappy and Deprived.
- b. Those that have physical facilities/wealth and feel unhappy and deprived i.e., SSDD: Sadhan Sampann Dukhi Daridra – Materially Affluent, Unhappy and Deprived. But these are states we don't want to be in. We want to move from this to third category.
- c. Having physical facilities and feeling happy and prosperous i.e., SSSS: Sadhan Sampann Sukhi Samriddha – Materially Adequate, Happy and Prosperous.

Presently, as we look around, we find most of the people in the above two categories called SVDD and SSDD, while the natural acceptance of all human beings is to be in the category of SSSS.

1. SVDD: Sadhan Viheen Dukhi Daridra

These words in their usual meanings stands for

Sadhan	- Means to acquire
Viheen	- Lack of, deprived of
Dukhi	- Sadness
Daridra	- Poverty

Before we come to the explanation of this topic we should have a clear understanding of “desires. Desires are of two kinds. They are,

- a. Materialistic
 - b. Non-materialistic.
- a. **Materialistic Desires:** It comprises of food, shelter, clothes and physical facilities which are quantifiable. We do not desire them constantly but need an interval before we need them again.
- b. **Non-materialistic Desires:** It is qualitative in nature such as respect, trust, happiness, recognition and peace etc. We desire them endlessly and limitlessly.

Sadhan Viheen Dukhi Daridra is simply refers to a condition of a person who does not have the means to fulfill even his materialistic desires. The lack of means is the cause of unhappiness. If these desires are not met, then it becomes difficult for an individual to survive in this materialistic world. For example, if a person is not able to get food, his hunger will not allow him to live happily.

2. SSDD (Sadhan Sampann Dukhi Daridra)

It is well said that money is not all that matters. There are different other parameters on which the happiness of a person depends. Sadhan Sampann Dukhi Daridra signifies a state of person in which he has all means to acquire materialistic requirements of life, but still he is not happy. He still feels that something is lacking in his life.

For example, the rich man with all luxuries of a world living alone feels unhappy. This is because he has no one with whom he can share his feelings of joy and sorrow. In his pursuit towards success he has left all his relations behind him, working constantly to acquire the physical facilities. Achievement is what he got, but not alone, it was accompanied by sour relations and isolation.

Today, we are conditioned to think that being prosperous is having loads of money. Money is a very small part of our needs which suffices only to enhance our physical capabilities. An individual needs trust, respect, affection, care, guidance, reverence, glory, gratitude and love. Money can only provide care. As it is well said,

Money can buy a bed, but not sleep.

Money can buy good food, but not appetite.

Money can buy things, but not character and happiness.

.....

3. SSSS (Sadhan Sampann Sukhi Samridhha)

Sadhan Sampann signifies an availability of physical facilities. Sukhi Samridhha signifies continuous happiness and prosperity. It is the goal of every human being. Every individual aspires to be in this state of continuous happiness and prosperity.

To achieve this state what we require right understands. Right understanding is necessary so as to verify that all our ideas are naturally acceptable to us and they lead to mutual happiness when dealing with other human beings and mutual prosperity when dealing with the rest of nature.

When there is mutual happiness, there will be no case where a human being will want to hurt another human being and so happiness will prevail all around. If we have right understanding and prosperity in family, there is nothing to be afraid of in the society.

1.12 OUTCOMES

- Understand the value of education and basic guidelines of value education.
- Analyse the way of provoking issues and need for values in daily life.
- Understand the prosperity creates the desire to share what one possesses.
- Understand the classification of value education like Personal, Social, Moral, Spiritual and Behavioural Values.

1.13 REVIEW QUESTIONS

I. Long Answer Questions

1. What are the basic requirements to fulfill human aspirations? Indicate their correct priority.

2. Write a short notes on process of value education.
3. List the characteristics of natural acceptance.
4. What is the difference between prosperity and wealth?
5. There are many problems manifest today at the level of individual, family, society and the nature. Identify some of these problems humans suffer from.

II. Short Answer Questions

1. Define the values.
2. Write the important human values.
3. What are different types of human values?
4. What is the value education?
5. How the values are classified?
6. Explain the need for value education.
7. What are the guidelines for the value education?
8. What are Human Values?
9. Explain the content of value education.
10. What do you understand by prosperity? How are they related? What is the difference prosperity and wealth?

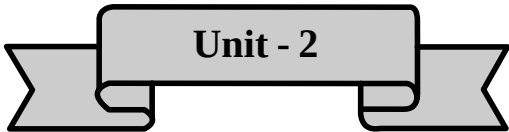
1.14 MULTIPLE CHOICE QUESTIONS

1. ____are a set of principles or standards of behavior. ()
(a) Values (b) moral (c) Ethic (d) none
2. The subject that enables us to understand 'what is valuable' for human happiness is called ____education. ()
(a) moral (b) Values (c) Ethic (d) none
3. ____values are local, parochial and temporary in application. ()
(a) Personal (b) Moral (c) Social (d) Spiritual
4. ____values refer to all good manners that are needed to make our life successful and joyous. ()
(a) Behavioural (b) Personal and Social
(c) Moral (d) Spiritual

5. The value of _____ is the participation of human being to ensure the continuity of harmony in that order. ()
 (a) Animals (b) human being
 (c) Universal (d) none
6. _____ of value education is that of self-exploration which means self-investigation or self-attentiveness. ()
 (a) Process (b) content
 (c) Measures (d) understanding
7. Education today is only concerned to earn ()
 (a) Salvation (b) Good Character
 (c) Sound relations (d) Bread and butter
8. Value education should be universal . It implies that ()
 (a) It is applicable to all people only
 (b) It is applicable at all places only
 (c) It is applicable at all times only
 (d) It is applicable to every individual for all time and space
9. The value education must be include as ()
 (a) All dimensions thought, behaviour, work & realization and
 (b) All levels individual, family, society, nature & existence.
 (c) a and b
 (d) All levels individual, family and society only
10. Value education leads a human being to _____ ()
 (a) Body (b) Psyche
 (c) Health (d) Harmony

Answers

1. (a)	2. (b)	3. (c)	4. (a)
5. (b)	6. (a)	7. (d)	8. (d)
9. (c)	10. (d)		

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Unit - 2

HARMONY IN THE FAMILY

2.0 OBJECTIVES

After completion of this unit we should be able to understand :

- Human - Human relationship and importance of family.
- How can competition can leads to harmony?
- Basics for respect and today's Crisis like Affection, Care, Guidance, Reverence, Glory, Gratitude and Love.
- Five dimensions of Human Endeavour.

2.1 INTRODUCTION

We live in a family. In family we have relationships where we interact with an other human beings. Family is the foundation of society and provides the basis of continuity of human tradition on a earth. Everyone is born and lives in such relationships. This is an indivisible part of living. Human is co-existence of self and the body. It is a self that understands and has feelings.

Self recognizes the relationship. Hence, the relationship exists between self and the other self. Relation to the body is through self. Feelings in relationship is a natural. These are neither created nor removed. These feelings are basis of relationship and can be recognizes. Feelings in relationships are actually definite and not vague.

These relationships have values like trust, respect, affection etc. Understanding that relationship which exists between self and the other's self, people know that the relationships are not limited in the family but extended to include all the human beings. The basic human aspiration of every human being is continuous happiness and prosperity. The happiness lies in understanding and living in harmony at levels of society.

2.2 HARMONY

Harmony in the family is the building block for harmony in the society. Harmony in the society can be leads to an undivided society when we feel related with an each other. Harmony in the family can be maintained if each and every member of the family feels that he/she is needed and their individual goals and aspirations get the space to flourish and prosper. We can achieve harmony in relationships by the acknowledgement of other person as an individual. We must not use our relationships to fulfill our expectations.

“Grow and let grow”

It should be the golden rule of a successful rapport.

The harmony brings within us a sense of belonging which cannot be recreated by something else.

“You cannot make a plant grow in soil unsuited to it”.

It can be clearly indicates that to be in a state of innate happiness and prosperity one should live in the harmony.

Living a life that counts can be determined by,

1. Relationships that ‘I’ form.
2. The decisions that ‘I’ make.
3. The experiences that ‘I’ encounter.

When you are not doing something with your life, then it doesn't matter how long you live. When you're not doing something with your life, then it doesn't matter how short your life can be. The life is not measured by years lived but by its usefulness.

When you are giving, living, serving helping, encouraging and adding value to an others, then you are living the life, that counts. The relationships

with people around us are perhaps a most precious and cherished things that bring meaning to the life.

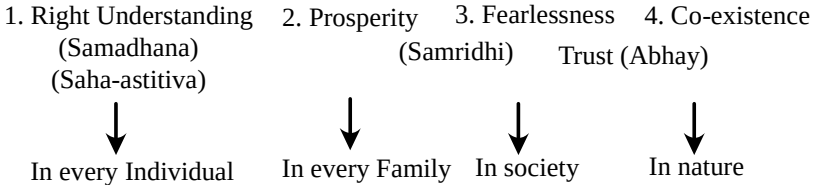


Figure-2.1

Harmony in a society can be promoted by ensuring justice among the relationships. It leads to trust and courage for a dual in a society to live in a harmony with an others.

Preservation of a nature by enriching protection and right utilization leads coexistence in nature. Moving or production is carried out in harmony with nature thus leading to harmony in coexistence with nature.

2.2.1 Harmony in Society

Society or human society is the set of relations among people, including their social status and the roles. By extension, society can be denotes the people of a region or country. Sometime even the world, taken as the whole. Used in a sense of an association, the society is a body of individuals outlined by an bounds of functional interdependence possibly comprising characteristics like national or cultural identity, social solidarity, language or hierarchical organization.

An human societies are characterized by patterns of relationships between individuals sharing a distinctive culture and the institutions. Like other communities or the groups, the society can be allows its members to achieve needs or wishes they could not fulfill alone.

World society can also be refer to an organized voluntary association of people for religious benevolent, cultural, scientific, political, patriotic or other purpose. Today the term society is currently used to cover both the number of political and the scientific connotations as well as variety of association.

2.2.2 Extended Relationship from Family to Society

To understand our relationship in a family and live harmoniously in these relationships, we become aware of our relatedness to all the human

beings. Family is a first place to understand our relationships, recognizing the feeling in an these relationship live according to these feelings and attains the mutual happiness. Our natural acceptance is to feel and it can be related to everyone. We can be easily explore this within ourselves.

Our competence might be limited at the moment and we might feel we are unable to do so but we spontaneously accept that we wish for their we wish for their happiness as well, along with an ours; this is our intention. We expect same from an other. We feel related when we are with people who feel related to us and we enjoy the feeling of assurance and in this social web. An harmony in a family is the family building for harmony in the society.

The harmony in society can be leads to an undivided society with each and every human being. Our natural acceptance is for relatedness with all and we can very naturally expend into a world family. It is the basis of an undivided society (akhanad sarnaja), the feeling of relatedness with all. If we begin to understand and become aware of a harmony at this level in our living, we begin to see our responsibility and the participation.

2.2.3 Harmony from Family to World Family

Justice (recognition of feelings in a relationship, its fulfillment, evaluation happiness) starts from family and slowly expands to a world family. In family, we learn relationship, the definite feelings or values and learn how to fulfill them.

If we do not understand values in relationship, we are governed by our petty prejudices and conditionings. This leads fragmented society while our natural acceptance is for an undivided society

2.3 HARMONY IN NATURE

An aggregate of all mutually interacting units big or small, sentient or insentient together can be called as the nature. These units are infinite in a number and we could easily observe that there exists the dynamic balance, self regulation among all these units. This self regulation is a harmony or the balance in a nature.

Law of nature has a unique cause and the effect system which must be understood in order to be in harmony with natural law of things. Natural harmony is necessary for the following reasons:

1. Natural harmony is necessary to solve a problem of global warming and the depletion of non-renewable natural resource can be avoided.
2. Natural harmony with trees cure all problems such as reduction of wind velocity, energy savings, doing companion planting, development of an eco-subsystem in terms of establishing the forest garden, reduction of a building heat.
3. This is possible to achieve natural harmony in a establishment, maintenance and the management of an educational institution such as schools, colleges and the universities.
4. One can understand the depths of a harmony and alignment in a natural by contemplating and the reflecting upon a natural order. This is possible to unravel the mystery of a natural synthesis in a midst of ongoing chaos at the material plane.

2.4 HARMONY IN THE FAMILY

Family is the fundamental unit in a entire social structure. Family is the group where individuals share space within an atmosphere of mutual empathy and the love.

An importance of family lies in a fact that families can provide comfort, emotional support, nurturing and warmth of a love and tenderness. The reciprocal relationship can be exists between various members of the family.

Children receive guidance from a family as to what they should do or what they should not do. The family can be determines to a large extent the social roles that children will be perform. One of the life's greatest achievements is to grow and let your seeds grow. Nothing in life is more fulfilling than watching your children blossom.

The family helps us to inculcate values such as honesty, integrity, patience and self control gradually and steadily to our children. Thus, the basic structure of social support to any member of a particular society is formed by the family.

2.4.1 Family is Basic Unit of Human Interaction

The family is the natural laboratory and learning ground,

1. To understand a harmony in a relationship with human beings.
2. To practice it in terms of its fulfillment, evaluation and ensuring mutual happiness before we extend this to every unit in a Society and then to Nature.
 - (i) We naturally live in a family. In family, we have relationships where we interact with an other human beings.
 - (ii) Child starts interacting with a mother, father and other members in a family, and starts understanding relationship.
 - (iii) Family is a foundation of society, and provides a basis of continuity of human tradition on a earth.
 - (iv) Human beings get an opportunity to interact, understand, fulfill, share and work in the mutual relationships living in the family.

2.4.2 Family is a Natural Laboratory

To make a family bond, humans form a normal relationships. Relationships are veracity of a life between family members. An improved to interact with one another, share mutual interest's tastes and the recognize affinity.

Relationships in a family help us to understand their connection with an other individuals such as friends. Thus, it helps us to create the social order in a society.

2.5 FAMILY IS BASIC UNIT OF ALL INTERACTION

Each of us is born into the family which can be includes the number of relationships. These relationships are reality of our life. We recognize and identify these individuals. We share our feelings, tastes, interests and understanding with these people and have an affinity for them.

Beginning with our family as the basic unit of interaction, we extend our interactions to immediate neighborhood like shopkeepers, servants, classmates, teachers and colleagues etc. Hence, we extend our interactions from beginning from our family to bigger social order and then move further to a still bigger web of a interdependency.

2.5.1 Set of Proposals to Verify Harmony in Family

1. **Relationship is and it exists between Self ('I') and other Self ('I'):** In a family, we do not create the relationships. Instead we are embedded into the relationships that are already there and all that we need to do is to recognize them and understand them.
2. **Self ('I') has Feelings in a Relationship:** These feelings are between ('I') and ('I'). In any relationship, it is the person's Self (I) i.e., related to other person's Self (I). An body is only a means to express our relationship.

Example: In a mother and a child, it is the Self of a mother and Self of the child who feel connected. Their bodies are incapable of understanding or having feelings.

3. **Feelings in ('I') are Definite i.e., they can be Identified with Definiteness:** The feelings in a relationship between "I" and "I" such as Trust, Respect and Affection etc., can be identified with clarity. These feelings are values which characterize any relationship.
4. **Recognizing and Fulfilling these Feelings Lead to Mutual Happiness in a Relationship:** Once we recognize the values essential for any relationship, we start working and behaving according to these feelings. We begin evaluating ours' and an others' feelings in a relationship. Hence, living with these values leads to mutual fulfillment and happiness in all our relationships.

2.5.2 Justice (Nyaya)

Justice is recognition of values (the definite feelings) in a relationship, their fulfilment, the right evaluation of fulfilment resulting in mutual happiness. Justice concerns itself with an proper ordering of things and people within the society. There are four elements:

1. Recognition of values.
2. Fulfilment.
3. Evaluation and
4. Mutual happiness ensured.

If all the four are ensured, justice can be ensured. The mutual fulfilment is hallmark of justice. Justice is the essential in all relationships. Justice starts from the family and slowly expands to world family.

Child gets the understanding of a justice in family. With this understanding, he goes out in a society and interacts with an people.

When the understanding of justice can be ensured in a family, there will be justice in all interactions we have in a world at large. When we do not understand an values in a relationships, we are governed by our petty prejudices and conditionings. We may treat people as high or low based on their body (particular caste, or sex or race or tribe), on a basis of wealth one possesses or belief systems that one follows. It is a source of injustice and leads to fragmented society while our natural acceptance is for an undivided society and the universal human order. Having explored a harmony in human beings, we are able to explore the harmony in a family. It can be enables us to understand harmony at the level of society and the nature/existence. This is the way, the harmony in our living grows. We slowly get a competence to live in a harmony with all human beings.

2.5.3 Differentiation (Disrespect) in Relationships

The respect means accepting individuality and doing the right evaluation (to be evaluated as I am). Nowadays, our basis for respect is largely quite contrary. Instead of respect being the basis of similarity or one of right evaluation, we have made it into something on a basis of which we differentiate i.e., by respecting you mean you are doing something special, because you are special or have something special or are in some special position. Hence all of us are running around seeking respect from one another by trying to the become something special. We are differentiating in the name of respect. Either differentiate people as follows;

1. On a basis of their body.
2. On the basis of their wealth and,
3. Possessions or on the basis of their beliefs.

There is no notion of respect in terms of the right evaluation. Hence, there is no real feeling of a relationship, only one of differentiation.

1. On the Basis of Body

- **Sex/gender:** We ignore the fact that being male or female is an attribute of a body, and not an attribute at level of 'I'. Differentiate in giving respect on a basis of gender is called male and females. In many countries, people even prefer the male child to a female child, and in some other societies and the other way round.
- **Race:** When the person is of same race as oneself, then we treat them differently. For example, we differentiate on a basis of skin colour, white, brown, black etc., or on basis of whether the person is of Aryan race, Mongolian race etc. On the basis of caste. Again here, we don't do the evaluation on a basis of 'I', but on a basis of the body
- **Age:** We have notions like 'one must respect elders'. There is no such notion as respect youngsters. We see that we are again evaluating at level of a body. An age is related to body, and not to 'I'.
- **Physical Strength:** When someone is stronger, we again treat him/her differently. This is again at level of a body. We think that we are respecting an other while it is fear; the fear that if we do not treat them like this, we will be harmed.

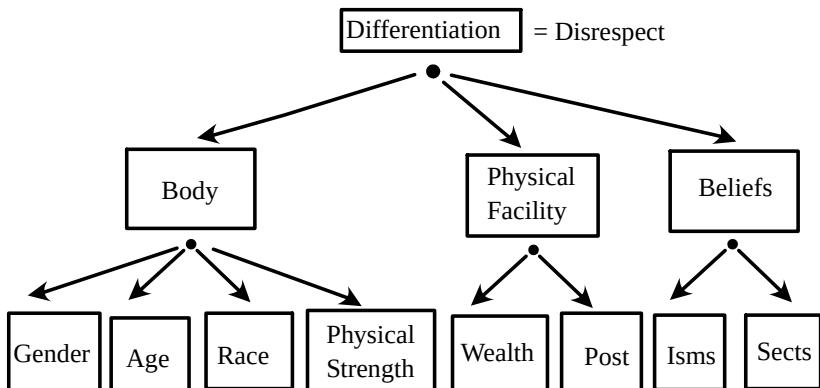


Figure-2.2

2. On the Basis of Physical Facilities

- **Wealth:** When we differentiate people because some have wealth than others. What we term as the "rich person" gets idolized. We

don't even bother to find out whether such people are feeling prosperous, or when they just have wealth. We are over-evaluating physical facilities first, which are just meant to fulfil a needs of a body, and then on a basis, we are wrongly identifying our relationship.

- **Post:** If we try to respect on a basis of a person's position. It is wrongly evaluated as mark of a person's excellence and differentiation sets in. An post is considered important either on a basis that it gives more physical facilities or on a basis that certain positions are assumed to be important. In our education, we are trained directly or indirectly to earn posts for us to fetch respect.

3. On the Basis of Beliefs

- **'Isms':** 'Ism' means any belief in terms of the 'thought-system' that we have, or that we have adopted. There are also many modern 'isms' like capitalism, socialism and communism, etc. An people following these sets of the beliefs are called as capitalists, socialists, communists, and so on. People that have adopted them or are following them have been exposed to them since childhood. Believing theirs to be right belief. Thus, all beliefs, as we have seen are at level of desires, thoughts and expectations (selections) in 'I'. There is no definiteness at this level, and hence, this becomes a cause for differentiation.
- **Sects:** People of one sect only consider those with an similar belief system to be their 'own' and worthy of the respect. Following is the particular tradition, or what we call as religion, becomes a basis of respect and the disrespect in a relationship.

2.5.4 Problems Faced Due to Differentiation in Relationships

1. **Differentiation based on Sex/Gender:** Issue of women's rights, and women protesting and demanding for equality in a education, in jobs and in peoples' representation. People are insecure and afraid of one another based on their gender.
2. **Differentiation based on Tace:** There are many movements and protect against racial discrimination and the demands for equality,

racial attacks, movements against cast discrimination has people living in fear of such racism, racist attacks, casticism and discrimination.

3. **Differentiation based on Age:** Protests and movements demanding for an equal rights for children on one hand and for rights for elderly people on other generation gap.
4. **Differentiation based on Wealth:** Class struggle and movements to do away with an class-differentiation. Many people suffering from the lack of self-esteem and some even committing suicide,
5. **Differentiation based on Post:** Protests against high handed government officials. At an level of individual, leads to depression, etc.
6. **Differentiation based on 'isms':** Fights, turmoil, terrorism and war, people converting from one Ism to another in order to be able to get more respect.
7. **Differentiation based on Sects:** Countless religions and the sects and each sect has its own movement to ensure that there is no discrimination against people of their belief and the demands for special provisions in a jobs and in education.

2.6 VALUES IN RELATIONSHIPS

Relationships: Relationships can shape our character, values and the interest. Relationships can be help us to define what we are and what we can become. Following things are essential in any relationships;

1. Right perception
2. Right observation and
3. Right expression.

Man is the relationship is right perception, right observation and the right expression. Man is a knot into which relationships are tied. We are highly mistaken in a case of body and the self considering them as one, the same is in a case of relationships.

By relationships, we do not mean a relationships between body and body but the relationship between 'I' and T. We must not just see someone's outer self. The relationship is a reality and not an assumption. It is very rightly said.

"Assumptions are termites of relationships"- Henry Winkler

There are feelings can be associated in a relationship of one 'I' with an other. These feelings are natural and have to be understood. Our greatest joy and our greatest pain come in our relationships with an others. Good relationship is not one that just lasts but one that can be co-exists with the self-respect, individuality and need to grow.

In a relationships we exchange energy, emotions, ideas and the values. When the feelings in a relationship are recognized, rightly evaluated and fulfilled it can be leads to harmonious relationships.

Common misunderstanding in a relationships is that physical facilities routinely fulfill the needs of the relationship. It can be due to the rating a relationships in terms of the physical needs and the comforts.

Example: Old parents are often left out in a old-age homes I comforts by their children ignoring a feelings of T.

When relationship is based on physical facilities, the purpose of relationship is reduced to material needs. Right understanding and the feelings in relationships are also lost and not recognized self (I).

2.6.1 Values in Human Relationships

Feelings of a self (I) require values to be in the relationship with an other (T). Salient values include individuals' beliefs regarding important goals and processes that people & agencies should follows in specific situations;

1. Trust or Viswasa.
2. Respect or Samman.
3. Affection or Sneha.
4. Care or mamat.
5. Guidance or Kusalya.
6. Reverence or shraddha.

7. Glory or Guarava.
8. Gratitude or Kritagyata.
9. Love or Prema.

Feelings in relationship are values in relationship. All feelings are already within you. All the feelings are already within you-understanding only makes you aware and once you are aware of it there is continuity of these feelings and you are able to fulfill them. Trust is a foundational value of the relationship, i.e., relationship starts only when we have trust and love is a complete value.

2.7 BASICS FOR RESPECT AND TODAY'S CRISIS

There are certain basic and important values in maintaining the relationship. These values, we all know, are backbone of health and the happy family relations. Feelings, emotions, sentiments and respect all are of the real importance. These values lead to elimination of a friction and establishment of the total harmony in a relationship on a long term basis.

2.7.1 Trust (Vishwas)

Trust is absolutely important. Trust or vishwas is the foundational value in relationship. Trust is created by our own behavior, our own value systems and our own responses.

“To be assured that each human being inherently wants oneself and the other to be happy and prosperous”. If we have trust in the other, we are able to see an other as a relative and not as an adversary.

1. Trust in a relationship is clarity/understanding/assurance that the other wants and works for my happiness and prosperity.
2. Trust is one of those things that are much easier to maintain than it is to repair. Trust is everything and we should try to nurture it.
3. Relations are building on person to person basis, their perception about each other and the trust created in a process of action and the reaction.

Aspects in Trust: There are two aspects in a trust:

- a. Intention (wanting to-our natural acceptance).
- b. Competence (being able to do).

Both intention and the competence are aspects of a trust. Intention is what one aspires for (our natural acceptance) and the competence is an ability to fulfil the aspiration.

In intention every human being wants to do what is right, only the competence may be lacking which needs to be developed through the proper understanding and practice. What we are doing today is that when we are judging ourself we are judging on a basis of our intention. When we are judging an other we are judging him on a basis of his competence.

2.7.1.1 Difference between Intention and Competence

Intention (Natural Acceptance)	Competence (Ability to Fulfill)
I want to be happy.	I am always happy.
I want to make the other happy.	I make the other always happy.
The other wants to be happy.	The other is always happy.
The other wants to make me happy.	The other makes me always happy.
What we really want to be is the intention.	What we are is the competence.

Example-1: If I trust everyone, people would take advantage of me. Do you agree? Explain.

Ans.

Usually, trust is based on right understanding and assures the happy relationship. Good understanding builds the strength and effective ion. Being uninformed of a situations or knowledge can be taken advantage of. In the good relationship competence is based on a trust. I agree that trusting blindly everyone can be taken advantage of if right understanding is not.

Example-2: How is trust the foundation value of relationship?

Ans.

Trust is a foundational value or 'Adhara mulyal'. This is the right understanding and happiness between a humans trust leads to penalty

such as arguments, blame or even threat to life. An human intention is to be happy and feel natural relationships. Trust is a foundational value of such a human relations.

2.7.2 Respect (Samman)

Sense of individuality is prime object. It is the first basic step towards respect (sammana). Once we realized that we are individual then only we can see our self different from an others. Other words, respect means right evaluation, to be evaluated as I am.

The term 'respect' refers to 'right evaluation'. An every individual wants that he/she should be evaluated as he/she is and also, to evaluate others as they are,

The need of 'I'

- 'I' should be evaluated as 'I' am.
- 'I' should evaluate others as they are.

We should take care that we do not evaluate the human being as a body but should evaluate him on a basis of 'I'. Evaluation can be either right or wrong.

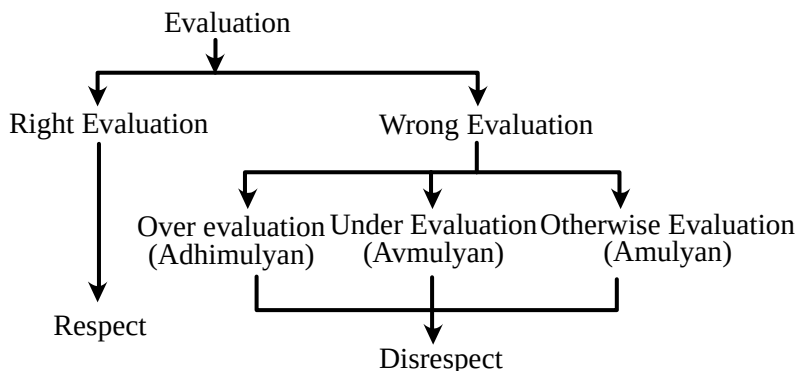


Figure-2.3

- Over Evaluation:** To evaluate for more than what it is. When someone praises you for an qualities which you don't possess, you feel uncomfortable.
- Under Evaluation:** To evaluate for less than what it is.

Example: If someone underestimates your qualities then also you feel uncomfortable.

(iii) **Otherwise Evaluation:** To evaluate for something other than what it is.

Example: When you are evaluated as something else, say donkey will feel uncomfortable.

If we do not evaluate an other person rightly, then it is showing disrespect for him. These feelings of disrespect can lead to resentments and protests. If trust and respect are ensured, the other feelings follow very easily.

2.7.2.1 Difference between Respect and Differentiation/ Disrespect

Respect	Differentiation
Respect is right evaluation.	Differentiation is lack of understanding of respect.
Respect for others is generated by the right evaluation and understanding which leads to fulfilment in relationships. This further creates a sense of respect among people.	This differentiation can take the form of: a. Gender bias b. Generation gap c. Caste struggle d. Power play and e. Domination f. Communal violence g. Clash of race, religion,etc. h. Class struggle.
	It leads to escalation in the problems of society which further lowers the respect shown to others in society.

2.7.3 Affection

Affection: It can be defined as a feeling of being related to one another and make happy.

People accept an each other the way they trust and respect each other. Bonding between family members is based on a mutual trust and natural acceptance. When any of even commit a mistake due to misunderstanding, family bounding guides the space mid time to accept each

other and evaluate correctly. The physical facilities are shared in a family, it is often acceptable to an each other. Problems arise is assessing other based on a wealth. Physical facilities try to make the family stronger.

This is something that we can provide or receive. Affection is something that flows and moves from one person to another producing some emotion. This is the feeling of accepting other as one's relative. Affection is a expression of care.

It can be symbolizes security, protection, comfort, approval which is vital ingredients for any relationship. This is the positive feeling of liking and it is an emotion that can be derived from the recognition of one's own values in a character of another.

Example: Newly born baby makes its place in a home as well as in 'I' of the family members. It receives affection.

2.7.4 Care

Care refers to nurturing and protecting the body of one with whom we are related. This develops a sense of a responsibility towards a body of an other, especially when the other person is incapable of taking care of himself.

Feeling of care is the feeling to nurture and protect the body of our relative. In other words a state of mind in which one is troubled; worry, anxiety, or concern is called care. Care is level of active concern, or lack of negligence, towards avoidance of possible dangers, mistakes, pitfalls, and risks, demanded of a party as a duty or legal obligation.

We understand the human being as a coexistence of self ('I') and the body, and body is an instrument of 'I'. Based on this understanding, we take a responsibility of nurturing and the protecting a body of our relatives.

2.7.5 Guidance

Guidance here refers to special care or activities shown by an individual towards the other's 'I' in order to evoke right understanding and a sense of responsibility in him.

The feeling of ensuring right understanding and feelings in the other (my relative) is called as guidance. We understand the need of self ('I') for right understanding and feelings. The other is similar to me in his/her faculty of a natural acceptance, desire of wanting continuous happiness and program of a living in a harmony at all the four levels.

An other is also similar to me in a potential of desire, thoughts and the expectation.

Example: Care shown by parents towards their children.

2.7.6 Reverence

This is a feeling or attitude of deep respect. By showing reverence to the other person, we accept his excellence. This feeling of acceptance inspires an individual to acquire all those good qualities.

The feeling of acceptance of excellence in the other is called reverence. When we see that the other has achieved this excellence-which means to understand and to live in harmony at all the levels of living ensuring continuity of happiness, we have a feeling of reverence for him/her.

2.7.7 Glory

To attain excellence one has to make efforts. Recognition of these efforts and the feeling thus developed for that person is called as glory.

Glory is the feeling for someone who has made efforts for excellence. We find that there have been people in a history, or even around us, who are investing their time, energy and their belongings to achieve excellence (to understand and to live in harmony at all levels of living ensuring continuity of happiness), to make others excellent. It gives us a feeling of glory for them.

2.7.8 Gratitude

Gratitude is a feeling for a person who has helped 'me' to achieve my excellence. A feeling of giving thanks to them for all the things they do is called gratitude.

Gratitude is the feeling of acceptance for those who have made efforts for my an excellence. Gratitude is an emotion that occurs after people receive help, depending on how they interpret the situation.

Example: In our life, we come across many teachers, who bring out our hidden talents and lead us to excellence.

Specifically, the gratitude is experienced when people perceive the help they receive as,

- (a) Valuable to them.
- (b) Costly to their benefactor, and
- (c) Given by benefactor with benevolent intentions.

2.7.9 Love

It is a feeling of involvement with the entire existence. It is a feeling of being related to all are love or prema. Love is also known as Puma multi as it involves all human beings. It is a universal feeling shared in a society, family and friends. It is a natural acceptance and it is represented as a complete value.

Love begins by taking care of the closest ones- the ones at home. It is like a seed which sprouts first at home and then it grows into a tree. As a tree spreads its branches and gives shade, love also spreads its fragrance in all directions and soothes the human mind. So, where there is love, there is harmony.

Love is the emotion of a strong affection and personal attachment. In other words, love is a feeling of warm personal attachment or deep affection, as for a parent, child, or the friend.

This feeling or value is also called as complete value since this is the feeling of relatedness to all human beings. It starts with identifying that one is related to other human being (the feeling of affection) and it slowly expands to the feeling of being related to all human beings.

“Thinking with Love is truth, feeling with Love is Peace, acting with Love is right conduct, understanding with Love is non-violence”

Above mentioned values are core of all relations. One has to follow all to gain on a day to day problems. These values are intrinsic and available in every person. We need to find out in ourselves and implement. Without implementation, one cannot think of a strong family relation.

2.7.10 Difference between Belief & Understanding

Key point that underpins a distinction between understanding and belief is that and it is easy to think of a instances in which one understand (or) at least partly understand an idea while believing the completely different idea.

For example the student understands the concepts of a solar system still believing his/her religious doctrine. So beliefs are ad-hoc values while correct understanding is the universal human values.

An distinction between beliefs and understanding can be under-pinned by evaluating following points:

Beliefs	Understanding
Beliefs are the ad-hoc values.	Correct understanding is the univ- ersal human values.
They usually not the same for every-body.	They are same for everyone.
Beliefs are assumed values.	Understanding is evaluated values.
Belief usually change with time. For e.g. at one point of time you might have thought getting in to a good college is the most important now it may change to a getting a good job to a company or getting a job in a good company.	Understanding does not change with time.

2.8 COMPREHENSIVE HUMAN GOAL: THE FIVE DIMENSIONS OF HUMAN ENDEAVOUR

Identification of Comprehensive Human Goal

In order to facilitate the fulfillment of a basic aspirations of all human beings in a society. Following comprehensive human goal needs to be understood.

1. Right understanding is necessary for human beings, for all human beings. When one does not have right understanding one remains disturbed and also acts in a manner so as to create disharmony with other human being as well as with rest of nature.

2. Prosperity is needed in every family. Prosperity in the family means that the family is able to identify its needs and is able to produce/achieve more than its requirements.
3. Fearlessness/Trust in society means every member of society feels related to everyone else and therefore there is trust and fearlessness.
4. Co-existence in nature means there is a relationship and complementarity among all the entities in nature including human beings.

The comprehensive human goal. With a little exploration, we find that all four are required for a human society. We are not satisfied with anything less than this. This is the basic minimum requirement to ensure sustainable happiness and prosperity.

We can't cut down any of them. It is the minimum level that each one of us wants, and also maximum we can think of. We can't think of anything more than this. This is the target for each one of us, the whole human race and the human tradition.

Moment we leave anyone of them out, there will be loss of continuity, and goal cannot be achieved.

Samadhan: We can solve society's problems when we see beyond the contradictions of life. When we live in a higher consciousness, we obtain the higher knowledge that sees the higher harmonies which enable the resolution of every problem.

Samridhi (Prosperity): Prosperity is a state of flourishing, thriving, success, or good fortune. Prosperity often encompasses wealth but also includes other factors which are independent of wealth to varying degrees, such as happiness and the health.

Abhay: Man is eager to live and afraid to die. Most problems owe themselves to this fact. Fear of death might be reckoned as a prime fear but most primeval and basic fear is that of expectation being defeated, or more specifically, that of losing what one delusively thinks one owns.

Fear of losing what one is attached to (the family, for, example) gives birth to fear of death and therefore the former is most basic fear because one is attached to the body and is afraid to lose it. Fear resides

within and not outside us. External fear is mere fiction. When we succeed in cultivating fearlessness no incident, no external circumstances can strike fear in us.

Abhay is not associated with bhaya and nirbhaya, at all. Abhaya means fearlessness; it is a permanent state where there is no question of ever experiencing any fear.

Fear is only the delusion created by the mind; lack of fear is also a delusion created by the mind. Mistaking one thing for another leads to fear; recognizing the mistake and rectifying it, leads to removal of fear. These two, Bhaya and Nirbhaya, are associated with fear and freedom from fear.

Factors for Fear

There are many factors which can make a person develop fear.

1. Ignorance and distorted perception of a world.
2. Fear of unknown is the most common factor.
3. Fear of the past is due to guilty feelings attached to our past actions.
4. Fear of the future is insecurity and
5. Death is another major cause of fear for many people.

Steps to Attain Abhaya

1. Fear can be overcome when we enquire into the nature of its cause objectively and the causative factors are resolved.
2. Fear of the past can be overcome if we take responsibility for our actions and stop doing things which will add to our guilt later.
3. Insecurity can be overcome if we accept our limitations and perceive the wonderful cosmic order as a humble spectator.

Co-existence (Sah--astitva)

World is full of Diversity – there are different nations, cultures, religions, communities, languages, and beliefs. Beauty of existence can only be maximized if everything in this world is in a harmony. Peaceful, symbiotic co-existence is key to harmony in a world. For peaceful co-existence to occur in a diverse society the following must happen:

1. People must recognize that traditional interpretations of peaceful co-existence are outdated.

2. Governments and individuals must recognize that society needn't be homogeneous or institutionalized to serve an important purpose for people.
3. Members of varying cultures, countries and faiths must learn to respect a traditions, beliefs and the boundaries of one another.
4. Religion and politics must be separate and
5. An people must agree to disagree regarding certain moral values and beliefs and come to recognize that others can be different from them and yet be equally capable in their own unique manner.

We may also understand it in the following sequence;

Right understanding → Prosperity → Fearlessness (trust) → Co-existence.

Programs needed to achieve the comprehensive human goal and the five dimensions of a human Endeavour.

2.8.1 Comprehensive Human Goal

In order to facilitate the fulfillment of a basic aspirations of all human beings in a society. Following human goal needs to be understood in a comprehensive manner:

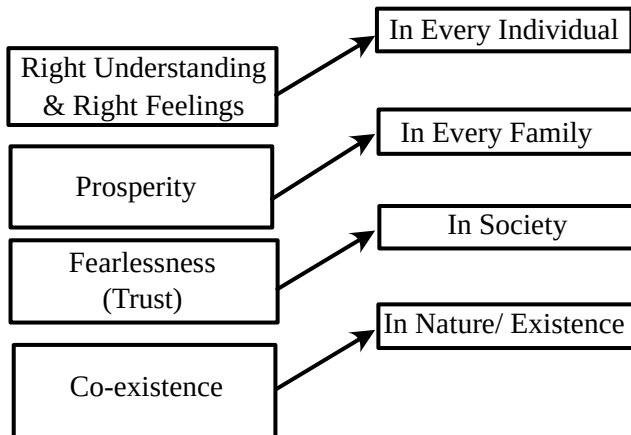


Figure-2.4

1. If one does not have the right understanding, one remains disturbed and also acts in a manner so as to create disharmony with an other human being as well as with rest of nature.

2. Prosperity in a family means that family is able to identify its needs and is able to produce/achieve more than its requirements.
3. Trust in a society means every member of society feels related to everyone else and therefore there is trust and the fearlessness.
4. Co-existence in a nature means there is a relationship and complementarity among all the entities in nature including human beings.

Abhaya means fearlessness; it is a permanent state where there is no question of ever experiencing any fear. Person with abhaya is continuously aware of his own reality; for him to become subject to fear would be impossible. Consider this quality of abhaya as just an absence of fear. Fearlessness in the society begins from the individual. We need to ensure right understanding in the individual as the foundation of harmony in a society.

With an right understanding, the need for physical facilities in a family can be ascertained. By assessing our needs correctly and by producing more than required a family can be prosperous. Assurance of right understanding in individuals and prosperity in the families, understanding of human relationships leads to harmony and trust (fearlessness) in a society.

If every individual is able to live harmoniously in a relationship, and the needs of all families are ensured, fearlessness (mutual trust) in a society will naturally follow. Hence, the state of absence of fear at a society level will only be achieved when we have right understanding at individual level and the prosperity at the level of a family

2.8.2 Five Dimensions of Human Endeavour

Comprehensive human goals are right understanding, prosperity, fearlessness and co-existence.

The programs needed to achieve the comprehensive human goals are,

1. Education - Right Living (Siksha - Sanskar)
2. Health - Self Regulation (Svasthya - Sanyam)
3. Justice - Preservation (Nyaya - Suraksha)
4. Production - Work (Utpadan - Kriya)
5. Exchange - Storage (Vinimaya - Kosh)

1. **Education - Right Living:** Having the process of education and right living leads to right understanding in the individual. An education refers to understanding harmony at all four levels of the living. While right living can be refers to commitment and the preparedness to live in a harmony at all four levels of living.
2. **Health-Self Regulation:** Sanyama refers to the feeling of responsibility for nurturing, protecting and the rightly utilizing a body. When the body is fit to act according to the needs of self ('I'), and, there is harmony among the parts of a body, it can be referred to as health or svasthya. Having the program for health and sanyam leads to well-being of a body, and identification of need for physical facilities which alongs with production can be ensures feeling of prosperity in the family.
3. **Justice-Preservation:** Justice (nyaya) can be refers to harmony in relationship between human beings, while preservation (suraksha) refers to harmony in the relationship between human being and rest of nature. Ensuring justice in relationship, or mutual fulfillment in relationship on the basis of values like Trust, Respect, etc., leads to fearlessness in a society, while Suraksha of nature - via enrichment, protection and the right utilization leads to co-existence in nature.
4. **Production - Work:** Production and work are for physical facilities, and it leads to a feeling of a prosperity in a family. Production is done in a harmony with a nature. Thus, it is also leads to co-existence with a nature.
5. **Exchange - Storage:** Exchange (vinimaya) refers to the exchange of physical facilities between the members of the society, while storage (kosa) refers to the storage of physical facilities that is left after fulfilling the needs of the family. When we store and exchange for mutual fulfillment and not for exploitation, then it leads to fearlessness (trust) in a society.

2.8.3 Prosperity in Families

We are not able to see that needs of a physical facilities can be limited and that, we can have more than what we need. We are only talking about how to generate wealth. We seem to have forgotten that the need

to have wealth is connected with the need to keep a body healthy and use it for the right purpose and not for an maximizing accumulation for purpose of the sensory enjoyment.

Fearlessness (Trust) in Society: In a place of working for fearlessness, we are working for strategic power. In the name of defence, we are misusing a valuable resources of a nature to make weapons and ammunitions.

We are becoming increasingly more fearful of an each other. Most of the countries in a world are busy preparing for war, in the hope that more and more competence for a war will leads to peace.

Co-existence with Nature: Instead of co-existing we are busy figuring out better ways to exploit a nature. We have tended to assume that the goal of our technological development is to get victory over nature, to subjugate a entities in a nature and to disrupt nature's cycle, in pursuance of our whims and the fancies.

We even have disregarded the truth that nature is our basic support systems and the disturbing its balance will result in our own destruction.

2.8.4 Recyclability and Self-regulation in Nature

There are several cyclical processes that we can see in a nature. For example the cycle of a water, evaporating, condensing and the precipitating back to water giving the weather phenomena.

The cycles keep these materials self-regulated on a earth. Breeds of plants and the animals are similarly self-regulated in their environment. In a forest, the growth of trees takes place in a way so that an amount of soil, plants and the animals remains conserved. It never happens that the number of trees shoots up and there is a lack of soil for an trees.

An appropriateness of a conditions for growth of both plants and the animals are self-regulated in a nature keeping the population proportions naturally maintained. This phenomenon is termed as self regulation. In a single breed of animals, the number of males and females generated through the procreation is such that a continuity of species is ensured by itself. It happens with humans too, but inhuman practices have led to disproportionate numbers of men and the women. These two characteristics namely, cyclical nature and self-regulation provide us with some clues of a harmony that is in a nature.

2.9 UNIVERSAL HUMAN ORDER

The sarvabhaum vyawastha (Universal Human Order) is the state of realizing the freedom of individual in context of this universe. The respect towards mankind and nature is must to establish the universal order. Having understood the comprehensive human goal, we are able to be in harmony not only with human beings, but also with the rest of nature. We are able to see that we are related to every unit in the nature and ensure mutual fulfilment in that relationship. Working on the five dimensions of human endeavour in the light of right understanding, we are able to work for an orderly living of the human society, whose foundational unit is the family and the final destination is the world family.

Universal Human Order (Sarvabhauma Vyavastha): Feeling of being related to every unit including human beings and other entities of nature.

Undivided society (Akhand samaja): Feeling of being related to every human being. An undivided human centric society is one of the higher human goals. Akhand samaj is the state of the society where all people of different religion and thought process live together and work towards betterment of the society.

Three activities can be performed to send the message of a holistic society:

1. **Educating Society through Workshops, Seminars and Street plays**

This is about organizing workshops, seminars and street plays at various levels in society. The activity may be carried out by N.G.O.'s but must receive the support of government organizations. These activities can be categorized into three types which include

- Knowing the self,
- Knowing the existence on basis of self,
- Knowing the definite human conduct which is contribution of self in existence.

2. **Value Education in Educational Institutions**

Value education should be introduced in current education system at all levels - primary school, secondary school, senior secondary school as well as college level.

3. Helping to Apply values to the Real World

Organizations - both government and non-government should open up counselling centres which can help their employees or general public to apply values to real life situations. It is about realizing the alternatives in life. Various individuals are on the way of selfexploration, finding their natural acceptance towards holistic approach of life and realizing it at all levels starting from self (with knowledge) to family (with meaningful relationships), then to society (education - health - production - business - services). The idea is not to live in isolation or individualism but with expansion of SELF to higher levels in the social system.

2.9.1 Right understanding in the Individuals is the basis for Harmony in the Family

The following are the right understanding in the individuals is the basis for harmony in the family, which is the building block for harmony in the society.

1. The harmony in the society begins from the individual. We need to ensure right understanding in the individual as the foundation of harmony in the society.
2. With right understanding, the need for physical facilities in the family can be ascertained. By assessing our needs correctly and by producing more than required the family can be prosperous.
3. Assurance of right understanding in the individuals and prosperity in the families, understanding of human relationships leads to harmony and trust (fearlessness) in the society. When every individual is able to live harmoniously in relationship, and the needs of all the families are ensured, fearlessness (mutual trust) in society will naturally follow.
4. When human beings with right understanding interact with nature, it will be in consonance with the coexistence and will be mutually enriching.

2.10 OUTCOMES

1. Understand the harmony in the family and in the society and the basic unit of human interaction.

2. Understand that the family is basic unit of all interaction and the set of proposals to verify harmony in family.
3. Understand the values in human relationships are Trust or Viswasa, Respect or Samman, Affection or Sneha, Care or mamata, Guidance or Kusalya, Reverence or shraddha, Glory or Guarava, Gratitude or Kritagyata, Love or Prema.
4. Understand the problems faced due to disrespect or differentiation in relationship.
5. To know a universal harmony order in the society and undivided society (AkhandSamaj), Universal Order (SarvabhaumVyawastha) from family to the world family.

2.11 REVIEW QUESTIONS

I. Long Answer Questions

1. Family is a natural laboratory to understand human relationships. Elaborate.
2. What is the outcome when we try to identify relationships based on the exchange of physical facilities?
3. Understand the values in human and human relationship.
4. Define affection. How does affection lead to harmony in family? What is the role of physical in the fulfillment of this feeling?
5. What is the meaning of Nyaya and protection?
6. Explain the trust (Vishwas) and respect (Samman) as the foundational values of relationship.
7. Write the difference between intention and competence.
8. Explain the feelings of care and guidance, glory, reverence and gratitude.
9. How can we move towards the universal human order?
10. “Right understanding in the individuals is the basis for harmony in the family, which is the building block for harmony in the society”.

II. Short Answer Questions

1. Write about relationships in human values.
2. Explain about harmony in the family.

3. Describe harmony.
4. What is the basic unit of human interaction?
5. List down the values in human relationships.
6. What are the salient values in relationship?
7. What is justice? What are its four elements? Is it a continuous or temporary need?
8. Define love. How can you say that the love is the complete value?

2.12 MULTIPLE CHOICE QUESTIONS

1. Sahastitva means ____ ()
 (a) Co-existence (b) Co-operation
 (c) Co-option (d) Corporate identity
2. Feeling of relatedness to all human beings is called ____ ()
 (a) Love (b) Affection
 (c) Responsibility (d) None
3. When nature is submerged in a space we call it ____ ()
 (a) Nature (b) Existence (c) Co-existence (d) Space
4. Employing the body physically for production and maintenance of physical facilities is called _____. ()
 (a) Labour (b) Family
 (c) Society (d) None
5. When something is active or has activity, we call it a _____. ()
 (a) Unit (b) Existence
 (c) Co-existence (d) Space
6. A harmonious world is created by values at 4 levels. These are _____. ()
 (a) Home, family, society, country
 (b) Individual, family, society, universe
 (c) School, home, office, temple
 (d) None

7. Values important for relationship are many they may include: ()
- (a) Aggression (b) Competition
(c) Integrity and character (d) Arrogance
8. Harmony should be maintained in: ()
- (a) Between body and life
(b) Between self and society
(c) Between life & environment
(d) All the above
9. Many human values seem good or right due to ____ ()
- (a) Positive feelings (b) Internal happiness
(c) Natural acceptance (d) All of the above
10. ____ is the basis of ____ ()
- (a) Love, affection (b) Affection, love
(c) Sanyama, Swasthya (d) Swasthya, Sanyama
11. ____ is vital for the _____. ()
- (a) Love, affection (b) Affection, love
(c) Sanyam, Swasthya (d) Swasthya, Sanyama
12. The basic capacity of self is known as ____ ()
- (a) Strength (b) Weakness
(c) Control (d) Power
13. The power/capacity for selecting/tasting is ____ ()
- (a) Strength (b) Weakness
(c) Expectation (d) Power
14. ____ is the capacity of ____ ()
- (a) Caring, Affection
(b) Expectation, Selecting/tasting
(c) Selecting/tasting, Expectation
(d) Affection, Caring

15. The capacity of _____ could lead to _____ ()
 - (a) Thoughts, desires
 - (b) Thoughts, caring
 - (c) Caring, Thoughts
 - (d) Desires, Thoughts
16. Activity of desires, thoughts and expecting, together is called as _____ ()
 - (a) Halogenation
 - (b) Imagination
 - (c) Assumption
 - (d) Creation
17. What we analyze may keep changing, the activity of analyzing is _____ ()
 - (a) Random
 - (b) Unique
 - (c) Continuous
 - (d) All of the above
18. _____ is the foundational value in relationship. ()
 - (a) Love
 - (b) care
 - (c) Unique
 - (d) Trust

Answers

1. (a)	2. (b)	3. (b)	4. (a)
5. (a)	6. (b)	7. (c)	8. (d)
9. (d)	10. (c)	11. (c)	12. (d)
13. (c)	14. (b)	15. (a)	16. (b)
17. (c)	18. (d)		

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PROFESIONAL ETHICS IN EDUCATION

3.0 OBJECTIVES

After completion of this unit we should be able to understand:

- Basic concepts of professional ethics.
- Concept of co-opertaion and competence of professions.
- Fundamental principles in competence in professional ethics.
- Overview privacy, Integrity, Respect and Equality and trust relationship.

3.1 INTRODUCTION

Professional ethics means to develop professional competence with ethical human conduct. Ethical human conduct means definitiveness of human conduct. Profession is a significant domain of human activity targeted towards participating in a larger order which includes the society and the nature around.

Competence of living in accordance with an universal human values or participation of a unit in a larger order and its natural characteristics or svabhava. Professional ethics concerns the moral issues that arise because of specialist knowledge that professionals attain, and how the use of this knowledge should be governed when providing a service to the public.

Values are a part of our ethical conduct. These are natural outcome of realization and right understanding which are always definite. Values need not to be imposed through fear, greed or blind belief.

3.2 VALUE BASED LIFE AND PROFESSION

Social work can be defined as “profession to promote social change, problem solving in human relationships and empowerment and liberation of people to enhance well-being”. Main purposes of social work profession are to solve problems in a human relationship, support individuals or communities to seek social reform at different levels so that everyone can enjoy the better life.

Supporting and the empowering people, particularly poor, disadvantaged, oppressed and vulnerable people to achieve their basic needs is also the mission of social workers.

For many people, image for social workers can be mainly attached to child the protection workers. This is not a proper image. Social work profession is much broader than that. When the students come to the social work program, they can choose from a variety of concentrations from direct practice such as services for children and family, mental health, child welfare, school social work, to community practice like human service management, community organizing and the advocacy.

The social workers work and promote changes at different levels, from changes in individual, community, to society. An direct practice and community practice makes a social work approach become comprehensive. Without either one of those, change would be difficult to achieve and might not be sustainable.

An social work is the distinct profession which can be possesses a unique approach in their practice with clearly defined values and code of ethics. Social workers were and are providing a majority of services in mental health, family and the children’s services.

Social workers have also been very active in a community organizing and policy advocacy to seek the social reform at macro level. Thus, social workers needs to inform public better about those works so that more people can relate and engage into those causes better.

3.3 PROFESSIONAL INTEGRITY

Professional integrity is the practice of maintaining appropriate ethical behaviour. Professional integrity is the practice of showing strong adherence to moral and ethical principles and values such as honesty, honour, dependability and trustworthiness. People who behave with professional integrity generally uphold a moral standard of conduct, both in professional as well as personal endeavors.

These standards govern how professionals conduct themselves, their work ethic and their communication practices. It is what gives employees a reason to trust that leaders will place professional standards over their own self-interests.

Honesty is the basis for maintaining integrity. Being loyal to a company, producing the results expected of you and being trustworthy and reliable are all qualities that characterise someone who has professional integrity.

Integrity

Integrity is the act of behaving honorably, even when no one is watching. People with integrity follow moral and ethical principles in all aspects of life. Integrity should extend to professional areas at work such as decision making, interacting with colleagues and serving customers or clients.

C.S. Lewis, *"Integrity is doing the right thing, even when no one is looking." Integrity is a foundational moral virtue, and the bedrock upon which good character is built.*

3.3.1 Professional Integrity in Business

In business relationships too, honesty, truthfulness, honour, dependability and trustworthiness are all traits of those with integrity. It is upholding a mutual standard of conduct in both professional and personal endeavors. Standards governing professional conduct include knowing how you present yourself, your work ethic and how you communicate with others.

3.3.2 Equality and Respect

Professional integrity in an organisation depends upon two important aspects which is equality and respect. Equality means treating all the employees equally, irrespective of gender, status, capabilities. A person with integrity looks beyond his own personal interests and pursues team centered goals. This requires polite and professional communication, appropriate interactions and respect for the thoughts and opinions of Co-workers.

3.3.3 Is Professional Integrity is Possible in Actual Working

It is not possible to observe professional integrity at all times. Many a time it is deviation of the original concept of integrity.

For example

- (a) **Integrity in the case of social media forum:** When an issue arises in a social media forum, a person with integrity does not tee off in a public forum in a way that is disrespectful to the professions of coding. In other words a person with integrity finds a way to express disagreement or dissatisfaction in a way that is not disrespectful or demeaning others: It is a deviation of Professional Integrity.
- (b) **In case of Conferences:** Whether a person attend the industrial conference or any other conference of an association, he has to obey and follow the discussions of the conference and exhibit integrity and professionally work with others.
- (c) **Absolute integrity not possible:** True integrity requires absolute adherence, to appropriate moral code and honesty. It requires a person always be truthful when faced with the choice of acting with integrity. We are often required to choose the harder right than the easier wrong. However in actual practice most of the employers recognise that absolute integrity is something. We can only strive to achieve.

3.3.4 Important of Professional Integrity in the Workplace

Integrity is one of the most important attributes in a leader.

The following are the few reasons for intergrity such as;

1. **Employee satisfaction:** Employees are typically happier working for someone who they believe is trustworthy and dependable, someone who would never ask them to compromise their own principles. Integrity in a supervisor has been linked to job satisfaction and engagement, employee health and even life satisfaction.
2. **Reputation:** You need to behave with integrity. Investors need to trust you to consider investing in your business. Vendors need to trust that you will pay for goods and services. Maintaining professional integrity will allow you to build a strong reputation that will increase the trust and comfort others have in doing business with you.
3. **Clearer focus:** Consistently behaving with professional integrity means you have the energy to focus on what is important rather than wasting energy covering up bad practice.
4. **Stronger sales:** Now a days customers are motivated to buy from companies that are socially and environmentally responsible. The most effective way to create a culture of integrity and ethical behavior is to behave with professional integrity.

3.3.5 Tips for Maintaining Integrity

The following are the tips which you can use to maintain your own professional integrity and encourage an entire culture of ethical behavior in the workplace.

- i. Treat everyone as same.
- ii. Reward honesty.
- iii. Admit your mistakes.
- iv. Encourage teams to speak freely.
- v. Conduct self-assessments.
- vi. Keep your commitments.
- vii. Maximum effort.
- i. **Treat everyone as same:** Integrity is to know about honesty, wholeness and being the same person in all situations and with all people. Treat supervisors, coworkers and even the intern with the

same level of professionalism and respect, regardless of their level of seniority. The same applies to customers. Every customer should be given the best treatment, regardless of the level of service they pay for.

- ii. **Reward honesty:** It create a culture of integrity by encouraging others to be honest with you, even when they make costly mistakes. Reward honesty publicly and repeatedly until everyone on your team understands that it's always safe and always the best idea to be honest with you.
- iii. **Admit your mistakes:** Everyone makes mistakes and no one, from customers to employees, expects everyone to be perfect all the time. The key to behaving with professional integrity is admitting mistakes and apologizing when you're wrong. You must also demonstrate your regret through your actions and demeanor.
- iv. **Encourage teams to speak freely:** Encourage your team to come up with fresh and creative approaches to everyday business challenges you encounter. Team discussions regarding new ideas should be honest and critical, yet respectful and open-minded of other perspectives. Encourage your team to speak freely as well as give and receive constructive criticism to improve ideas.
- v. **Conduct self-assessments:** Periodically evaluate whether you are behaving with professional integrity. Evaluate whether you are heavily influenced by stronger personalities, pressured by your boss or tempted by easy money. Make a non-judgemental inventory of your own integrity and determine whether you need to take action based on potential areas of self-improvement.
- vi. **Keep your Commitments:** If you want to develop a reputation as being someone who delivers on their promises, make a habit of always keeping your word.
- vii. **Maximum effort:** Put all your focus and effort into something to reach a goal is a character trait that others admire. It demonstrates a strong work ethics and a commitment to results for the betterment of the organization.

3.3.6 Demonstrate of Integrity in the Workplace

- **Respect and follow company policies:** Workplace policies are created to guide you on best practices for everything from conduct to dress code. Follow the company policy that enables to make informed decisions based on the business' values and objectives.
- **Ready to work:** Employees with integrity, on the other hand, are willing to go above and beyond with their own work and help others out if the situation calls for it.
- **Respect others' opinions, even if you don't agree with them:** No matter how great your working environment may be, chances are there will be times when you simply don't agree with someone else's opinion. In these cases, it's still important to be respectful, listen, and take on board what the other person is saying.
- **Be accountable for your mistakes:** Everybody makes mistakes from time to time. Owning up to and being accountable for your mistakes demonstrates that you're honest and open to constructive feedback both traits that are common to people with a high degree of workplace integrity.

3.3.7 Examples of Integrity in the Workplace

Here are some examples of how integrity could look in the workplace.

1. Rohit missed a deadline for an important project due to two of his team members not delivering what was expected. Instead of blaming his team members, Rohit took responsibility for the missed deadline, making sure to provide further training and change the process to prevent missed deadlines from occurring again.
2. Sujatha and her peer Suma were discussing how to allocate their marketing budget for the upcoming quarter. Suma suggested that they put a large chunk of the budget towards a major marketing campaign at the start of the quarter. Although Sujatha decided they wouldn't be able to execute it so soon, she earmarked Suma's campaign idea for the following quarter so that they would have enough time to prepare and execute it further down the track.

3. Janu met with Bharathi, who she managed directly, for their fortnightly catch-up. Bharathi relayed that he was struggling to stay on top of his workload due to having to attend several meetings a day. Janu implemented a new process within her team to keep meetings to 30 minutes or less wherever possible and follow an agenda. She also set up a group online chat functionality so that team members could communicate more quickly and easily.

3.4 RESPECT AND EQUALITY

3.4.1 Respect

Respect means individuality. The sense of individuality is prime object. This is the first basic step towards respect (sammāna). Once we realized that we are individual then only we can see ourself different from others.

Respect is a basic requirement for nurturing friendship, team work and for the synergy it promotes and sustains. The principles should express in this regard are:

1. Recognize and accept the existence of other persons as human beings, because human beings have a right to live, just as you have.
2. Respect others ideas and decisions, words and labour (actions). One need not to accept or approve them, but shall listen to them first. One can correct or warn, if they commit mistakes. Some people may wait and watch as fun, if someone falls, claiming that they know others' mistake before and that they will fall.
3. Appreciate colleagues and subordinates on their positive actions. Criticize constructively and encourage them. They are bound to improve their performance, by learning properly and by putting more efforts.
4. Basically, the goodwill reflects on the originator and multiplies itself on everybody. This will facilitate collinearity, focus, coherence and strength to achieve the goals.

3.4.2 Equality

The concept of “Equality” grew out of the political, social and economic inequalities that exist in society from a very long time. Absolute equality is impossible to achieve .since. men differ in strength and physical powers, in mental ability and creative quality. As Laski puts, “it does not mean the identity of treatment and the identity of reward for efforts”.

Definitions

According to **D.D Raphall**, *“The Right to Equality proper is a right of equal satisfaction of basic human needs, including the need to develop and use capacities which are specifically human.”*

According to **Laski**, *“Equality means that no man shall be so placed in society that he can over-reach his neighbour to the extent which constitutes a denial of latter’s citizenship.”* Barker opined that “Equality means equal rights for all the people and the abolition of all special rights and privileges.”

According to **Barker**, *“Equality means equal rights for all the people and the abolition of all special rights and privileges”.*

G. Sartori explained that *“equality has so many facets and so many implications that after we have examined it from all angles we are left with a feeling of not having really mastered it.”*

Therefore, as a whole, equality does not mean absolute equality in all spheres and to every person. It does not aim at identity of treatment as intellectual and physical capacity varies. It opposes inequitable treatment. It means complete and absolute equality at the bottom most level and then equal opportunity to develop one’s inner potentiality.

3.4.3 Characteristic features of Equality

The following are the few characteristic features of equality.

- Equality stands for absence of all unnatural manmade inequalities and specially privileged classes in the society.
- It infers the system of equal and adequate opportunities for all the people in society.
- It does not stand for absolute equality. It accepts the presence of some natural dissimilarities or unequalities.

- It supports an equitable and fair distribution of wealth and resources i.e. Minimum possible gap between the rich and poor.
- It assumes the grant and guarantee of equal rights and freedoms to all the people.
- It means equal satisfaction of basic needs of all the persons before the special needs.
- It accepts the principle of protective discrimination for helping the weaker sections of society. In the Indian political system, right to equality has been given to all and yet there stands incorporated provisions for granting special protection facilities and reservations to persons belonging to scheduled castes, scheduled tribes, other backward classes, minorities, women, and children.

Thus equality stands for three basic features such as

- Absence of special privileges in society.
- Presence of adequate and equal opportunities for development of all.
- Equal satisfaction of basic needs of all.

3.4.4 Kinds of Equality

The following are the different kinds of equality such as

1. Social Equality.
2. Natural Equality.
3. Civil Equality.
4. Legal Equality.
5. Political Equality.
6. Economic Equality.
7. Equality of Opportunity and Education.

1. Social Equality

Social equality stands for equal rights and opportunities for development for all classes of people without any discrimination such as civil rights,

freedom of speech, property rights, and equal access to social goods and services. However, social equality also includes concepts of health equity, economic equality and other social securities.

It requires the absence of legally enforced social class or caste boundaries and the absence of discrimination motivated by an inalienable part of a person's identity.

Specifically, social equality stands for:

- (i) Absence of special privileges for any classes of people or caste or religions group or an ethnic group;
- (ii) Prohibition of discrimination against any one on the basis of caste, colour, creed, religion, gender and place of birth;
- (iii) Free access to public places for all the people, i.e. no social segregation; and
- (iv) Equal opportunity for all the category of people. However it accepts the concept of protective discrimination in favour of all weaker sections of society.

A modern central theme of social equality is to end gender inequality, to ensure equal status and opportunities to the women and to ensure equal rights of male and female children to live and develop.

2. Natural Equality

Though the fact that human differ in respect of their physical features, psychological traits, mental abilities and capacities, all humans are to be treated as equal humans. All are to be considered worthy of enjoying all human rights and freedoms.

3. Civil Equality

It is stand for the grant of equal rights and freedoms to all the people and social groups. All the people are to be treated equal before Law. Civil liberty comprises of the enjoyment of similar civil liberties and civil rights by all the citizens. The civil rights are right to life, right to freedom, right to property, right to religion, right to vote etc.

Civil laws should treat all the individuals equally. There should not be any discrimination of superior and inferior, the rich and the poor, caste and creed, colour and race, clan and tribes, groups and classes. Rule of law is in force in England and in the eyes of the rule of law all are equal. Equal treatment is given to all by the rule of law.

4. Legal Equality

Legal Equality is defined as equality before law, equal subjection of all to the same legal code and equal opportunity for all to secure legal protection of their rights and freedom. There should rule of law and laws must be equally binding for all. In every society equality must be ensured in all these forms.

5. Political Equality

Political Equality stands for equal opportunities for participation of all in the political process. The process involves the concept of equal political rights for all the citizens with some uniform qualifications for everyone. All citizens must possess similar political rights, they should have similar voice in the working of the government and they should have equal opportunities to actively participate in the political life and affairs of the country. Political equality guarantees the enjoyment of similar political rights to all citizens.

6. Economic Equality

According to **Lord Bryce**, Economic Equality “*is the attempt to expunge all differences in wealth’ allotting to every man and woman an equal share in worldly goods*”. But this concept of ideal economic equality can never be materialised in practical politics.

Economic equality does not indicate that equal treatment or equal reward or equal wages for all. It stands for fair and adequate opportunities to all for work and for earning of their livelihoods. It also means that primary needs of all should be met before the special needs of few are satisfied. The gap between rich and poor should be minimum. There should be equitable distribution of wealth and resources in the society.

7. Equality of Opportunity and Education

It stands for all the citizens should be given equal and similar opportunities by the state. All the individuals should have similar chances to receive education. They should have similar opportunities to develop their personality. Racial or any type of discrimination should not be observed. There should not be any distinction of caste and creed, colour and race, rich and poor. In India, all are provided with equal opportunities and all have equal rights to education.

3.5 PRIVACY

Meaning: It is the ability of the individual or group to rectude themselves or information about themselves and there by express themselves selectively. The right of privacy is recognised all over the world and the right is not to be subjected to unsanctional, invasions of privacy by the government, corporations or individuals.

Privacy is the interest that individuals have in sustaining 'personal space', free from interference by other people and organisations. Drilling down to a deeper level, privacy turns out not to be a single interest, but rather has multiple dimensions.

3.5.1 Multiple Dimensions or Types of Privacy

The following are the dimensions or types of privacy.

1. **Privacy of the Person:** Sometimes referred to as 'bodily privacy'. This is concerned with the integrity of the individual's body. Issues include compulsory immunisation, blood transfusion without consent, compulsory provision of samples of body fluids and body tissue, and compulsory sterilisation.
2. **Privacy of Personal Behaviour:** This personal behaviour relates to all aspects of behaviour, but especially to sensitive matters, such as sexual preferences and habits, political activities and religious practices. However, the notion of privacy of personal behaviour concerns activities that happen in public space, as well as private

space, and Clarke makes a distinction between casual observation of behaviour by a few nearby people in a public space with the systematic recording and storage of information about those activities.

3. **Privacy of Personal Communications:** It aims to avoid the interception of communications, including mail interception, the use of bugs, directional microphones, telephone or wireless communication interception or recording and access to e-mail messages. This right is recognised by many governments through requirements that wiretapping or other communication interception must be overseen by a judicial or other authority. This aspect of privacy benefits individuals and society because it enables and encourages a free discussion of a wide range of views and options, and enables growth in the communications sector.
4. **Privacy of Personal Data:** Individuals claim that data about themselves should not be automatically available to other individuals and organisations, and that, even where data is possessed by another party, the individual must be able to exercise a substantial degree of control over that data and its use. This is sometimes referred to as 'data privacy' and 'information privacy'.
5. **Privacy of Thoughts and Feelings:** People have a right not to share their thoughts or feelings or to have those thoughts or feeling revealed. Individual persons should have the right to think whatever they like. Such creative freedom benefits from society because it relates to the balance of power between the state and the individual. This aspect of privacy may be coming under threat as a direct result of new and emerging technologies.
6. **Privacy of Location and Space:** Individuals have the right to move about in public or semi-public space without being identified, tracked or monitored. This conception of privacy also includes a right to solitude and a right to privacy in spaces such as the home, the car or the office. Such a conception of privacy has social value. When citizens are free to move about public space without fear of identification, monitoring or tracking, they experience a sense of living in a democracy and experiencing freedom.

7. **Privacy of Association:** Privacy of association is concerned with people's right to associate with whomever they wish, without being monitored. This has long been recognised as desirable (necessary) for a democratic society as it fosters freedom of speech, including political speech, freedom of worship and other forms of association.

3.5.2 Chief Contents or Aspects of Privacy

The following are the chief contents or aspects of privacy.

1. Right to be let alone,
 2. Limited access,
 3. Control over information,
 4. States of privacy,
 5. Secrecy,
 6. Personhood
 7. Autonomy,
 8. Self identity
 9. personal growth,
 10. Intimacy,
 11. Personal privacy,
 12. Organisational privacy.
-
1. **Right to be let alone:** The right to privacy is regarded by some as the right to be let alone. It means the right of a person to choose seclusion from the attention of others and the right to be immune from scrutiny.
 2. **Limited access:** It means the right of every man to keep his affairs to himself and to decide for himself to what extent they shall be the subject to public observation and discussion.
 3. **Control over information:** Control over one's personal information is the concept that privacy is the claim of individuals, groups or institutions to determine for themselves and to what extent of information about them is communicated to others.

4. **States of Privacy:** Alan Westin advocated four states or experiences of privacy. They are solitude, intimacy, anonymity and reserve.

- **Solitude:** It is a physical separation from others.
- **Intimacy:** Intimacy is a close, relaxed and frank relationship between two or more individuals.
- **Anonymity:** It is the desire of individuals for times. of public privacy.
- **Reserve:** Reserve is the creation of a psychological barrier against unwanted intrusions.

In addition to the psychological barrier of reserve, Kirsty physical, identified three more kinds of privacy barriers viz., physical, behavioural and normative barriers.

- **Physical Barriers:** Physical barriers such as walls and doors prevent others from accessing personal informations about him or her.
 - **Behavioural Barriers:** Behavioural barriers communicate to others verbally or non verbally through personal space, body language etc. that an individual does not want them to access.
 - **Normative Barriers:** Normative barriers, such as laws and social norms restrain others from attempting to access.
5. **Secrecy:** Privacy is sometimes defined as an option to have secrecy. Privacy is the right of the people to conceal information about themselves and others might use for their disadvantage. In secrecy, the individuals keep some information secret and private, while they choose to make other information to public and private.
6. **Personhood:** Privacy may be understood as a necessary pre-condition for the development and preservation of personhood. It means, recognition or identification of one's ownerships of his or her physical and mental reality and a moral right to his her self determination.
7. **Autonomy:** Autonomy is a concept closely connected to that of personhood. An autonomous self concept entails the conception of

one self as a purposeful, self-determining responsible agent and an awareness of one's capacity to control the boundary between the self and the other.

8. **Self Identity:** Privacy may be understood as a pre requirement for the development of a sense of self identity. Privacy barriers in particular are instrumental in this process. According to **Irwin Altman**, such barriers define and limit the boundaries of the self and thus serve to help define the self.
9. **Personal growth:** Privacy may be seen as a state that fosters personal growth, a process integral to the development of self-identity. It is suggested that without privacy-solitude, anonymity and temporary releases from social roles - individuals would be unable to freely express themselves and to engage in self discovery and self - criticism.
8. **Intimacy:** Intimacy stands for close relationship with others may be in the form of close friendship or intimate relationships with others. As a part of close human relations, the individuals try to self - disclose, if not all personal information to others.
9. **Personal Privacy:** It stands for physical privacy. Physical privacy stands for preventing intrusions into one's physical space or solitude.

In other words, it is the right of the people to secure in their persons, houses, papers and effects against unreasonable searches and seizous. Personal privacy denote personal dignity.

10. **Organizational privacy:** Government agencies, corporations, groups, societies and other organisations may desire to keep their activities or secrets from being revealed to other organisations or individuals by adopting various security practices. Organisations may seek legal protection for their secrets.

For example, a government administration may be able to invoke executive privilege, or declares certain information to be classified, or a corporation might attempt to protect trade secrets.

Realising the importance of privacy in almost all the countries of the world recognised the right to privacy as a fundamental right. The breach of Right to Privacy is punishable in the court of law. However there is a threat to the Right of Privacy through Internet, Twitter and Facebook.

3.6 PRIVACY LAW

Privacy law is the area of law concerned with the protection and preservation of the privacy rights of individuals. Increasingly, governments and other public as well as private organizations collect vast amounts of personal information about individuals for a variety of purposes. The law of privacy regulates the type of information which may be collected and how this information may be used. The scope of applicability of privacy laws is called expectation of privacy.

3.6.1 Classification of Privacy Law

Privacy Laws can be broadly classified into two ways such as

1. General Privacy Law.
 2. Specific Privact Law.
1. **General Privacy Law:** General privacy laws have an overall bearing on the personal information of individuals and affect the policies that govern many different areas of information.
 2. **Specific Privacy Law:** These laws are designed to regulate specific types of information. Some examples are included in this specific privacy law are
 - Health privacy laws.
 - Financial privacy laws.
 - Online privacy laws.
 - Communication privacy laws.
 - Information privacy laws.

3.6.2 Reasons for Adopting Comprehensive Laws on Privacy

There are three major reasons for the movement towards comprehensive privacy and data protection laws. Many countries are adopting these laws for several reasons.

- To reform or redress past injustices. Many countries, especially in Central Europe, South America and South Africa, are adopting laws to reform or redress privacy violations that occurred under previous authoritarian regimes.
- To stimulate electronic commerce. Many countries, particularly in Asia, but also Canada, have developed or are currently developing laws in an effort to promote electronic commerce. These countries acknowledge consumers are disturbed with their personal information being sent worldwide. Privacy laws are being introduced as part of a package of laws intended to facilitate electronic commerce by setting up uniform rules.
- To verify the laws are consistent with Pan-European laws. Most of the countries in Central and Eastern Europe are adopting new laws based on the Council of Europe Convention and the European Union Data Protection Directive. Many of these countries hope to join the European Union in the near future. Countries in other regions like Canada, are adopting new laws to ensure that trade will not be affected by the requirements of the EU Directive.

3.7 BUILDING TRUSTING RELATIONSHIP

Defining a Good Relationship

A good work relationship requires trust, respect, self-awareness, inclusion, and open communication. Let's explore each of these characteristics.

- **Trust:** The ability to trust your coworkers and the feeling that you can rely on them is an important characteristic when building a workplace relationship.
- **Respect:** teams working together with mutual respect value one another's input, and find solutions based on collective insight, wisdom, and creativity.

- **Acceptance:** Acceptance and understanding of one another and your role in the workplace relationship is an important element.
- **Self-awareness :** this means taking responsibility for your words and actions, and not letting your own negative emotions impact the people around you.
- **Inclusion:** don't just accept diverse people and opinions, but welcome them! For instance, when your colleagues offer different opinions from yours, factor their insights and perspective – or “cultural add ” – into your decision-making.
- **Open communication:** Open communication is crucial to any relationship, including a workplace one. Encouraging open communication, asking questions and getting to know your coworkers is one of the first steps toward a working relationship.

3.7.1 How to Build Good Work Relationships

Building positive relationships in the workplace may come naturally to some. However, even if you are unsure how to transition coworker relationships into positive workplace relationships, you can use the following steps:

1. Identify Your Relationship Needs

Do you know what you need from others? And do you know what they need from you? Understanding these needs can be instrumental in building better relationships.

2. Develop Your People Skills

Good relationships start with good people skills. Take our quiz *How Good Are Your People Skills?* to test how well you collaborate, communicate, and deal with conflict. The quiz will also point you toward useful tools to improve any weak areas.

3. Focus on your Emotional intelligence (EI)

Emotional intelligence (EI) is your ability to recognize your own emotions, and better understand what they're telling you. By developing your EI, you'll become more adept at identifying and handling the emotions and needs of others.

4. Practice Mindful Listening

People respond better to those who truly listen to what they have to say. By practicing mindful listening, you'll talk less and understand more. And you'll quickly become known as trustworthy.

5. Schedule Time to Develop Relationships

Building positive relationships in the workplace takes time. The daily expectations and duties of your position can make it difficult to find time to interact with other team members. By scheduling time to develop relationships, you will find it easier to interact with and get to know your coworkers. You might schedule time during lunch, during the first 10 minutes of your workday or as you are leaving the office at the end of the day. You could even schedule the first 10 minutes of a meeting to be a time when everyone catches up with one another. Additionally, many employers have after-work outings or team events which can be great for building workplace relationships.

6. Manage Your Boundaries

Make time, but not too much! Sometimes, a work relationship can impair productivity, especially when a friend or colleague begins to monopolize your time. It's important to set your boundaries and manage how much time you devote to social interactions at work.

7. Appreciate Others

Everyone, from your boss to the intern, wants to feel that their work is appreciated. So, genuinely compliment the people around you when they do something well. Praise and recognition will open the door to great work relationships.

8. Be Positive

Focus on being positive. Positivity is contagious and people gravitate to those that make them feel good.

9. Avoid Office Gossiping

Office politics and gossip can ruin workplace relationships. If you're experiencing conflict with someone in your group, talk to

them directly about the problem. Gossiping with other colleagues will only exacerbate the situation, accelerating mistrust and animosity.

10. Be present in the workplace

With the many responsibilities and requirements that come with the workday, it can often feel like the day flies by. It might feel more productive to multi-task throughout the day, answering emails during a team meeting or working on your report during lunch. However, these tasks prevent you from being present. By paying attention to those around you, beginning communication and getting to know your coworkers, you will find that you are able to build workplace relationships with minimal effort.

3.8 POSITIVE COOPERATION

Concept of Positive Cooperation

Professional Ethical Education - Positive Collaboration - Concept.

Cooperation is an integral element of teamwork, collaboration, and coordination. Cooperation usually consists of two or more people sharing ideas or activities. You often share the information you generate from cooperation - while it is sometimes required, it is an informal process. Compared with teamwork, collaboration, and coordination, cooperation is the activity that requires the least amount of shared purpose and dependence on team members.

For example, all kinds of work can be done quickly and efficiently with the cooperation of everyone in the fields like education and medicine. Positive cooperation shows the way to resolve conflicts between employees. Team work in professional moral education is a symbol of cooperation in academia. 'Team work makes dreams come true,' says **John C. Said Maxwell**. Teachers and students collaborate with each other to achieve their goals.

In professional moral education students must cooperate with each other and come together as a team. The primary role of teachers as a leader is similar to motivating them. Positive collaboration influences

students as an employer, supervisor or leader. Shows positive collaboration on how to build the most effective team in professional education.

It is the cornerstone of teamwork. So collaboration defines leading to the formation of a group of people who work together for the benefit of everyone.

In some organizations, heavy competition to acquire resources leads to a focus on short-term gains, neglecting the long-term gains of cooperation. In other organizations, cooperation seems to be rooted in informal agreements between the parties involved in such a way that it leads to benefits for all. If the level of cooperation is high, the goals of the organization as a whole will be better served.

It is often the quality of cooperation that distinguishes successful from less successful organizations. Therefore, managers are challenged to foster cooperation within the company.

- To ensure that the company is able to quickly adapt to changes in the environment;
- To ensure that the company is well positioned in inter-organizational networks.
- To ensure that flexibility in production or services is assured to cope with changes in the environment.

3.8.1 Importance of Cooperation

In professional moral education, collaboration is seen when students work together for a common goal. Cooperation refers to the need for everyone to recognize value and have a positive attitude and they need to know what is needed when cooperating. This approach facilitates working together to achieve a specific goal. But many scholars do not consider cooperation to be a luxury and an important human value. The collaboration has been appreciated for years for its importance. This value demonstrates kindness and concern for others. The true significance of this value begins with the work of caring for those who do not care about themselves. Always rely on someone else for help at one time or another.

3.8.2 Advantages of Cooperation

1. Reduces unproductive competition

Team cooperation encourages employees to work together for the benefit of the organization. It reduces the desire of employees to compete against each other, which often is never good for the business, and instead focus on working together to achieve a common goal.

When you foster teamwork in your organization, you will realize that employees fight less especially on issues that do not help the organization. The positive result for your firm makes everyone look good. Failure of the organization results in a black mark for everyone associated with it.

2. Enhances knowledge sharing

In a team, every member is encouraged to participate and contribute to the task at hand which results in compounded outputs. When employees work cooperatively, their efforts multiply, become stronger and better. In the process, the employees working together to share their ideas as each of them gain new perspective and knowledge. While individual workers can also do that, team cooperation is well-defined and can help employees expect help from their teammates.

Sharing knowledge results in learning opportunities for employees which would not be possible if each team member were looking out for their limited interests. In this way, all team members can benefit, even if later on they each go their separate ways to pursue better opportunities.

3. Fosters good communication

It also emphasizes good communication within employees and the organization at large. Employees who work well together and consider themselves as part of the team incline towards better communication. The entire organization can benefit from team cooperation that leads to better communication.

Furthermore, effective communication in an organization reduces misunderstandings, conflicts, and delays in work delivery this is very important for the success of the organization.

4. Easy achievement of organizational goals

It can be agreed that creating the right level of teamwork is not always easy. However, having said that we need to keep in mind that it is not impossible.

As a manager, it is important that you motivate your employees so that they work towards a goal and set to achieve it. In an organizational environment, you must be able to promote the best possible ethics among a workforce. This will ensure that everyone will get on board and strive to work towards the common goal. With team cooperation, everyone's morale will get naturally boosted once there is a healthy work environment, improving employee motivation and ultimately incline everyone towards the achievement of organizational goals, visions, and objective.

5. Establishes trust

Working in a team builds confidence in any setting, and in team cooperation, it creates strong relationships among employees. Trust in a team also tends to allow a brilliant flow of ideas. This helps team members to share their thoughts and encourage each other during and after work.

Team cooperation, allows employees to learn its importance and that losses and wins affect each member of the team. This in turn instills confidence in them about the other teammates. When employees trust each other in a team, they establish a strong foundation of relationships that endure minor conflicts especially those that arise due to individual differences.

3.9 ETHICAL COMPETENCE

Definition of Ethical competence

Ethical competence is the quest for knowledge and action that defines right and wrong behavior. What does it mean to be ethically competent? Why is ethical competence so important? How is it achieved?

In demand within and across academic disciplines and applied professions - medical, engineering, law, psychology, social work, public administration, and more. At its root, ethical competence resides in the human quest for knowledge and action that defines right and wrong

behavior, the touchstone of ethics. Thus, an ethically competent person is one who through innate or learned behavior can distinguish between right and wrong and act accordingly.

Developing ethical competence in the individuals (professional) is the only effective way to ensure professional ethics. In the absence of such competence, administering oaths and prescribing codes of conduct etc. are mere formalities. It was due to lack of correct understanding about comprehensive human goal and the assumption that sensory enjoyment and prosperity lies in the accumulation of wealth which leads to unethical practices. Hence the need of the hour is to develop ethical competence in profession through value education which is possible only by one's right understanding.

3.9.1 Salient features of competence in Professional Ethics

The following are the salient features of competence in Professional Ethics

- a) Clarity about the comprehensive human goal (Samadhana, Samriddhi, Abliaya, Sahastitva) and its fulfilment through universal human order from family to world family.
- b) Confidence in the harmony as well as confidence in myself and co - existence prevailing in entire existence based on right understanding of oneself and the rest of existence.
- c) Competence in professional ethics is mutually fulfilling behaviour, clarity and confidence in ethical human conduct and its co - relation with sustainable personal as well as collective happiness and prosperity.
- d) Competence in professional ethics is mutually enriching interaction with nature, ability to assess the needs for physical facilities for the family and their fulfilment through production systems ensuring harmony in the nature.
- e) Competence in professional ethics is actualising one's understanding.

3.9.2 Respecting the Competence of other Professions

Developing ethical competence in the individuals (professional) is the only effective way to ensure professional ethics. Believe it or not, professionalism and ethical behaviour can benefit your career or future and improve your chances of future success. In general, professional behavior comes down to ethics and dedication. It is very important to have the necessary skills to make your work effective.

Respecting the competence of other professions with professional ethics can help you reach a higher level that will contribute to future career success. One should have a respectful attitude towards others at all times, even in times of stress.

3.9.3 Fundamental Principles in Competence in Professional Ethics

Within the Code, Fundamental Principles are set out in Part A. As a member body of International Federation of Accountants (IFAC), ACCA can be required to apply an ethical standards that are at least as stringent as those stated in International Ethics Standards Board for Accountants Code of Ethics for Professional Accountants (the IESBA Code).

The IESBA Code is revised, ACCA Rulebook is reviewed and updated as necessary, to ensure that it remains aligned with the IESBA Code.

Fundamental Principles set out an obligations placed on all members, whether or not they are in practice. The five principles are,

- (i) **Integrity:** Members shall be 'straightforward and honest in all professional and business relationships'. ACCA Rulebook (and the IESBA Code) goes on to state that integrity implies not merely honesty but fair dealing and the truthfulness.
- (ii) **Objectivity:** Members shall not allow bias, conflicts of interest or undue Influence of others to compromise their professional or business judgment.

- (iii) **Professional Competence and Due Care:** Members have a continuing duty ‘to maintain professional knowledge and skill at a level required to ensure that clients or employers receive competent professional service’.

Members shall ‘act diligently in accordance with applicable technical and professional standards when providing professional services’.

- (iv) **Confidentiality:** Members shall respect a confidentiality of information ‘acquired as the result of professional and business relationships’, and shall not disclose any such information to third parties ‘without proper and specific authority or unless there is a legal or professional right or duty to disclose’. Similarly, confidential information acquired as the result of professional and business relationships shall not be used to personal advantage of members or third parties.

- (v) **Professional Behaviour:** Members shall comply with an relevant laws and the regulations and shall avoid any action that may discredit the profession. ACCA Rulebook goes further and states that members shall ‘behave with courtesy and consideration’ towards all with whom they come into a contact in the professional capacity.

3.10 OPENNESS

Openness means being open in terms of sharing information so employees know what’s going on, and crucially, feel heard. But it also means being, and expecting, an openness to different ways of working — different styles, different opinions, and, critically, feedback. It means openness to change.

Definitions

1. Proactive communication and inclusive bi-directional dialogue and interactions on things that matter to the physical and psychological well being of the employees.
2. We welcome people, perspectives and ideas with an open mind.
3. Where there is freedom to express and create one’s own value.

3.10.1 Drivers of Openness in an Organization

Openness in an organization's culture is driven by the following factors.

1. Encouraging Innovations and risk-taking.
2. Having Decentralized Decision Making.
3. Practicing Informal Communication.
4. Incorporating Transparency.
5. Have open Information Sharing.
6. Value diversity rather than uniformity.
7. Make People feel valued and supported.

1. Innovations and risk-taking

Leaders need to take the first step in extending trust to those they lead. Through their words and actions, leaders can send the message that appropriate and thoughtful risk-taking is encouraged and rewarded. When people feel trusted and secure in their contributions to the organization, they don't waste energy engaging in CYA (cover your "assets") behavior and are willing to risk failure.

The willingness to take risks is the genesis of creativity and innovation, without which organizations today will die on the vine. Creating a culture of risk-taking will only be possible when mistakes are viewed as learning opportunities.

2. Decentralized Decision- making

Decentralized decision-making practices ensure that decision rights are as close as possible to the people who deal with customers, competitors, front-line employees, and other stakeholders. By doing so one can avoid the delays associated with information and approvals traveling up and down the management hierarchy. Creating systems for high involvement in change efforts, openly discussing decision-making criteria, giving and receiving feedback, and ensuring organizational policies and procedures and applied fairly and equitably are all valuable strategies to ensure decentralized decision-making.

On an individual basis, it's important for the leaders to remember that their people want to know the company's values, beliefs, and what motivates the decisions and actions.

3. Open Information Sharing

In the absence of information, people will make up their version of the truth. This leads to gossip, rumors which results in people questioning leadership decisions and losing focus on the mission at hand. Leaders who share information about themselves and the organization build trust and credibility with their followers.

When people are entrusted with all the necessary information to make intelligent business decisions, they are compelled to act responsibly and a culture of accountability can be maintained.

4. Valuing Diversity

Creating a diverse workforce can contribute to:

- Increased retention and productivity.
- Increased responsiveness of an organization to the diverse world of customers.
- Better relations with the surrounding community,
- Expanding the creativity of the organization overall.
- To value diversity, one needs to develop an understanding of what is diversity. It needs to be seen as an area of opportunity. Diversity must be taken into account during recruitments, talent development, mentorship, partnership, communication, etc.

5. Making People feel Valued

When employees feel valued, they're more likely to remain loyal to the organization, even if it's not perfect. Increased job satisfaction can lead to improved performance and reduced turnover. Clearly, employers have an incentive to ensure employees feel valued but how can they do that? Let's take a look at some ways.

Recognition: The simple and obvious first answer to making employees feel valued is to provide them with the recognition they deserve.

This can come in many forms, but the important thing is that it happens. It can be one-on-one, in a group setting, in the form of raises or bonuses, etc.

Solicit employee opinion and utilize it as much as possible. Ask them not only about the work but also about the job itself: what's good and bad about it and how it can be improved

Provide work that offers the right level of challenge showing that you trust their capabilities

Say "thank you" simple, but effective, and often overlooked. This can be done in a lot of different ways. For example, a simple verbal thank-you from a manager can be meaningful. It can also be meaningful for a leader to publicly thank an entire team for their efforts.

6. Role of Transparency

Of all the drivers of openness, transparency tends to serve most of all. Here are ways of incorporating transparency in a corporation:

- Everyone working on a project or initiative should have access to all pertinent materials by default.
- Motivation and training should be programmed such that people willingly disclose their work, invite participation on projects before those projects are complete and/or "final," and respond positively to request for additional details.
- People affected by decisions should have the provision to access and review the processes and arguments that lead to those decisions.
- People should value both success and failures for the lessons they provide.
- Goals should be public and explicit.

7. Informal Communication

Informal communication at work is any type of communication that doesn't take place using formal methods or structures in a company. It can be spoken, written or even conveyed through gestures and body language.

The informal communication network that exists in a workplace is often termed “the grapevine”. This is when colleagues chat or gossip about what’s going on in the company.

3.11 LOYALTY

Loyalty is an essential quality in any close relationship. When your person is loyal, it’s a strong assurance of another person. Whether it be in work, business, family, friendship or a relationship, loyalty builds from specific characteristics

According to **Royce**, *Loyalty is a virtue, indeed a primary virtue, “the heart of all the virtues, the central duty amongst all the duties”. ... The short definition that he gives of the idea is that loyalty is “the willing and practical and thoroughgoing devotion of a person to a cause”.*

3.11.1 Loyalty towards Goals and Objectives

Concept of loyalty: The success of an organisation in the achievement of its goals and objectives mainly depend upon, the loyalty of its employees. In general the duty of loyalty means an employee is obliged to render loyal and faithful service to the employer. This is to act with good faith and not to compete with others but rather to advance the employer’s interests.

Loyalty requires that an employee refrain from acting in a manner, contrary to the employer’s interest. This duty creates some basic rules that employees must follow on the job and provides employer with enforceable right against employees who violate them.

Further without the consent of the employer, an employee cannot hold a second job, it would compete or conflict with the first job. The degree of loyalty is usually related to the degree of responsibility or trust an employee places in an employer. In a nutshell loyal employees dedicate their services to the success of an organisation and do not actively search for an alternative employment and are not responsive to others.

3.11.2 Differing Concepts of Loyalty

1. **Recruitment of employees “at will”:** The nature of appointment by the organisation had its impact on loyalty. If an employee

is appointed “at will”, there is no security of job and employees feel less loyalty to an organisation. Of course “at will” employment means the employee can also quit the job at any time.

The right to “equal treatment with respect to employment” protects persons in all aspects of employment, including applying for a job, recruitment, training, transfers, promotions, terms of apprenticeship, dismissals, layoffs and terminations.

2. **Economic phenomenon affecting loyalty:** An economic phenomenon affecting loyalty in the private sector was the switch from defined benefit to defined contribution retirement plans. In defined benefit plan employee benefits are usually sponsored or paid fully by the employer and calculating using formula based on length of employment, salary history and other factors. In that the employer administers the plan and manages the investment risk, promising the employee to set payout upon retirement. Often it is called pension plans on retirement.

In contribution plan, the employees invest a certain percentage of his salary in the form of retirement fund, where it is matched (partially or fully) by the employer. Defined benefit plans reward longevity in the firm, whereas defined-contribution plans reward high earnings over seniority. Thus with the growth of defined contribution plans, some reasons for staying with the same employer over time are no longer applicable.

3. **Two leading reasons to leave the job:** There are two leading reasons that compel the employee to leave their job. They are at first higher pay and second, personal reasons like family problems, health, marriage etc.
4. **Money alone does not motivate an employee to higher performance:** It is true that increasing salary or other benefits like bonuses or rewards or increments can be a way of demonstrating both the company’s loyalty to its employees and the role it believes employee’s best interest play in its mission. For example, some employees, simply being acknowledged and thanked for their service and good work can go a long way toward sparking their loyalty.

5. **Improve employees loyalty is a challenge to managers:** In any organisation or company salary plays an important role in an employee's decisions to move to a new job. Therefore retention of bonuses is a popular and perhaps more successful technique for instilling loyalty. Maintaining competitive pay is an important part in instilling loyalty of the employee to the employer or an organisation.
6. **Change in the attitude of old and present generation of employees:** Now-a-days, the attitude of the most of the employees is not to stay with the current job longer than three years. Their attitude is to shift to a another job for better pay for better future or career. But the old employees are different. Old employees believe that working for the organisation in their best option.

3.12 OUTCOMES

- Understand the value of education, professional integrity, respect and equality, privacy, develop trusting relationships.
- Understand the development of positive cooperation and respecting their competence of other professions.
- To know the scope of applicability of privacy laws and classifications of privacy law.
- Understand about the loyalty and its goals and objectives.

3.13 REVIEW QUESTIONS

I. Long Answer Questions

1. What do you understand by Professional Integrity and respect and explain about building relationship in professional ethics?
2. What is meant by professional integrity? Is it possible in actual practice.
3. What is meant by Equality? What are its different kinds?
4. What is privacy? What are its aspects of privacy?
5. Explain the concept of positive Cooperation and respecting the competence of others in professional ethics education.

6. What is openness? What are its contents?
7. Assess the role of loyalty in an organisation towards its goals and objectives?
8. Explain Privacy law and its classification?

II. Short Answer Questions

1. What do you mean by professional ethics. Explain.
2. Competence in professional Ethics.
3. What is professional integrity?
4. Tips for maintaining integrity.
5. Define economic equality?
6. Define social equality?
7. Explain advantages of cooperation?
8. Define privacy law?
9. Define political equality?
10. Define legal equality?

3.14 MULTIPLE CHOICE QUESTIONS

1. Competence in professional ethics refer to _____ ()
 - (a) Ability to utilize power effectively
 - (b) Ability to augment the universal human order
 - (c) Ability to make profit
 - (d) Both b and c.
2. Developing ethical competence in the profession is the only effective way to ensure (Professional ethics) ____ ()
 - (a) Professional ethics
 - (b) Family
 - (c) Love
 - (d) None
3. Professional ethics is the implication of _____ ()
 - (a) right understanding
 - (b) Prosperity
 - (c) Harmony
 - (d) Body

4. _____ is the ability of an individual to do a job properly. ()
 - (a) Fulfill
 - (b) Right understanding
 - (c) Competence
 - (d) Ethics
5. Competence is _____. ()
 - (a) Experience
 - (b) Knowledge
 - (c) Both a& b
 - (d) None
6. Professional ethics means to develop professional competence with _____. ()
 - (a) Ethical human conduct
 - (b) Prosperity
 - (c) Happiness
 - (d) None
7. Values important for relationship are many they may include _____. ()
 - (a) Aggression
 - (b) Competition
 - (c) Integrity and character
 - (d) Arroga
8. ____ is the implication of right understanding in profession. ()
 - (a) Professional ethics
 - (b) Competence
 - (c) Behavior
 - (d) Attitude

Answers

1. (d)	2. (a)	3. (a)	4. (c)
5. (c)	6. (a)	7. (c)	8. (a)

Skill Development Course
Office Secretaryship
As per Choice Based Credit System (CBCS)
Common to all Branches



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Office Secretaryship

Learning Outcomes

By the successful completion of course, the student will be able to;

1. Understand the organizational hierarchy and outlines of functioning.
2. Comprehend the role of office secretaryship in a small and medium organization.
3. Acquire knowledge on office procedures and interpersonal skills.
4. Apply the skills in preparing and presenting notes, letters, statements, reports in different situations.

Unit-I: Introduction

Introduction - Organisational structure of a small and medium organization - Types of offices - Kinds of secretaries - The scope of office secretaryship.

Unit-II: Office Secretary

The role of an office secretary - Duties and responsibilities - Usage of different devices - Flowchart and office manuals - Coordinating different wings of an office/organisation - Arranging common meetings - Operations of banking and financial services - travel and hospitality management services.

Unit-III: Office Procedures

Office procedures - Filing - Circulating files - Preparation of notes, circulars, agenda and minutes of meetings - Issue of press notes - Maintenance of files and records - Inventory, office, human resources, financial and confidential - maintaining public relations.

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Office Secretaryship

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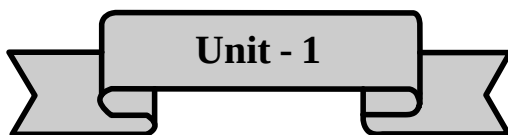
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INTRODUCTION

1.0 OBJECTIVES

After completing this unit you will understand:

- Understand the organizational hierarchy and outlines of functioning.
- Comprehend the role of office secretaryship in a small and medium organization.
- Define organization and organizing.
- Appraise the concepts and importance of organization.
- Identify the elements and types of organization.
- Understand the different types of Offices.
- Explain various kinds of Secretaries.

1.1 INTRODUCTION

Any business activity becomes a reality only when efforts are made to bring the resources together. Mere availability of resources such as capital, machinery, raw materials, labour, etc., is not enough. There is a need to organise these resources in a systematic manner and ensure coordination among them to attain the desired result. The word 'organisation' derived from the word 'organise' means put together. In the present day context, any business activity calls for the combined and coordinated effort of a group of people. Thus, an organisation is a team of persons coming together for the purpose of achieving a common objective. Organisation is an instrument through which the activities are

performed. Organisation does not mean only the world of business but it also refers to educational institutions, hospitals, banks, government departments etc.

1.2 ORGANISATION

We now know that organisation is one of the major functions of management. In layman terms, one can look at organising as an activity to eliminate chaos and introduce a systematic functioning in the enterprise. But by organisation definition, the organisation helps in establishing authorities, dividing workloads, assigning responsibilities, grouping tasks and allocating resources.

This is of utter importance because once the plans have been laid there is a need to allocate resources, divide tasks, workforce, ensure optimal utilisation of resources etc. so that the objectives are fulfilled. Further, it facilitates the collective working of the various members of the enterprise in an ordered manner.

Also, organisation involves defining various roles that need to be filled by suitable employees and establishing relationships between these defined goals to eliminate ambiguities in performance. In turn, this groups the activities clarifies the amount of power and authority in the hands of different employees and clarifies the responsibility for various activities within the enterprise.

In a nutshell, an organisation can be defined as a process that defines the resources as well as allocate them, coordinates human efforts and integrates both in order to achieve the defined goals.

1.2.1 Definitions of Organization and Organizing

Different experts have defined the term organization in different ways by emphasizing different characteristics of organization. The definitions given by some well known theorists are as given below.

According to **Mooney and Railey** *“Organization is the form of human association for attaining common objectives.”*

According to **Louis A. Allen** *“Organization is the process of identifying and grouping the work to be performed, defining and delegating responsibility and authority and establishing relationships for the purpose of enabling the people to work most effectively together in accomplishing objectives.”*

According to **Keith Davis** *“Organizing is the process of combining the work which individuals and groups have to perform with*

the facilities necessary for its execution that the duties so formed provide the best channels for efficient positive and coordinated application of available efforts.”

According to **George Terry** “Organizing is the establishing of effective behavioral relationships among persons so that they may work together efficiently and gain personal satisfaction in doing selected tasks, under given environmental conditions for the purpose of achieving some goal or object.”

According to **Koontz and O'Donnell** “Organizing involves grouping of activities necessary to accomplish goals and plans, the assignment of these activities to the appropriate departments and the provisions for authority delegation and coordination.”

Organization and Organizing are different terms used in which organization is a noun which means “Association of persons coming together to do any activity”. Organizing is adverb which, means “Managerial activity in an organization to implement any plan.”

From these definitions one can understand that organization is a human association, a process of identifying and grouping the work, delegating authority and responsibility and establishing relationships among people together to accomplish objectives. Organizing is a process of combining the work for efficient, systematic, positive and coordinated relationships among people necessary to accomplish goals as per plans.

1.2.2 Elements of Organization

From the definitions and different views expressed by different authors regarding the word organization one can understand certain characteristics. One thing which is common in all the view points is that organization is the establishment of authority relationship among persons so that it helps in the achievement of organizational objectives.

- i. **A Group of People:** A Group is a small number of people who are together in the same place. People are very important element in an organization. Without people, there is no organization. An organization is a group of people come together to do any activity. Organization consists of formal and informal group of people. Groups having a well-defined structure are formal groups in which they define the superior subordinate relationship in an organization. Informal groups relates to personal attitudes, likes and dislikes in order to satisfy personal and social needs. Groups provide individuals an opportunity for exchange of ideas, thoughts, experiences and

knowledge. Organizations encourage formation of a variety of groups within the organization, which help in realization of goals.

Eg: Cricket team is a formal group. Friendship group is an informal group.

- ii. Division of Work:** Division of work means identifying total work of the enterprises into small components, activities and functions. These activities are allotted to different individuals based on their skills and aptitude towards the task. When each individual performs task repetitively over and over, his or her ability to perform job continually increase which leads to specialization. According to **Fayol** *“the object of division of work is to produce more and better work with the same effort”*.

Ex: When we go a restaurant to have a dinner. Firstly someone takes order. He is called steward. Once that was completed, it will be submitted to the cooks. The cook prepares meal and places it on the counter. Someone working at the counter collects cooked food and serves it to us. Those are the different activities that take place to fully complete one task. Each task is a division of complete task.

- iii. Objectives:** Objective means purpose or aim. Every organization shall have specific objectives. For example a kirana shop has an objective of selling goods to make profit. The objectives are broken into small parts known as goals. Individuals contribute their energy to achieve these goals within a specified time. Objectives facilitate policy formulation and the planning and control.

Ex: A doctor's objective is to save life. Objective of business is making profit.

- iv. Structure:** A structure is an orderly arrangement of activities. Within the structure people work to achieve the desired objectives. It is an arrangement for relationships, power, roles, functions and objectives and it concentrates on the division of work, specialization, departmental delegation, authority and responsibility etc. The organizational structure helps management tasks to be done easily and smoothly through the identification of different tasks, grouping together of similar activities and assigning tasks to individuals. The organization structure should be adaptable, flexible, problem solving and professional.

- v. Cooperation and Communication:** Cooperation means sharing of efforts. In order to complete a task there must be cooperation among people. It increases harmony and develops a positive attitude which leads to coordinated effort. Cooperation allows people and groups to work together to achieve a common goal. For in-

stance taking restaurant as an example, the cook and the steward should have cooperation. Otherwise food is not served properly. That leads to loss of respect and business.

Communication is sharing of feelings i.e., exchange of information between two or more persons. In order to improve understanding among people there must be a good communication. Effective communication leads to better performance and effective realization of goals.

For example, in construction of wall one person holds a brick, and then another person lays the brick. If cooperation is missing bricks fall on the head and he may injure if wall is not complete.

Superior calls subordinate and explains how to greet and respect customers is an example of communication. Otherwise, customers will not be respected.

vi. Co-ordination: Coordination is the act of making different people or things work together for a goal. It involves unity of purpose and harmonious implementation of desired ends. Coordination and control are essential in an informal organization to lead the performance in the right direction. It is one of the key functions of management.

Ex: When a sales manager is making a plan to increase his sales target, he should consult the production manager, the purchase manager, and the finance manager etc., to see that the goods are produced according to sales orders. Finance manager shall supply adequate funds to purchase materials etc. Coordination ensures avoiding any problem that may arise in future. Thus, coordination is essential.

vii. Authority and Responsibility: Authority means right to take decisions. They guide the actions of another. Responsibility means an obligation to perform duty assigned to a subordinate. The structural relationship becomes effective with the allocation of authority and responsibility between superior and subordinates.

Ex: In a college the principal is superior. He has authority to take a decision regarding conducting a sports day. He assigns responsibility of conducting sports events to P.T. Then he will get authority to take decision regarding various events to be included and so on.

viii. Rules and Regulations: Rules are guidelines and regulations are orders. Directions are required in an organization to keep everything in a systematic way. If rules are broken employees are liable for punishment. Thus, they are essential for the achievement of organizational goals.

Ex: All traffic should drive only on left side is a rule. Police shall see that this rule is followed by giving an order that if any one violates rule he will be punished.

An examination of the elements reveals that organizations are complex, dynamic and interactive systems. Individuals in organizations interact, performs task continually that leads to specialization. They need to maintain coordinated relationship, develop clarity of goals, involve in communication, act in cooperation and follow rules and regulations which are important to achieve organizational goals.

1.2.3 Nature of Organization

1. **Division of work or Specialization:** The entire philosophy of organization depends on the concept of specialization and division of work. In specialization, various activities are assigned to different people who are specialists in that area.
2. **Orientation towards Goals:** Every organization has its own purposes and objectives. Organizing is the function employed to achieve the overall goals of the organization.
3. **Composition of Individuals and Groups:** Individuals form a group and the groups form an organization. Individuals are grouped into departments and their work is coordinated and directed towards organizational goals.
4. **Differentiated Functions:** The organization divides the entire work and assigns the tasks to individuals; each one has to perform a different task and tasks of one individual must be coordinated with the tasks of others.
5. **Continuous Process:** An organization is a group of people with defined relationship to each other. These relationships do not come to end after completing a task. Organization is a never ending process.

1.2.4 Importance of Organization

Sound organization enables to accomplish goals and contribute to success. The following points clarify the importance of organization.

1. **Optimum utilization of Resources:** Organization brings human resources through recruitment, trains and places them in works. They are provided material, technical and financial resources. These resources are used in a structured manner. This brings harmony in their efforts, improving the communication network and motivating them to improve their efficiency. These ensure an optimum use of human resources of an enterprise.

2. **Facilitates Administration:** Administration is concerned with determination of objectives, policies, coordination of finance, production and distribution and also setting up of an organizational structure under executive control. Effective administrative work is possible with the support of sound organization. An Organization sets up all environments for effective delegation and securing coordination at various levels. Therefore a sound organization enables effective administration with certainty and continuity.
3. **Optimum utilization of Technological Improvement:** Organization helps in the optimum use of technology. Flexible and structured organizations accommodate improvement, extensions and so on. It is possible to incorporate several technological developments and increase in efficiency. Organization promotes solutions to the problems by creative and intelligent application of technology.
4. **Ensures Growth, Expansion and Diversification:** Organization is the base on which the company grows and diversifies its activities. Organization continuously changes, while facilitating day to day activities. This helps for the growth, expansion and diversification of activities. Expansion and diversification enable organization to employ more persons without disturbing the work.
5. **Encourages Initiative and Creativity:** Initiative implies the power of thinking out a plan and ensuring its successful implementation. A good organization provides a scope for taking initiative. Persons are allowed to try new ideas for improving their work. Organization encourages initiative and creativeness among people which leads to self development of people and overall development of organization.
6. **Better Human Relations:** A good organization enables to maintain good human relations with people. Organization should clearly define role, work, authority and responsibility of people. Each individual should perform task coordinately and maintain cordial relations with each other. Human relations should be maintained at various levels of management for the successful attainment of organizational goals.

1.2.5 Advantages of Organzing

The following are the advantages of organization:

- (1) **Increase in Managerial Efficiency:** A good and balanced organization helps the managers to increase their efficiency. Managers,

through the medium of organization, make a proper distribution of the whole work among different people according to their ability.

- (2) **Proper utilization of Resources:** Through the medium of organization optimum utilization of all the available human and material resources of an enterprise becomes possible. Work is allotted to every individual according to his ability and capacity and conditions are created to enable him to utilize his ability to the maximum extent. For example, if an employee possesses the knowledge of modern machinery but the modern machinery is not available in the organization, in that case, efforts are made to make available the modern machinery.
- (3) **Sound Communication possible:** Communication is essential for taking the right decision at the right time. However, the establishment of a good communication system is possible only through an organization. In an organization the time of communication is decided so that all the useful information reaches the officers concerned which, in turn, helps the decision-making.
- (4) **Facilitates Coordination:** In order to attain successfully the objectives of the organization, coordination among various activities in the organization is essential. Organization is the only medium which makes coordination possible. Under organization the division of work is made in such a manner as to make all the activities complementary to each other increasing their interdependence. Inter-dependence gives rise to the establishment of relations which, in turn, increases coordination.
- (5) **Increase in Specialization:** Under organization the whole work is divided into different parts. Competent persons are appointed to handle all the sub-works and by handling a particular work repeatedly they become specialists. This enables them to have maximum work performance in the minimum time while the organization gets the benefit of specialization.
- (6) **Helpful in Expansion:** A good organization helps the enterprise in facing competition. When an enterprise starts making available good quality product at cheap rates, it increases the demand for its products. In order to meet the increasing demand for its products an organization has to expand its business. On the other hand, a good organization has an element of flexibility which far from impeding the expansion work encourages it.

1.2.6 Principles of Organization

The Principles of an organization are guidelines to managers to effectively design an organizational structure. F.W. Taylor, Henry Fayol, Lyndall Urwick, Mooney and Railey have given various principles for efficient and effective organization.

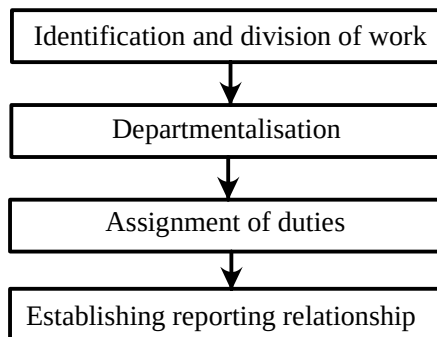
1. **Principle of Objective:** Objectives are the statement of purpose of existence. Principle of objective implies that objectives should be clearly stated. In an organization there are various departments which perform several tasks but there is a possibility of conflict arises among them which lead to conflict in organization. In order to eliminate conflicts there must be a common objective for the organization.
2. **Principle of Specialization:** Specialization means performing a task continuously and effectively as compared to other task. This helps in increased production in the concern. This principle states that an employee should continue to do the same work so that he specializes in the work. Specialization is the result of division of labor i.e., dividing the total task in to small manageable components and assigning them to individuals. When each individual is allowed performing task continuously he will attain specialization.
3. **Principle of Authority and Responsibility:** Authority is the right to take decisions for the commitment of organizational resources. Responsibility is the obligation to perform tasks. This principle implies that if a superior delegate his authority to his subordinate the superior is not free from his responsibilities though subordinate is liable to his superior. Authority and responsibility go side by side. When authority is delegated then some responsibility for getting the assigned task is also fixed. A sound organization requires authority to flow in an uninterrupted manner from the higher level to lower level.
4. **Principle of Coordination:** Coordination means making different people to work together for a goal. This principle states that each and every individual should work in a coordinated way. In an organization people perform several tasks in various departments. The management should coordinate the activities in such a way that it can perform its activities effectively and systematically.
5. **Principle of Balance:** According to this, proper balance is necessary in organization in relation to activities, based on their importance, size and functions. This principle implies that the work should

be divided in such a way that everybody should have a fairly balanced work in every activity.

6. **Principle of Continuity:** Organizations are ongoing concerns. With the changes in methods of production and marketing system, organizations should be amendable to the changing situations. This principle states that organizations should be dynamic and ever changing as per the needs of society. There should always be a possibility of making necessary adjustments so that it should be serviceable for a long time.
7. **Principle of Span of Control:** Span of control refers to the number of subordinates who are required to work under the supervision of a superior. According to this principle span of control should be minimum because there is limit to the number of persons that can be effectively supervised by one boss. For effective supervision and control it is important to determine the number of subordinates as the superior is capable of managing. If span of control is disproportionate, it affects the efficiency of workers and organization i.e., too many subordinates will overburden a superior's capacity.
8. **Principle of Definition:** Organization should clearly define the roles, authority and responsibility of individuals. When each individual performs allotted task perfectly, systematically and efficiently it leads to attainment of organizational goals. Similarly, there must be a balance between authority delegated and responsibility entrusted to a position.
9. **Principle of Exception:** Exception refers to concentration of those activities which have an impact on performance. This principle implies that top management should concentrate on important matters by leaving routine things so that valuable time of management is not wasted. It allows executives to refer only exceptional matters for their decision and matters of routine nature should be decided by the subordinate themselves. Therefore, each and every minor activity is not worth consideration by the top management.
10. **Principle of Unity of Command:** Unity of command refers to an employee should receive orders only from one superior. If more than one superior exercise their authority over the same employee, it leads to disorder, delay, indiscipline and confusion. This principle minimizes the possibility of conflicts in instructions and develops the feeling of personal responsibility for the work.

11. **Principle of Uniformity:** Uniformity refers to having one or the same form. The work is to be distributed to employees in a uniformity manner so that conflicts do not arise. Each employee should be allotted task in his respective area to maintain uniformity and to avoid confusion.
12. **Principle of Simplicity:** The organization structure should be simple and clear to understand by each and every person. Simplicity makes a person to manage activities effectively and efficiently. If the organization structure has a large number of levels, the problem of effective co-ordination and communication may arise.
13. **Principle of Efficiency:** Efficiency refers to capability to work. The efficiency of an organization can be determined through the achievement of organizational goals at a minimum cost. If an organization utilizes fully available human and material resources, it leads to efficiency. Efficiency makes the attainment of job satisfaction to various employees.
14. **Scalar Principle:** This principle is sometimes known as the “chain of command”. It refers to the flow line of authority from the higher level to the lower level in the organization in an uninterrupted manner. The line of authority should be clearly defined for establishing a clear line of command to avoid confusion. This principle suggests that as far as possible the scalar chain of authority should be short and should not be broken.

1.2.7 Steps in the Process of Organisation



So we can broadly list the steps in the process of organisation as follows

1. **Identification and Division of Work:** The organisational work commences with an identification of the extent and the amount of

work that needs to be done and dividing this into manageable activities. The idea behind this is to eliminate duplication and share the burden of work.

2. **Departmentalisation:** Now as the work has been redefined as a number of manageable activities, the next step is to group activities according to a predefined basis. This basis decided what activities are similar to each other. All the similar activities are assigned to a particular department. All in all, a number of departments are defined that are concerned with their own set of activities.
3. **Assignment of Duties:** The next step involves the distribution of work among the employees in organisations. The responsibility of looking after the functioning of each department is given to an individual. Further, jobs are allocated to employees.

It is important to realize that this assignment of jobs should be done in such a manner that the employees most suited for a particular type of job ultimately perform it. This ensures, a proper match between the ability and the type of job of the employee and subsequently effective overall performance.

4. **Establishing Reporting Relationships:** The final step is concerned with erecting a hierarchical structure and effecting communication among the diverse departments. This is done by establishing relationships. Effectively this means that every employee should be made aware of whom he has to take orders from and prove his accountability.

1.3 ORGANIZATIONS STRUCTURE

The term organization is understood as a structure and also as a process. It is used in static and dynamic sense. In a static sense, an organization is a structure i.e., "Organization structures are group of people functions within the structure and try to accomplish certain objectives".

In a dynamic sense, an organization structure is ever changing as per needs of society i.e., "An organization structure must be designed to work, to permit contributions by members of a group and to help people, to achieve objectives efficiently in a changing future". Organization structure specifies which individuals will work as subordinates to which superiors. Hence, Organization structure is defined as "The logical arrangement of task and the network of relationships and roles among the various positions established to carry out the activities necessary to achieve the

predetermined objectives of business". Organization suggests the structure with in which people associate for the attainment of objective.

Definitions of Organization Structure

Different experts have defined the term organization structure in different ways. Each of the definition emphasizes different characteristics of organization structure. The definitions given by some well known theorists are as given below.

1. According to **Kast and Rosenzweig**, *"Structure is the established pattern of relationships among the component parts of the organization"*.
2. According to **March and Simon**, *"Organization structure consists of only those aspects or pattern of behavior in organization that are static and change very slowly"*.
3. According to **Stephen.P.Robbins** has defined organization structure as *"how job tasks are formally divided, grouped and coordinated"*.

From the definitions one can understand that organization structure is deliberately created to attain specific goals. It acts as framework such as dividing, grouping and coordinating activities in a systematic manner.

1.3.1 Significance of Organization Structure

- Properly designed organization can help improve teamwork and productivity by providing a framework within which the people can work together most effectively.
- Organization structure determines the location of decision-making in the organization.
- Sound organization structure stimulates creative thinking and initiative among organizational members by providing well defined patterns of authority.
- A sound organization structure facilitates growth of enterprise by increasing its capacity to handle increased level of authority.
- Organization structure provides the pattern of communication and coordination.
- The organization structure helps a member to know what his role is and how it relates to other roles.

1.3.2 Principles of Organization Structure

Modern organizational structures have evolved from several organizational theories, which have identified certain principles as basic to any organization structure.

- a) **Line and Staff Relationships:** Line authority refers to the scalar chain, or to the superior-subordinate linkages, that extend throughout the hierarchy (Koontz, O'Donnell and Weihrich). Line employees are responsible for achieving the basic or strategic objectives of the organization, while staff plays a supporting role to line employees and provides services. The relationship between line and staff is crucial in organizational structure, design and efficiency. It is also an important aid to information processing and coordination.
- b) **Departmentalization:** Departmentalization is a process of horizontal clustering of different types of functions and activities on any one level of the hierarchy. Departmentalization is conventionally based on purpose, product, process, function, personal things and place.
- c) **Span of Control:** This refers to the number of specialized activities or individuals supervised by one person. Deciding the span of control is important for coordinating different types of activities effectively.
- d) **Decentralization and Centralization:** De-centralization refers to decision making at lower levels in the hierarchy of authority. In contrast, decision making in a centralized type of organizational structure is at higher levels. The degree of centralization and decentralization depends on the number of levels of hierarchy, degree of coordination, specialization and span of control.

Every organizational structure contains both centralization and decentralization, but to varying degrees. The extent of this can be determined by identifying how much of the decision making is concentrated at the top and how much is delegated to lower levels. Modern organizational structures show a strong tendency towards decentralization.

1.4 TYPES OF ORGANIZATIONS

1.4.1 Based on Organization Structure

An organization is formed with certain properties and specific characteristics. Individuals form an association to attain the group goals. Organizations can be classified as business, military, service, banking, gov-

ernment, judicial, religious etc. Based on organization structure, organizations can be formal and informal.

1. **Formal Organization:** A formal organization has a well defined system and specific properties. It clearly defines measures of authority, responsibility, obligation and accountability for attaining the specific objective of the organization. Formal organization is a fixed set of rules of intra- organization procedures and structures. Individuals have to do certain things in a specific manner, obey orders from designated individuals and cooperate with others. Thus, it facilitates the determination of objectives and policies, communication, delegation of authority and coordination according to a pre-scribed pattern.

Features of Formal Organization: The following are the features of formal organization.

- 1) The formal organizational structure is created intentionally by the process of organizing.
- 2) The formal organization has a specific organizational goal.
- 3) In formal organization, every individual is assigned a specific job, a fixed authority or decision-making power.
- 4) Formal organizational structure creates a scalar chain of communication in the organization.

Advantages: Formal organizations help people to achieve goals. They help in continuous existence. The advantages are described here.

- 1) **Achievement of Organizational Objectives:** Objectives are the statement of purpose of existence. A formal organization has well-defined objectives. The organizational objectives are laid down for the individuals to achieve goals.
- 2) **Systematic Working:** Individuals in an organization have specialized functions. They are assigned jobs, duties and responsibilities. They are responsible for achieving objectives within a specified period of time. This is possible when they perform their respective jobs systematically, it results in systematic and smooth functioning of an organization. Formal organization helps in conducting activities in a systematic manner.
- 3) **No Overlapping of Work:** In formal organization work is clearly defined, and divided among various departments and employees.

So there is no chance of duplication or overlapping of work. This avoids confusion and ambiguity among people.

- 4) **Co-ordination:** Coordination is uniformity, consensus in thinking and action. Since individuals perform their respective jobs, their activities are required to be coordinated to attain the objectives of the organization otherwise organization collapses. Coordinated effort is possible only through formality of procedures.
- 5) **Creation of Chain of Command:** Chain of Command is the unbroken line of authority that extends from the top level to lower level. It clearly defines superior subordinate relationship i.e., who reports to whom. Formal organizations are basically identified the chain of command. Chain of command in formal organizations leads to clarity in the working.
- 6) **Succession:** Formal organizations create documented procedures. They help as directions for future. So even if people retire and new individuals enter as formal organizations exist continuously over a long time period.

Disadvantages: In spite of several advantages, formal organizations suffer from these limitations.

- 1) **Delay in Action:** Formal organization defines authority relationship through a scalar chain. So every communication should pass through the chain. This results delay in taking action.
- 2) **Ignores Social needs of Employees:** Social needs such as associating, making friendships, seeking affection etc., which are essential for every individual to lead a happy life. But in the formal organization all activities are done in a well-defined structure by eliminating personal communication, relationships and personal understanding among employees. This lead to de-motivation of employees.
- 3) **Emphasis Work Only:** In formal organization each and every individual should concentrate on work and also perform their duties and responsibilities in a systematic manner by ignoring human relations, creativity, talents etc.
- 4) **Informal Organization:** Social structure of an organization focuses on social interaction and relationships between members. Informal organization is a group of people instantly combined themselves to do a specific activity. The members of an informal or-

ganization do not follow any rules and regulations. Communication is done through the grapevine. Grapevine is unstructured communication. Informal organization is in the form of friendship groups or other small groups with informal organization. Hence, it is a network of personal and social relationships.

Features of Informal Organization

- 1) Informal Organizations are formed by the employees to get psychological satisfaction.
- 2) Relationships in informal organization structure are created automatically without any intended efforts of managers,
- 3) Individual needs are given top priority in these organizations.
- 4) Authority and communication does not follow any fixed path of flow.
- 5) Leadership is developed spontaneously.

Advantages of Informal Organization

- 1) **Fast Communication:** Communication in informal organization is fastest as there is no flow of line of authority from top to bottom. This leads to speedier decisions. The communication system is known as Grapevine.
- 2) **Fulfills Social Needs:** It gives due importance to psychological and social need of employees. These needs motivate the employees to perform better.
- 3) **Correct Feedback:** In this organization, superior subordinate maintains a friendly relationship. They share information easily and quickly on various matters. The top level managers know the real feedback of employees on various policies and plans.
- 4) **Safety Value:** Informal organization facilitates sharing of information on work related stress. This enables employees to release their anxiety and tension. Stress free employee contributes more to productivity.

Disadvantages of Informal Organization

- 1) **No Systematic Working:** Working relationships in informal organization are ill structured. They do not follow any particular direction. There is no systematic form of structure for smooth working of an organization.

- 2) **More Emphasis to Individual Interest:** It lays more emphasis on individual interest than organizational interest. Individuals perform task and show interest to achieve their own goals but not organizational goals.
- 3) **Source of Information:** Sources of information is difficult to be established in informal organization as any person can communicate with anyone in the organization.
- 4) **May bring Negative Results:** Members in informal organization may strongly oppose the policies and changes initiated by management. Then it becomes very difficult to implement them in a smooth manner.

In spite of limitations informal organizations render a lot of support to management. Manager should develop skills to make use of these organizations for the benefit of organization.

Differences between Formal and Informal Organizations

It would be appropriate to appreciate the differences for better understanding of these organizations. The differences are presented here:

Difference between Formal and Informal Organisation

Basis of Differences	Formal Organisation	Informal Organisation
Meaning	A formal organisation is one with fixed set of rules, procedures and structures.	An informal organisation is a network of personal and social relationships.
Formation	It is formed by the top level management with conscious effort.	An informal organisation is formed spontaneously guided by social forces within the formal organisation.
objectives	The objectives or goals are specific and well-defined. The main objectives of a formal organisation are productivity, growth and expansion.	The objectives are not specific and well defined. The main objectives of an informal organisation are friendship, security, common interest, individual and group satisfaction.

Rules and regulations	The members of a formal organisation have to follow certain rules and regulations.	The members of an informal organisation need not have to follow any rules and regulations of formal organisation.
Stability	A formal organisation is stable.	An informal organisation is not stable.
Superior-subordinate relationship.	In a formal organisation there exists a superior-subordinate relationship. Manager becomes leader.	In an informal organisation, there is no such superior-subordinate relationship. Leaders emerge spontaneously.
Benefits for members	The members of formal organisation get financial benefits like wages or salaries, bonus, etc.	The members of informal organisation get social and personal benefits like friendship, community, group's recognition, appreciation, status, etc.

1.4.2 Based on Authority

Types of organizations based on authority relationships and contributions to goals are described here.

- 1) Line organization
- 2) Staff organization
- 3) Line and Staff organization
- 4) Functional organization

1) Line Organization: It is also called as military/scalar organization. Line organization is a relationship of authority between the superior and subordinates in a hierarchical arrangement i.e., the authority flows vertically from top to the bottom and the command is through a straight and unbroken line. The superior has control over his immediate subordinates. There are less levels of authority and a small number of people. Lines are positions having authority for taking decisions.

They contribute directly to the basic goals of organization. Their work contributes revenue to the organization. The top level management are responsible for accomplishing basic objectives. They issue orders and implement plans and policies with the help of subordinates. They are authorized to maintain discipline. The line organization maintains direct communication from the higher to lower levels and vice versa.

But due to concentration of authority at top level and lack of specialization, line organization is suitable for only small organization. A line organization figure 1.1 is shown here.

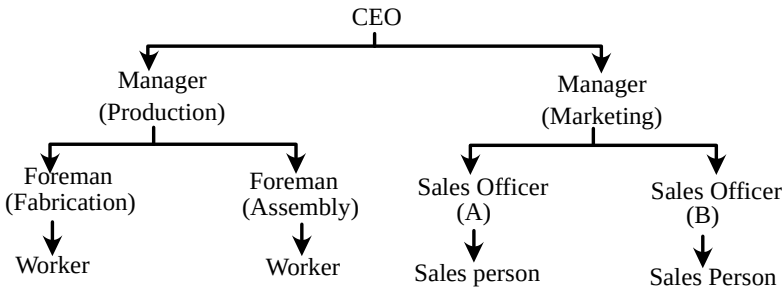


Figure-1.1: Line Organization

2) **Staff Organization:** The whole task of the enterprise is divided into specialized functions and each function is performed by a specialist. These specialists are known as ‘staff’. Staff specialists are attached to line positions to advise them on important matters. The staff positions are created to support the line managers. They have no authority to command subordinates in other departments. They have line authority over the subordinates working in their own department. Staff organization facilitates the accomplishment of organizational objectives by making available valuable advice and expert knowledge. Staff officers may be asked to suggest solutions to various problems encountered by line officers. Staff organization is shown in figure 1.2.

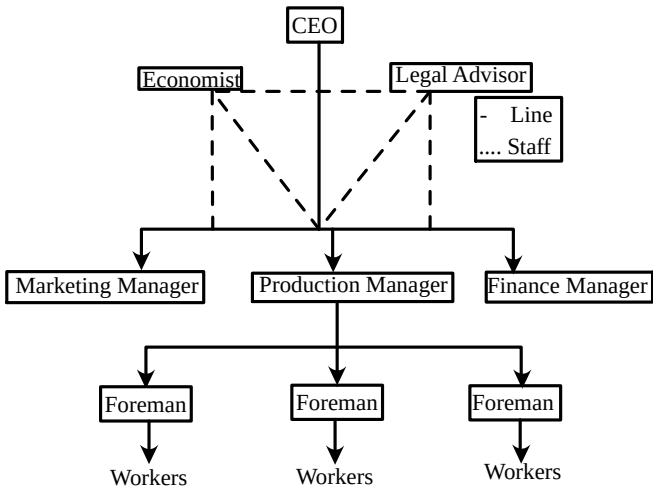


Figure-1.2: Staff Organization

- 3) **Line and Staff Organization:** In line and staff organization line authority moves down in the same manner as in the line organization. In addition specialists are attached to line managers to advise them on important matters. They are called 'staff'. They have the capacity to think, advice, analyze, research, recommend and supplement knowledge, whereas line is authorized to perform, command, execute policies and plans, establish superior subordinate relationships on all operational duties and responsibilities.

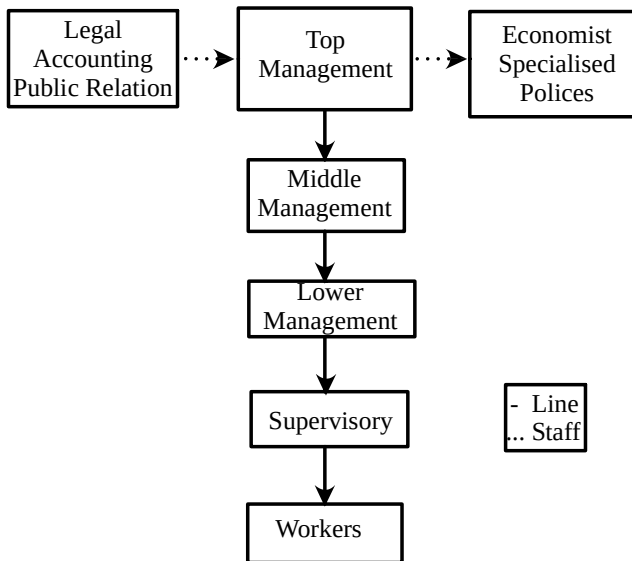
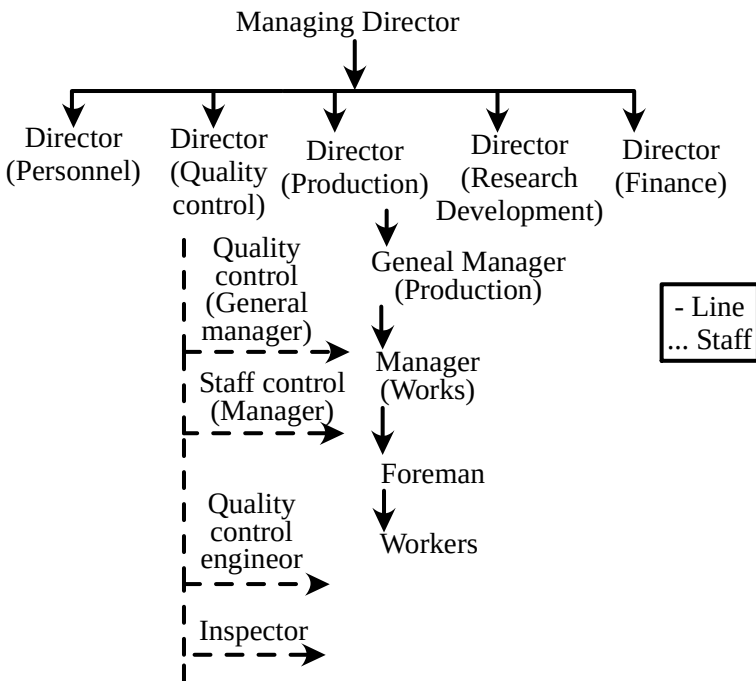


Figure-1.3: *Line and Staff Organization*

The line organization has authority and responsibility for production, and marketing whereas staffs are limited to finance, human resources, research and development and information system. They have no authority over the line authority. Line managers get the benefit of specialized knowledge of staff specialists. Staff specialists help the line managers in taking better decisions by providing them with adequate information of right moment and expert advice which helps in increasing efficiency of all workers at all levels. There is a possibility of conflicts relating to knowledgeable, recognition etc. Hence, there is a need for complete cohesiveness and confidence between the line and staff organizations which makes an organization success in every walk of life.

- 4) **Functional Organization:** Functional organization uses the principle of specialization based on function or role. In this organization superiors and subordinates perform their respective duties. The

line officers or managers exercise the direct authority (known as line authority) on even staff to achieve the organizational goals. Similarly the staff officers or managers have staff authority (i.e., authority to advice the line) over the line authority. Functional organization helps in achieving the benefits of specialization of work, reduces the burden on the top executives, facilitates better control and supervision and maintains a better industrial relation and mutual cooperation among members to have a great scope for expansion as compared to line organization. But there are obstacles such as lack of personal contact, coordination and violation of unity of command. Hence, a functional structure can be economical as only one function is given to an employee who performs the job quickly and qualitatively. Functional organizational chart is shown here figure 1.4.



1.5 MEANING AND DEFINITION OF OFFICE

Office is a place for transacting business where clerical and administrative functions are carried out to coordinate and control activities of the organization. A typical office performs tasks such as framing of business policies, processing and communication of information, record

keeping, handling mails, execution of orders and managing receipts and payments. Office can be described as any place where information converges on paper which is documented, preserved and used for both current and future operations of business.

Office activities have undergone a vast change in the last four of five decades. The old dingy, cluttered, stuffy office rooms have vanished and in their place we have well ventilated well-lighted, air-conditioned offices with up to date furnishings in alluring, designs. Gone are the day when the head of the concern personally supervised the work of clerks. Today, modern offices are organized on scientific principles and their management and administration are in the hands of specialized office manager.

Managers do not share the same room with clerks but sit in separate rooms. The clerks are supervised and controlled with the help of supervisors and through standard office systems, routines, office manuals etc.

The vast changes have led to an expansion in the scale of production and business activities. As the size of business enterprises grows, there is corresponding increase in the volume of office work. The office activities of today are not performed by general clerks but by specialized clerks – Receptionist, Cashier, Typist, Telephone Operators etc. There is also a greater division of labour. Departmentalization of office has been effected. The office managers of today welcome greater use of machines and minimal use of human beings in the office work. Machines-typewriter, telephones, computers, calculators, duplicating machines, Dictaphones, accounting machines, intercom, cellular phones, internet system etc. help to save time and labour. Computers are the latest additions to the long list of office machines. They are capable of performing most clerical operations at high speed without errors. Thus modern office are becoming more and more high-tech.

Office is an important section of a business. The term business implies office work. The dictionary meaning of office is “a place for the transaction of business, the room or department, where the clerical work is done,” or we can say “a place where business is carried on”, or it is “a place where all sorts of activities of organization are dealt with”. Office is the centre of an organization. Commercial office acts as a central directing and co-ordinating agency of the various activities of any business.

In modern age, the “office” is used in a broader sense. Prof. Dicksee states, “*An office is to a business what the mainspring is to a watch*”. An organization cannot be carried on without an office, as a watch without the mainspring is useless. In the present times, the modern office organization has so much importance as the brain in a human body. *Thus a commercial office can be called “a clearing house of all essential business information”*. The office has to receive or collect all information of the business, process the collected information (analyse, arrange and classify) and put them into understandable form on the one hand. On the other hand, the processed, information has to be presented or communicated to the management of the business, as and when required.

Definitions

A few definitions of office are given below

“An office is the administrative centre of a business. The purpose of an office has been defined as the providing of a service of communication and record” - **Mills & Standing Ford**

“An office is a place where business is transacted or professional service is available”. - **Random Hours Dictionary**

“Office is a unit where relevant records for the purpose of control, planning and efficient management of the organization are prepared, handled or preserved. Office provides facilities for internal and external communication and coordinates activities of different departments of the organization.”

- **Little field and Rachel**

“The essential feature of the office is the work itself, not who does it or where it is done. If it is office or clerical work in one place, it is office or clerical work everywhere regardless of where the work is done or who does it” - **Leffingwell and Robinson**

1.5.1 Office Work

According to the old concept “Office work” is mostly concerned with the records of an enterprise and making, preserving the records for further usage, so from this we can call office work as clerical work. And office work not only deals with records, it also includes communication, mechanical data processing, planning and scheduling etc.

Office work is mainly concerned with clerical work or paper work. But this is a very narrow view and is an old concept of office work. Now-a-days, office work has a very wide scope. Office work is primarily concerned with making, preserving and using records. The records are concerned about purchasing, producing, selling, accounting and correspondence, inventories and written or printed memorandum of all kinds. These records are essential for an efficient and effective control of the organization.

An office serves as the memory centre and control centre of an organization. The office performs many services like communication, reproduction, mechanical data, processing procuring of stationery, furniture and equipment, secretarial assistance etc., to other departments in an organization.

Office is a unit where relevant records for the purpose of control, planning and efficient management of the organization are prepared, handled and preserved. Office provides facilities for internal and external communication and co-ordinates activities of different departments of the organization.

The purpose of an office is

1. To preserve all the records of the business.
2. To handle incoming correspondence.
3. To plan the policies of the business and ensure their implementation.
4. To direct and co-ordinate the activities of the various department, and
5. To maintain accounts, statutory and non-statutory books etc., of the business.

1.5.2 Office Activities

Each office has a personality of its own. This personality is a reflection of the purpose for which an office exists. The manufacturing office will have a profile that differs from that of a sales office. The accounting office will have a different orientation from that of a research and development office. In organizing a new office the office manager must

first determine the prime reason existence of that office and then add the necessary ingredients to bring about an efficient operation entity that achieves predetermined results.

Although offices differ from one another in prime responsibility, many activities are commonly carried out by all the offices. Some of these activities are:

- a) Processing Incoming mail.
- b) Processing outgoing mail.
- c) Maintenance of records (Filing and Indexing).
- d) Establishing standard at office work.
- e) Designing and procuring at office forms, stationery etc.
- f) Recruitment and training of office staff.
- g) Maintenance of furniture, machines, appliances etc.
- h) Preparation of statements, reports etc.
- i) Maintenance of accounts and other financial records.
- j) Handling Telephone calls and enquiries.
- k) Preparing update information for the whole firm.
- l) Arranging the data in a quickly and accessible form for use.
- m) Safeguarding the assets.
- n) Keeping a prompt and accurate handling of enquiries orders etc.
- o) Maintaining efficient flow of work in the office.

1.5.3 Factors contributing to the growth of office work

The office work has tremendously grown in the modern economy. Due to the expansion of economic activities, the work has been increased manifold. The following factors have contributed to the growth of office work

- i) The management needs proper and timely information all aspects of business operations in order to arrive at intelligent decision – making.

- ii) When the business grows, office work also grows proportionately.
- iii) The work concerned with the preparation of returns to Govt., financial statements, dealings with employees etc., increase office work.
- iv) With increase of service activities such as accounting, banking, advertising, marketing, insurance damages etc., the paper work has increased tremendously.
- v) The importance of office in relation to customers is of great significance. Office acts as the channel that links the business organization with its customers.

1.5.4 Types of Office

The various types of office are as follows:

1. **Front Office:** It is a business term that-refers to a company's departments that come in contact with clients including the marketing, sales and service departments. The front office welcomes visitors, meets and greets them and handles their queries.
2. **The Middle Office:** Middle office comprises departments of financial service that manage position keeping.

These divisions ensure that transactions capture profit flows. The middle office is usually a part of operations division, which is also in-charge of settlement. Due to their critical role, middle office functions along with front office and is supervised by the back office managers.

3. **The Electronic Office or E-Office:** It was a term coined to cover the increasing use of computer-based information technology for office work, especially in the 1980s. it is widely used since all modern office are electronic offices.

E-office reduces most of the paper work and also makes the office communication electronic. E-office requires the use of individual computers loaded with software applications which are inter connected in Local Area Network (LAN).

4. **The Virtual Office:** It is the combination off-site live communication and address services that allow users to reduce traditional office costs while maintaining business professionalism. Virtual

office implies space utilization, but a full application includes professional live communications of tele conferencing.

5. **Back Office:** It is a part of most operations where tasks dedicated to operating the company are performed. The term comes from the building layout of early organizations where the front office would contain the sales and other customer facing staff and the back office would be those manufacturing or developing the products or involved in administration but without being seen by customers. Although the operations of a back office usually not given a lot of consideration, their contribution to the business is significant.

Examples of Back Office tasks include Accounting, Computerization of transact running (operation architecture), accounting and human supported by software and database.

1.6 SECRETARY

Meaning

The word Secretary is derived from the Latin word “Secretarius” which means “a confidential person”. As the word conveys an idea of secrecy, the title of Secretary is generally used to apply to an official who conducts confidential correspondence and performs such works. However, in today’s world, the duties of a Secretary have become so varied that a modern secretary is no longer just restricted to performing confidential work. A Secretary is, also sometimes called Personal Assistant, Executive Assistant or Professional Secretary etc. and considered to work for CEO, Chairman, Managing Director, Chief Manager, Departmental Heads and so on. Today, the profile of a Secretary has completely changed.

A Secretary has to be responsible person to whom an executive can delegate his/her routine duties, entrust confidential matters with full confidence to act on his/her behalf whenever necessary.

A Secretary is appointed to assist executives in all types of organization; whether commercial, manufacturing, industrial, educational or any other type. However, the functions and duties of a Secretary vary according to the nature and size of an organization. Basically, every Secretary has to perform certain routine duties. In an organization,

generally, a Personal Assistant is a junior official who has to perform the duties of a Front Office Assistant or a Stenographer, whereas a Private Secretary is usually attached to a top executive who has to perform such duties which require higher level of secretarial skills. He/She is considered as a link between the executive and the junior officials to facilitate implementation of the decisions taken. Nowa-days, every Private Secretary is supposed to be administrative specialist and well trained member of an office team.

Definition of Secretary: Functionally the term Secretary means a person who writes in secret on behalf of his superior or for body. The word Secretary has been derived from the Latin word Secretarius which means a confidant or a confidential officer. The Latin words Secretarius contains a sense of secretion or secrete.

Hence, from the definition two basic points have to be noted

- (1) A Secretary writes for his superior or for a body and not for himself. The word 'body' means a society, an association, a company, a club or even a state. This is perhaps a more important point.
- (2) A Secretary writes in confidence or in secret. This point is, however, not always true, judging from the functions of a Secretary in modern age.

In order to understand the meaning of the term Secretary we may refer to some standard English dictionaries. According to the **Oxford Dictionary**, '**Secretary**' means: *"One whose office is to write for another; especially one who is employed to conduct correspondence, to keep records and to transact various other business, for another person or for a society, corporation or public body."*

According to the **Webster Dictionary**, '**Secretary**' means- *"One employed to handle correspondence and manage routine and detail work for a superior; an officer of a business concern who may keep records of directors' and stockholders' meetings and of stock ownership and transfer and help supervise the company's legal interests; an officer of an organisation or society responsible for its records and correspondence; an officer of state who superintends a government administrative department."*

1.6.1 Appointment of a Secretary

A company has to undergo various legal formalities from its inception till it continues to exist. The winding up of a company needs elaborate legal procedure. In order to tackle all the legal formalities a company prefers to appoint a person as its secretary who has the requisite qualifications. Generally a small company cannot afford to appoint a full time secretary and so it employs a part-time secretary.

According to the amendment of the Companies Act in 1974, Sec. 383A provides that a company having paid-up capital of Rs. 25 lakhs or more must appoint a qualified secretary. A person who has passed the Company Secretaryship examination conducted by the Institute of Company Secretaries of India, originally established by the Central Government but converted into a Statutory Body (like the Institute of Chartered Accountants of India) in 1980, and has been admitted as a member of the Institute of Company Secretaries is said to be qualified for the job.

The appointment is given by the company under an agreement giving the terms and conditions in details spelling out the rights, duties, and powers of the secretary subject to the provisions of the Companies Act. In many cases, the promoters of a company themselves appoint a secretary to get his specialised service in the process of promotion of the company in undergoing the legal formalities.

After the formation of the company the appointment is regularized with retrospective effect. According to Sec. 2(30)- of the Act, a secretary is an 'officer' of the company who is liable to personal punishments in case of any default made by him with regard to specific legal formalities for which he is responsible. Sec. 2(45) of the Companies Act defines a secretary as "an individual possessing the prescribed qualifications appointed to perform the duties which may be performed by a Secretary under this Act and any other ministerial or administrative duties".

In the past (under the original Companies Act, 1956) a partnership firm or a company could be appointed as secretary. It means that a partnership firm or a company could do the profession of company

secretary-ship just as a firm of chartered accountants can do the profession of audit. But by 1974 amendment only an individual having prescribed qualifications can be appointed as secretary.

Previously many chartered accountants or persons holding any Master's Degree together with a Degree in Law used to serve as secretaries of companies. It is no longer permissible. But, some exemptions have been granted to those who have been working as company secretaries for some considerable time. No new appointment is possible without having the prescribed qualifications.

1.6.2 Qualifications and Personal Qualities of a Secretary

With increasing complexities of administration and competition, a Secretary has become an indispensable person. Much of secretarial work is carried on behind the scene and is not noticed at times. The credit for his/her work generally goes to the executive with whom he/she is attached. To perform the secretarial duties with confidence and efficiency, a Private Secretary requires many qualities and skills as well as a wide general education. These qualifications and qualities are discussed below.

- a) **Academic Qualification:** The education develops mind of a person and enables a person to appreciate better the total environment. A senior level Secretary is usually a graduate. However, for the post of a junior secretary, XII class qualification is adequate. One holding a junior secretarial position and aspiring to reach higher in the cadre do efforts to acquire higher qualification by joining correspondence courses along with the job. It is generally said that, the more the education, the greater is the awareness and better power of understanding, grasping and expression.
- b) **Vocational Course of Secretarial Practice or Office Management:** A course in Secretarial Practice is a very useful attribute for a Private Secretary. Opportunities for high level secretarial jobs and promotion come often to those who have broad general education with a vocational course in Secretarial Practice or Office Management. The course includes mastery of various subjects

viz. Stenography, Computer Operation, Office Procedure, Business Communication, etc.

- c) **Mastery of IT and Secretarial Skills:** A Private Secretary must have a complete mastery of some basic skills which are the essential tools of his/her trade. Complete knowledge of word processing, preparation of spread sheets, using internet, locating information from various sources, sending e mails etc. is must. Besides, he/she must be able to take dictation rapidly and transcribe the same accurately. He/she must be fast and accurate on the computer. The letters and other material typed by them should always be neat and well-arranged along with flair to present error-free work for signature, except in those cases where only a rough draft is called for. Other secretarial skills include mastery on record management, reprography, ability to write correctly and to the point, to answer telephone calls, to deal with visitors, to meet people and talk with them pleasantly.

To be able to assist top executives, locating information on a variety of topics for him/her and dealing with a variety of people coming into the office, one should have knowledge of the recent developments in political, economic and social fields and have an awareness of national and international events. It can be achieved by regular reading newspapers, periodicals, journals and magazines etc.

- d) **Good Communication Skills:** A large part of Secretary's work consists of correspondence and preparation of notices, agenda, minutes, reports, speeches etc. Therefore, to be a successful Secretary, one should have a good command over the oral and written communication skills. Business in majority of offices in India is carried on in English language. In this global era, English also serve as a language of commercial contact between different countries. Therefore, a Secretary should have sound knowledge of English. Skill in shorthand is of no use without proficiency in language. A Secretary should preferably have the knowledge of the regional language too. If the organization has dealings with foreign institutions, it will be an advantage to have a working knowledge of one or more foreign languages also.

- e) **Knowledge of the Profession or Business of the Employer:** Besides the above, one should be thoroughly familiar with the objectives and management of the firm or organization for which one is working. In other words, one should know the full range of activities of the organization, strong personalities, key figures in any particular field of activity along with duties and responsibilities of the executive with whom one is working. The more one knows about the organization, the better job one will be able to do.
- f) **Personal Qualities of a Secretary:** A Secretary should possess a variety of soft skills to be successful and develop calm, positive personality. Some of the important personal qualities relevant for the job a Private Secretary are discussed below:
- i. **Adaptability:** If Private Secretary has got the quality of adaptability, adjustment under all the situations in office becomes easy and less straining. It is important that a Private Secretary should be adaptable to all kinds of people, situations and problems. Sometimes, it may happen that one executive is transferred and the new executive takes over. The new executive might not be having the same nature or temperament. Also, there may be heavy work at one time due to certain deadlines but may not be much work in office at any other time. Thus, a Secretary should inculcate habit of adjusting with different types of persons/situations.
- ii. **Cooperative Attitude:** In an organization, cooperativeness means assisting every member with a courteous and helpful attitude including exercising self-control at times of extra pressure. It is teamwork that counts in an organization. A Secretary should cooperate with every member of the organization, from the highest to the lowest in rank. Cooperativeness enhances respect of a Secretary. The urgency of work may require, sometimes, to sit late in the office or to attend office during holidays. If the exigencies of work require it, one should try to understand the situation with a cooperative attitude.
- iii. **Courtesy:** A Secretary should show proper consideration for all members of the organization as well as to outside callers. One must avoid embarrassing anyone and making sarcastic comments. Courtesy may be shown in greeting each member and visitor

pleasantly, offering a seat, etc., and with use of words such as 'Please' or 'Thank you', whenever required.

- iv. **Loyalty:** To be loyal means faithful to the employer and always helpful to him/her. A Secretary should be dedicated to the job and do assigned work honestly and sincerely. Loyalty is critical quality for holding a secretarial position. In order to be loyal to your executive and to the company or firm or institution for which you work, you must be familiar with the executive's goals and the organization's overall objectives and work at all times towards the goals.
- v. **Punctuality:** Punctuality means available to the executive for work at the desired time and also to finish the assigned job at the proper time. This simple but significant quality is very essential for a Secretary. One must not be a 'Late Starter' or 'Early Stopper'. It is very annoying for an executive to find his/her Secretary absent when something requiring immediate attention comes up suddenly.
- vi. **Tactfulness:** Tact enables one to act in a particular fashion under particular situation. It is the personal skill of saying or doing what is required by the circumstances, the ability to handle a difficult situation in a right and positive manner. It has been truly called the "fine art of avoiding offence". A Secretary is called upon to exercise tact in dealing with his/her employer, colleagues, visitors, etc. Judgement and discrimination are essential to become tactful.
- vii. **Pleasing Voice:** A Secretary should have a low but confident well-controlled and pleasing voice. A pleasant, clear voice is attractive while loud and demanding voice is unattractive. It has also to be understood that a very low and retiring voice makes communication difficult.
- viii. **Personality and Poise:** Personality is usually linked to what you are, what you do and how you do it. Personality makes one person different from another. It is not important what kind of physical features you have, but rather the expression on those features. Good personality creates a positive impact on other people. Poise

is getting along with people well without superior or inferior feeling. It comes from knowing one's abilities as well as limitations. Poise enables a secretary to be at ease and also to make others feel at ease. It is rightly said that knowing that you are well-groomed will give you confidence and confidence gives you poise.

- ix. **Good Interpersonal Skills :** Interpersonal skills are the skills which help a person to interact with others properly. In an organizational setting, it is the ability to get along well with other members; whether senior or junior. It is important for a Secretary to possess excellent interpersonal skills to facilitate effective working relationships.

1.6.3 Remuneration of a Secretary

The secretary is one of the highest paid executives of a company. His remuneration is next to the chief executive of the concern, either the managing director or the general manager. In many companies the secretary is the chief executive.

The secretary is often described as the principal officer of the company and accordingly is treated as the chief executive. But he has to function under the superintendence and control of the Board of Directors. The secretary may be a nominated director or a director may be appointed as secretary. The Board depends much on the secretary.

1.6.4 Functions or Duties of a Secretary

The functions or duties of a company secretary are varied and can be broadly classified into two groups

- (a) **Statutory:** The Companies Act provides many kinds of legal formalities which a company has to undergo from its inception till it exists as a going concern. Elaborate legal formalities are necessary for its winding up. A secretary has the primary function of looking after these formalities.
- (b) **Non-Statutory:** As a secretary he has to function as an office executive, a liaison officer and an advisor.

From another viewpoint, he has functions or duties directed to

- (a) The company
- (b) To the directors
- (c) To the members of the company
- (d) To the Registrar of Companies and
- (e) To all other people coming in contact with the company.

It is rightly said that a company secretary is not only a servant of the company but he is a servant of law. Accordingly, he has non-statutory and statutory functions respectively.

1.6.5 Rights of a Secretary

The rights of a secretary are consequential. He is appointed under certain terms and conditions which determine his rights. Whenever he is entrusted with some duties, he becomes reci-procally entitled to some rights.

For example, a secretary has rights to get proper remuneration corresponding to the responsibilities he has to shoulder and the variety of functions he has to do. He has the right to enjoy all the privileges as an employee of high rank. He has also the right to get all the facilities like adequate accommodation, proper equipment, etc., so that he can carry out his duties.

1.6.6 Powers of a Secretary

A secretary is empowered to use his authority as the chief executive. He derives his power from his position. Authority is delegated to him by the top level management to look after the office and the office staff.

He is empowered to sign letters and documents which have legal effects, on behalf of the organisation. He is often given 'power of attorney', i.e., power to represent the organisation in respect of legal matters. A secretary of a registered body like a company or a cooperative society has statutory powers also.

1.6.7 Liabilities of a Secretary

A secretary of a registered body like a company or cooperative society is liable to punishment if he fails to observe some legal obligations which as secretary he is bound to observe. As he has powers by law, he has liabilities under law too. The terms of appointment of a company secretary include such personal liabilities which may arise on his defaults.

1.6.8 Importance of Secretary

In modern times the importance of a secretary has been largely enhanced. Practically a secretary is indispensable in our everyday life.

This is because of the following reasons

- (1) Life is today a democratic process. We have to form different groups or associations or committees in our social, business and political life. Decisions have to be taken at meetings through discussions. Records have to be maintained. Communication, both internal and external, has to be carried out. All these need office work or secretarial work. What is true for our individual life is also applicable to the Government or to a public body like a Municipality.
- (2) With the introduction of the concept of registered societies or associations like a Trade Union or a Co-operative Society or a Com-pany, various legal formalities have been made compulsory through legislations for forming and managing them. Appointment of a secretary to each of such bodies has become essential or even com-pulsory. Even a Students' Union needs a Secretary.
- (3) The functions of the executives and senior men in a business concern have become so complicated and varied and public relations have become so wide that it is no longer possible for them to look after everything single-handed. Secretaries are appointed to assist them and mainly to carry out routine office work and particularly those which have legal implications.

- (4) The secretary himself is ranked as a senior executive taking part in the policy-making process for the whole organisation. The post of Director Secretary is very common in modern companies.
- (5) In some countries, as in USA, the Secretaries hold the highest posts in the Government as there are no Ministers. In other countries, the Ministers largely depend on the departmental Secretaries.
- (6) The functions of a secretary are considered to be a specialist's job. There are training courses and examinations for Secretaryship of different categories in different countries. In India the Government has introduced Company Secretaryship examination as found in UK and other advanced countries.
- (7) Secretaryship is treated as a profession. The rights, duties, functions, powers and obligations are being defined and outlined in different statutes (e.g., the Companies Act, the Co-operative Societies Act, etc.).

Because of his growing importance and specialisation we need today not only a Secretary but a qualified one. Such qualifications can be acquired and imparted through training. Corresponding to importance, the responsibilities of a secretary have also increased.

1.7 TYPES OF SECRETARY

Depending on the extent of the responsibilities performed by the secretaries; they can be classified in many categories. The major categories of secretary are as follows

1. **Private secretary:** A private secretary is a person who is employed for performing some personal works of his employer. Generally, the high officials of any organization or the important persons of the society, like businessmen, doctors, actors and actresses, political leaders, lawyers etc. employ private secretary for getting help in performing their routine functions. Of a private secretary are

conducting correspondences, preserving and filling the important documents, making and recording appointments, attending the guests and visitors, handling telephone calls etc.

2. **Secretary of an Association:** Sometimes it is seen that many associations, like cultural and sporting clubs, trade associations or some human organizations appoint secretaries to administer their day to day activities. This type of secretary acts either as the chief executive officer of as the representative or as the chief adviser of the association. The main jobs of such secretaries are to direct and supervise the functions of subordinates, conducting correspondence with the outsiders, maintaining the important documents and books of accounts, arranging and conducting various meetings, etc. however, they perform their activities under the supervision of the managing committee of the concerned body or association.
3. **Secretary of Embassy:** Every embassy or high commission or foreign mission appoints a secretary for performing some of its important functions. The secretary of the embassy or high commission is positioned net to the ambassador or high commissioner. In absence of the ambassador or high commissioner, he runs the embassy or commission office.
4. **Secretary of a Cooperative Society:** The managing committee of every cooperative society generally appoints a secretary to administer the society on their behalf. Any member of the society or any other outsider person can be appointed as the full-time secretary of the society on a fixed salary. The secretaries of cooperative societies also discharge their duties under the direct supervision of the managing committee.

5. **Secretary of Local body:** When a person is appointed as the executive head of any municipal corporation or district board or of any local body, he is designated as the secretary of that body. Secretary of any local body is appointed as per the rules of that body and the law also specifies the functions, duties, and responsibilities of the secretary.
6. **Secretary of Government department:** Generally, government activities are performed under various ministries and departments. Every ministry or department is controlled by a minister with the help of a secretary. The secretary is the executive head of the ministry, while the minister is the head of the ministry.
7. **Company Secretary:** Company secretary is a high-level officer of the company having requisite qualifications. He is appointed as per the rules prescribed in the companies act. Company secretary is mainly responsible for looking after the secretarial works. He generally maintains liaison with the board of directors, employees, shareholders and other outside parties. Now a day, company secretary is one of the most important persons who perform some specified duties in the company form of business. The functions that are performed by company secretaries are maintenance of books and registers as required by the company's act, issue of share certificates, certification of meetings, arranging and attending meetings, drafting the minutes, sending returns to the register, etc.

1.8 SCOPE OF SECRETARY

In view of global era and development in IT skills, work profile of secretary has entirely changed. Earlier, even the managers at junior level were also taking secretarial help in order to discharge their duties. But since the advent of computers, usually the junior and, to some extent, middle level managers are performing most of their routine administrative jobs like preparing letters, sending of mails, record management, etc. on

their own. However, top management level and senior executives do have to delegate their routine administrative tasks to their Private Secretary. With this change in scenario, it is evident that the secretarial work requires lots of expertise and skills as usually every Private Secretary has to directly report to senior executives in an organization. It is generally noted that no two private secretaries perform exactly the same work.

Therefore, one cannot lay down an arbitrary list of duties. A PS to a junior executive has to work as a Front Office Assistant, Stenographer, Multi-Tasking Assistant etc. while a PS to the senior executive has to collect information on different topics, draft reports and speeches, write down the proceedings of the meetings/seminars and give advice to the executive on certain administrative matters. That is why a definite list of duties of a PA/PS cannot be laid down.

- Usually, the duty performed by a Private Secretary depends on the:
- Skills, personality and intelligence of a Secretary.
- Size of an organization where the secretary is working.
- Position of the executive with whom the secretary is working.
- Willingness of the executive to delegate authority and.
- Secretary's willingness to assume responsibility.
- The duties of a Private Secretary may be divided in two types:

10 a) Routine Office Duties.

b) Miscellaneous Duties.

The above duties are discussed in detail below:

Routine Office Duties

- i) Take dictation and transcribe the same on computer.
- ii) Tabulate data, make simple calculations etc.
- iii) Do correspondence with other organizations on the instructions of the executive.

- iv) Take initiative for briefing the information to the executive.
- v) Handle inward and outward paper (physical) mail/e mail.
- vi) Maintain records.
- vii) Operate office machines.
- viii) Maintain appointment diary, memory aids, etc.
- ix) Locate information from various sources including internet.
- x) Arranging and planning tour programme of the executive.
- xi) Organizing and conducting meetings (preparation and issue of notice and agenda, making seating and refreshment arrangements, keeping ready all the documents which may be required during the meeting, keeping record of attendance of the members, recording minutes, typing minutes and communicating the decisions and resolutions to the members etc.)
- xii) Attending to liaison duties like telephone calls, visitors, handling enquiries. Everyday some new jobs may come up and they are to be managed according to the priority.

The best way to finalize priorities is to consult with the executive. For example, connecting telephone calls can be given priority in the forenoon. This will be applicable in taking down dictation also. Dictation must be transcribed on the same days as some instructions pertaining to dictations might be forgotten which remain fresh during the day. The most important thing is to ensure that predetermined deadlines which are time bound are adhered to.

A Private Secretary has to handle the visitors who come to see the boss. An efficient PA/PS should be familiar with the art of meeting people and receiving them. The manner of dealing with visitors reflect image of the executive and as well as organization.

Miscellaneous Duties Private Secretary has to perform some miscellaneous duties, like to Prepare Power Point Presentations on various topics.

- Work as Data Entry Operator.
- Present concise information when the officer has to sit for an interview.

Draft reports and speeches for meetings and workshops, etc.,

- Supervise junior employees and their training, etc.
- Act as a liaison officer between the employer and the employees.
- Advise executive on purchase of office machine/equipment and stationery, etc.

In order to perform secretarial duties the most efficiently and effectively, it is necessary for a Private Secretary to be competent in IT and secretarial skills. Today, an efficient Private Secretary is a combination of secretarial plus managerial skills, as he/she has to often report directly to senior executives and take care of multiple administrative responsibilities.

1.9 OUTCOMES

- Define Organisation its importance and principles.
- Explain principles of Organisation structure.
- Discuss various types of Organisation structure.
- Define office work and its types.
- Qualification and qualities of Secretary.
- Delineate types of secretaries.

1.10 REVIEW QUESTIONS

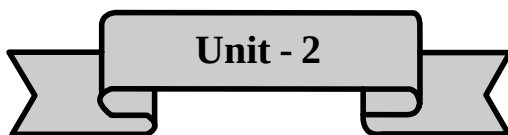
I. Short Answer Questions

1. Define Organisation
2. Discuss Importance and principles of Organisation.
3. Explain principles of Organisation structure.
4. Discuss various types of Organisation structure.
5. Define office work.

6. What are various types of offices?
7. Qualification and qualities of Secretary.
8. Delineate types of secretaries.

II. Long Answer Questions

1. Define an office and explain its various activities?
2. "The office is a coordinating factor" Explain?
3. Discuss the various factors contributing to the growth of office work?
4. Explain the various activities of a modern office?
5. List the different types of offices?
6. Define Organisation.
7. Explain principles of Organisation.
8. Discuss various types of organisations.
9. What do you mean by the word 'Secretary'?
10. Explain the role of a Secretary in any organisation.
11. List out various duties of a Private Secretary.
12. What is Office work.
13. Explain various types of offices.
14. Discuss the various types of Secretaries along with brief job profile of each.
15. Enlist various qualifications and skills which an ideal Secretary is required to possess.
16. Describe the various personal traits of a Secretary.



OFFICE SECRETARY

2.0 OBJECTIVES

After going through this lesson, you will be able to:

- Role and Responsibilities of office Secretary.
- Explain the two types of handling of mail: electronic and paper (physical).
- List out frequently used postal services in an organization.
- Know the meaning of the meeting and also its importance.
- Know various services provided by banks as on date viz. deposits, advancing loans, transfer of funds etc.
- Understand common terms relating to banking transactions/industry.
- Enumerate the different modes of travel.
- Explain the role of travel agencies.
- Prepare an itinerary.

2.1 INTRODUCTION

A Private Secretary or Personal Assistant is the backbone of an organisation, whose work requires a variety of project management, communication and organizational skills. The work profile of a Secretary of today is not the same as was in decades past. The job responsibilities have evolved to acquire much more advanced skill set such as mastering

Microsoft Office applications, drafting correspondence, preparing presentations, managing budgets, maintaining websites, preparing expense reports etc.

Secretaries might also manage all the administrative details of running a high-level conference or meeting and be responsible for arranging the catering for a lunch meeting. Often executives will ask their assistant to take the minutes at meetings and prepare meeting documents for review. In addition, a Secretary may be responsible for keeping all of the official records of a company or organization. Hence, Secretary is an assistant to an executive, possessing mastery of office skills who is supposed to have an ability to assume responsibility without direct supervision, the one who displays initiative, exercises judgement and makes decision within the scope of his/her authority.

2.2 ROLE OF AN OFFICE SECRETARY

1. Role of Secretary as Office Manager

The secretary of an organisation is primarily the chief executive and is in charge of the office.

He may be called the office manager but in fact he is more than that because of the following reasons:

- (a) The secretary has a higher status than an ordinary office manager. An office manager does not belong to the top management group but the secretary generally is. At least he is next to the top management group, i.e., the Board of Directors in case of a company. Very often he is taken in the Board of Directors or a director function as the secretary.

In case of a cooperative society, the secretary belongs to the managing committee. In any other association the secretary, as elected from among the members, holds the highest administrative position. An office manager mostly supervises the routine work while a secretary controls the entire administration. In that sense an office manager is subordinate to the secretary.

- (b) An office manager has his authority determined by the terms of his appointment. He does what he is told to do. But a secretary, particularly a company secretary has its authority also from the statute.
- (c) A secretary is an advisor to the management which an office manager is not.

- (d) In some organisations, an office secretary is appointed whose functions are those of an office manager and he acts under the superintendence and control of the secretary, who is the chief executive.
- (e) By nature the secretary is the chief executive but an office manager is not necessarily the chief executive.
- (f) Sometimes a secretary requires by law some special qualifications as we find in case of a company secretary. No such special qualifications are necessary for an office manager.
- (g) A secretary functions as an office manager when there is no separate office manager but an office manager cannot do the functions of a secretary particularly the statutory functions.

2. Other Roles played by Secretary are

- Reviews and reports on membership matters, formation and dissolution of Chapters and Sections and proposed amendments to Chapter bylaws, and makes action recommendations to the board.
- Works with the president and COO and chair and CEO to prepare agendas for the meetings of the Executive Committee and board of directors.
- Oversees the preparation of minutes of organisation Board of Directors meetings and conference calls, as well as minutes of the Leadership Assembly.
- Has a good working knowledge of "Robert's Rules of Order, Newly Revised," and plays a key role in keeping board meetings functioning in an orderly fashion. Maintains a system to keep the flow of communication smooth during board meetings and assists in maintaining adherence to the agenda.
- Reviews the organisation Policies and Procedures Manual and determines revisions to be made.
- Presents the delegate credentials and meeting rules for the Assembly, and reviews all proposed bylaw changes and petitions prepared for Assembly submission.
- Determines the number of Leadership Assembly delegates-at-large (representing those members of organisation who are not members of a Chapter) on the basis of one delegate for each 100 such members of organisation or fraction thereof, and reports this number to the chair of the Nominating Committee.

- Chairs the Assembly Minutes Committee, which is composed of the current PRSA secretary, the organisation secretary-elect and a delegate from the host Chapter in the Assembly's location.
- Prepares the minutes of the Assembly and circulates to the Minutes Committee for review and approval. Works with staff to post Assembly minutes to the organisation website as soon as possible after the meeting. The minutes are the official record of the Assembly.
- May be called upon to attend Chapter and District meetings to give a brief national update or presentation to its board of directors and/or to the Chapter or District membership at large.
- Attend all meetings of the organisation Board of Directors, Executive Committee, Leadership Assembly and International Conference.
- Serves on the five-member Executive Committee as an officer of organisation.

2.3 DUTIES OF OFFICE SECRETARY

A secretary's duties can vary depending on where they work, and sometimes secretaries exceed their job requirements.

1. **Answering and Directing Phone Calls:** Secretaries may be responsible for answering office phone lines and directing each call to the appropriate individual. Oftentimes, secretaries are the individuals that handle solicitation calls, client calls and taking messages. For instance, a legal secretary may regularly take calls from clients regarding casework or other information, and they need to be able to direct each client call to the appropriate attorney, as well as taking and distributing other messages and correspondences. A secretary may also need to have expertise in differentiating between urgent and less important communication.
2. **Organizing and Distributing Messages:** Another essential task secretaries may commonly perform is organizing and distributing memos, notes, messages and other written communications. Additionally, secretaries may have exceptional communication and analytical skills to take on communication tasks like these. For example, an executive secretary who works for a CEO of a large technology corporation might be expected to organize and disseminate various messages or memos to bring only the most

urgent communications to their CEO. An urgent message might relate to a change in a client's contract, and the executive secretary needs to be capable of quick and efficient communication as they pass messages along.

3. **Maintaining company schedules:** Secretaries are also commonly in charge of maintaining the schedules and agendas of professionals in their companies. For instance, a secretary for a large marketing firm might organize team schedules for each of the company's departments as well as the executives' agendas by setting appointments with clients, vendors and shareholders. Secretaries may also be the individuals that keep staff on track with reminders and alerts for upcoming conferences or meetings.
4. **Organizing documents and files:** Keeping documents, records and files organized is another important task that secretaries can be expected to perform. For instance, a medical secretary may commonly take charge of maintaining a filing system for patient medical records, expense reports for medical supplies and medications, procedural documentation and other important documents. Oftentimes, a company's documents, files and other records are stored within a computer database, and secretaries may frequently be expected to have the technical skills necessary to use these types of filing systems.
5. **Greeting business clients and guests:** Secretaries may also take on receptionist duties in addition to their administrative responsibilities. For example, an executive assistant may act as a receptionist to greet clients who arrive for conferences or meetings and might be the individual who helps visitors get settled, brings refreshments, takes notes during meetings with clients, and generally works to maintain the professionalism and overall brand image of their company when greeting and directing visitors.
6. **Documenting financial information:** Another highly essential task that secretaries may take on is the documentation of expenses, earnings and other financial information. For instance, a secretary at a sales corporation might be responsible for documenting the revenue and sales numbers from the sales team's reports as well as the company's expenses and costs of operation. The secretary might then use spreadsheet software to organize financial data into specific financial reports for the company's CEO to analyze and approve.

7. **Maintaining and ordering office supplies:** Secretaries may also be the individuals responsible for keeping inventory records and maintaining office supplies. The secretary may also be responsible for putting in orders for supplies that are running out. For example, an office administrator might make a monthly spreadsheet to keep a running record of the number of supplies like copy paper, toner, pens, filing folders and other supplies to keep track of which supplies are needed and which supplies are sufficiently stocked.
8. **Organizing and conducting meetings:** Along with scheduling meetings and conferences, secretaries may also take on the responsibility of organizing and conducting meetings. For instance, an executive secretary for a CEO of a retail corporation might organize a meeting with clothing designers, fashion brands or other professionals in the industry. Then, the secretary may conduct the meeting by discussing the important points of the conference and taking notes for the CEO and other decision-makers at the company. Secretaries can be a vital team member in performing these types of tasks, as executives, directors and other high-level professionals may sometimes be unavailable in similar circumstances.
9. **Assisting executives with project tasks:** Sometimes a secretary can be invaluable in assisting their supervisors with completing small tasks as part of larger projects. For example, a secretary for a lead marketing director might assist by organizing reports, printing documents or preparing a presentation. Because of the range in tasks a secretary might perform, this type of professional must possess a wide range of soft and hard skills to succeed in the role.
10. **Supervising staff and new employees:** Secretaries might also be the mentors who work with staff when implementing procedures and when training new employees. Because of their knowledge and experience with their companies, many secretaries help lead staff and new hires in developing their skills, following company protocol and learning about the overall company environment. As an example, a legal secretary might take on mentoring a newly hired paralegal and show them how to use the firm's computer and filing systems, how to organize casework and documents according to policy and the methods staff uses to complete tasks and handle clients.
11. **Coordinating with other organizations:** Secretaries also work to coordinate and form relationships with other businesses and

organizations. For instance, a secretary for an engineering firm might be the liaison that connects with contractors, designers and other engineering organizations to set up conferences, purchase resources or form business partnerships.

- 12. Implementing administrative procedures:** Secretaries might also play a role in developing and implementing company policies and various administrative procedures. For example, a medical secretary may develop a procedure for documenting patient treatment plans that includes following a set of steps to document medical information in a database. The secretary might then implement this new procedure by training nurses and staff on how to carry out the directives of the policy.

Because secretaries can take on a variety of different tasks and responsibilities, it can be crucial for secretaries to possess a wide range of skills like administrative skills, communication skills, customer service skills, technical skills, analytical and problem-solving skills. Secretaries may also rely on leadership skills to organize and direct office staff and procedures.

2.4 RESPONSIBILITES OF SECRETARY

Main responsibilities of the Secretary.

The responsibilities of the Secretary of a Management Committee are outlined below:

1. Ensuring meetings are effectively organised and minuted.
 - Liaising with the Chair to plan meetings.
 - Receiving agenda items from committee members.
 - Circulating agendas and reports.
 - Taking minutes (unless there is a minutes secretary).
 - Circulating approved minutes.
 - Checking that agreed actions are carried out.
2. Maintaining effective records and administration.
 - Keeping up-to-date contact details (i.e., names, addresses and telephone numbers) for the management committee and (where relevant) ordinary members of the organisation.
 - Filing minutes and reports.

- Compiling lists of names and addresses that are useful to the organisation, including those of appropriate officials or officers of voluntary organisations.
 - Keeping a record of the organisation's activities.
 - Keeping a diary of future activities.
3. Upholding legal requirements.
- Acting as custodian of the organisation's governing duties.
 - Checking quorum is present at meetings.
 - Ensuring elections are in line with stipulated procedures.
 - Ensuring organisation's activities are in line with its objects.
 - Ensuring charity and company law requirements are met (where relevant, unless there is a separate company secretary).
 - Sitting on appraisal, recruitment and disciplinary panels, as required.
4. Communication and correspondence.
- Responding to all committee correspondence.
 - Filing all committee correspondence received and copies of replies sent.
 - Keeping a record of any of the organisation's publications (e.g. leaflets or newsletters).
 - Reporting the activities of the organisation and future programmes to members, the press and the public (unless there is an Information or Publicity Officer).
 - Preparing a report of the organisation's activities for the year, for the Annual General Meeting.

Use the links below to access further articles and resources which will help you understand the role of the Secretary and prepare your own role description or person specification.

Company Secretary

Since April 2008, private companies are no longer required to have a Company Secretary, but Companies House needs to be informed if no Company Secretary is appointed and you must ensure this complies with your Articles of Association.

If your organisation is incorporated as a limited company (e.g. Company Limited by Guarantee or a Community Interest Company),

you may also have a Company Secretary*, which is different from the role of an honorary secretary. This post carries greater responsibility than an honorary secretary to ensure that the requirements of Company Law are met.

2.5 USAGE OF DIFFERENT DEVICES

The modern office has changed dramatically since the 1990s. Offices in today's society are transmitting information via electronic mail (e-mail), electronic calendars, and teleconferencing, as well as other electronic devices. Communication via technology is just as important as oral and written communication in the work environment. Technology continues to play a vital role in transforming the business environment.

Today's modern offices are substantially different from the office environment of 20 years ago. Sweeping changes have occurred at the workplace as a result of new office technology and automation of office equipment. New technology is changing the scope of what's considered an office. Offices inevitably adopt newer technologies that get more work done with fewer people, and there's pressure to keep a modern, professional image by staying on top of the latest tech trends.

The need for high productivity and maximization of profit has led to the wide use of modern machines in most offices. There has never been a greater need for efficiency in business than there is today. All kinds of business must employ modern methods of gadgets or equipment in offices to meet the challenges of today's world. As an office staff, the secretary who is the image maker of the organization and from whom most information emanates, requires a great knowledge of Information and Communication Technology to perform efficiently on the job which would influence the speed of information delivery, production of job requested by the boss or organization within a short space of time, make less mistakes and high productivity on performance of job.

This mechanization of office work has come as a result of need for greater speed and accuracy. The characteristic picture of modern office is the successful integrated use of machines and equipment into what is called system. New information systems can be powerful instruments for organization change enabling organizations to redesign their structure, scope, power relationships, workflows, products and services. These machines and equipment are grouped or linked together to achieve a common purpose.

2.5.1 Brief Overview of Office Equipments

Office equipment refers to the machines used for the efficiency of workers in the office. Office equipments free workers from many of the routines and time-consuming tasks done manually. These are categorized into three accounting, secretarial, and general.

- a. **Accounting Machines:** They are either operated manually or electrically. Accounting machines are used for posting the ledger cards, writing cheques, receipts and preparing the payroll. Some accounting machines are calculators, electronic calculators, adding machines other basic accounting machines are book-keeping, electronic billing, and electronic alpha-numeric accounting machines.
- b. **Secretarial Machines:** They are machines used for secretarial office routine. They include typewriters, franking, and reprographic machines. Others are Dictaphone, automatic time-and-date stamping machines envelope sealing machine, jogger, shredder, etc. Typewriters are either manually or electrically operated. Franking machine is used to print stamp impression on envelopes without the use of adhesive stamps. Reprographic machines are photocopier, spirit or ink duplicating machines.

Chief executives make use of Dictaphone to dictate messages for secretaries to type on either computer or typewriter. The automatic time and data stamping machine is used to print the impression of the time and date of receipt on office correspondence. The envelope sealing machine moisturizes the flap of envelope before sealing it. The jogger is used to collate papers before binding. A shredder is used to destroy unused office document into unreadable forms.

- c. **General Office Machines:** These are generally used in the office. They include computers, fax, offset litho and laminating machines. Computer processes data and it is most commonly used in offices. There are desktop laptop and series of other forms of computers in offices today. The fax or facsimile facilitates the dissemination of information and diagrams over telephone wires through facsimile telegraphy. Documents are scanned by a beam of light and an identical image is reproduced on the other fax machine operated by another subscriber at the other end. The offset litho is more of printing machine. It is good for producing staff magazine, inter-office memoranda, etc. The laminating machine is used for protecting documents against moisture, dirt, creasing and tampering

by the use of cellophane. This is done through the heat process. The machine seals the document automatically for durability.

2.5.2 Brief List of Modern Office Technologies

- a. **The Computer:** Everybody knows what a computer is. It can simply be defined as an accurate electronic device that performs calculations and processes information at great speed. Computers come in different sizes, shapes, capacities, etc. We have desktops, laptops, and palmtops. The computer is used in medicine, engineering, architecture, education, banking, etc.
- b. **Telephones, Mobile and Land:** The land line is the most basic office communications tool used by secretaries. The most popular mobile phone used in the business place is the GSM Global Systems for Mobile Communication.
- c. **Fax Machine:** Just like the telephones, the fax machine transmits information, but in text or document format.
- d. **Internet (www, e-mail, search engine, etc.):** This is an intangible facility on the computer. WWW stands for worldwide web and it is a collection of information in multimedia form on the internet. This information is stored at locations, called websites, in the form of web pages. Websites are an effective way of distributing information, such as advertisements, technical information, comments, ideas, etc. Other applications on the internet are chatting for simultaneous communication between people and the use of a web camera for seeing while chatting. Search engines like Google, yahoo, msn, etc. are used to find information on the internet looking through millions of sources all over the world.
- e. **Teleconferencing:** This facility, usually embedded in the telephone technology, allows more than two people to communicate via phone at the same time. This makes it possible for people in different cities to hold meetings together.
- f. **Video Conferencing:** This facility usually makes use of the internet with or without the telephone and allows visual and speech communication among several people at the same time. Like teleconferencing, it enhances remote communication. For example, your colleague in America can remotely participate in a meeting held in Ghana where by he sees and hears everybody who attends the meeting in Ghana as he makes his own contributions.

- g. **Scanner:** This machine is used to convert hard copy documents into soft copies to later be transmitted from one place to the other via the internet. This format can include colors, unlike the typical fax machine.
- h. **Printers and Photocopiers:** Printers are used to convert our documents from soft copy formats to hard copies and photocopiers are used to make additional copies of such documents.

2.5.3 Summary of the Advantages of Office Equipments

Information that is the most important to the office can be stored, processed, and retrieved by computer facilities.

- They can be used to produce fast and accurate information.
- They provide very cheap services.
- Messages can be sent to many people simultaneously.
- Security of information is assured.
- Time, effort and money are saved.
- Stress is minimized.
- Space is saved as little or no paper is used in the office.

2.5.4 Meaning and Types of Mail

Mail is a form of written communication sent out or received in an organization with the help of an agency. The agencies which may help in transmission of mail are

- Internet (E-mail)
- Fax Machine
- Post Office
- Special Messenger
- Courier etc.

In big organizations, a separate Mailing Department is set up to handle various mailing operations. However, in small organizations, a Professional Secretary has to take care of handling mail in addition to other secretarial functions. A Private Secretary or an Office Manager generally plans mail handling work in an organization. Systematic planning of mail handling ensures that mailing operations are carried out efficiently and effectively without delay. It also helps to ensure that

- a) Every mail received or generated in the organization gets due attention.
- b) There are no last minute hassles.

- c) Judicious use of Mail Room Equipment.
- d) Selection of proper agency for transmission of mail.
- e) Proper recording of mail.

Types of Mail

There are three kinds of mail received or sent out from an organization.

They include

- a) **Incoming (Inward) Mail:** Any type of written communication coming to an organization is termed as Incoming Mail.
- b) **Outgoing (Outward) Mail:** Written communication sent out or dispatched from an organization is called Outgoing Mail.
- c) **Inter-Department Mail:** The mail received or sent from one department to another department within the same organization is Inter-Departmental Mail.

In business houses, there is a defined procedure for handling of incoming and outgoing mail. Inter-Departmental Mail is handled by the executives according to their requirements and convenience.

2.5.4.1 Handling of Incoming Mail

Effective and efficient handling of all incoming and outgoing physical mail reflects efficiency of a Secretary. Post Office, Special Messenger and Courier Companies help in physical delivery of mail from one place to another. Post Office provides various facilities regarding domestic and international carriage of mail. Local mail of urgent nature may be sent with the help of a Special Messenger. Sending mail by this mode ensures quick delivery of mail along with its acknowledgement.

Now-a-days, Courier companies are also playing a vital role in delivery of mail due to various additional services they are offering to their clients. This has also become a popular mode of delivery of mail, whether local or international. However, today, the most frequent method of sending and receiving mail is electronic mail (e-mail).

In every organization, there are defined steps for physical handling of inward mail so that the mail could reach the concerned official without delay. These steps vary depending on the size and nature of the organization.

The following procedure is usually followed in handling of incoming mail if the paper mail is received manually/physically.

1. **Receiving Mail:** Paper mail is delivered once or twice a day by a Postman in an organization while mail from special messengers or courier companies keep pouring throughout the day. A Junior Secretary or Mailing Clerk is entrusted with the task of receiving the mail and providing acknowledgement of the receipt, wherever necessary. In case, the mail is to be received from Post Box or Post Bag, a person is deputed to collect the same from the Post Office once or twice a day.
2. **Sorting Mail:** After receiving the mail, it is necessary to sort the received mail so that mail marked as Private, Personal, Secret, Confidential etc. are not opened. This type of mail is directly delivered to the person concerned unopened. Important mail viz. court summons, tenders, confidential reports etc. is sorted out from the routine mail to accord priority in opening. Routine mail consisting of sales letters, catalogues, product literature etc. are opened at last. Trays or open racks with separate compartments are usually available in Mailing Department in which segregated mail is kept while sorting. Trays or racks used for sorting mail have the name of the departments clearly marked on them.
3. **Opening Mail:** A paper knife is generally used for opening envelopes. In case of large mail, a Letter Opening Machine is helpful as it improves efficiency and opens the mail neatly. While opening an envelope, it should be ensured that
 - a) Contents of the envelope are not damaged.
 - b) Before disposing off the envelope, nothing is left inside the envelope.
 - c) Enclosures are fastened if they are not properly tagged.

Sometimes, it is necessary to preserve the envelope received along with the mail. In such cases, the same is attached along with the letter.

4. **Examining Contents and Stamping Mail:** After opening the mail, a Secretary should briefly examine its contents. Examining of contents is done to again sort out the mail which needs immediate action so as to accord priority. Sometimes, there are certain letters which require time-bound reply and are to be dealt on urgent basis. Examining of contents of mail also help to know if any of the enclosures of the letter received are missing. In such cases, the facts are recorded on the letter.

All the mail received is date stamped to authenticate receiving of the same in the organization. It can be done with the help of a Rubber Stamp or an Automatic Numbering & Dating Machine. A specimen of date stamp normally used in an organization has the following details.

M/s Concept Technology, New Delhi

Date _____ Time _____

Diary No _____

Signature _____

5. **Recording Mail:** Recording of mail helps in tracing out any letter received in the office at a later date. An Incoming Mail Register is maintained to make a brief record of all the incoming mail. Incoming Mail Register is also called Diary Register or Dak Register.

An Incoming Mail Register has a column viz. Date of Reply to ensure that all the received mail has been attended to.

S.No./ Diary No.	Date	Ref. No. of letter	Name & Address of Sender	Brief Subject	Dept./ Official referred	Initials of Receiver	Date of Reply

Some companies do not carry out the practice of recording of mail as it is quite time consuming.

6. **Distributing Mail:** The recorded mail is segregated department-wise and immediately distributed to the concerned departments by a peon or messenger.
7. **Follow-up Action:** Every incoming mail which needs a follow up action should be quickly attended to by the concerned official. In business houses, it is ensured that every mail received should be disposed-off within maximum 3-4 days, wherever possible.

2.5.4.2 Handling of Outgoing Mail

Like incoming mail, speedy disposal of outward mail is equally important. Delay in sending mail not only results in loss of business prospects but also creates a bad image for the company. While on the other hand, quick replies of mail show the importance which has been attached to it. The following steps are generally followed in case of handling of outward mail physically

1. **Production of Mail:** The letters which are sent out of an organization are prepared and signed by an authorized person. Every

outgoing mail should bear a reference number which facilitates future reference of the same. The mail ready to be dispatched is usually kept in 'Out Tray' available in all departments.

2. **Collection of Mail:** All outgoing letters are collected twice a day by a peon deputed by Mailing Department for onward transmission. A Professional Secretary should ensure that the mail is collected timely so that it could be dispatched from the office without delay.

It is also the duty of the Professional Secretary to mention the preferred mode of dispatch of the mail. The Mailing Department or Despatch Section delivers the mail according to the instructions given on the mail.

3. **Recording Mail:** Every outgoing mail is to be recorded in a register called Despatch Register or Mail Outward Register. A specimen of the same is given below.

Outgoing Mail register/ Despatch register

S.No. / Despatch No.	Date	Reference No	Name & Address of Receiver	Subject	Mode of Delivery	Postage Stamps used		Remarks
						Rs.	Rs.	

Local Mail which is sent by a Special Messenger is recorded in a Peon Book.

A Peon Book has following columns

PEON BOOK

S.No.	Ref. No. & date	Name & Address of Receiver	Brief Subject	By whom delivered	Signature of Receiver along with date and time

4. **Writing of Addresses:** If the mail is to be sent in an envelope, the same should be selected of suitable size according to the size and paper(s) to be inserted in it. While writing address on an envelope, it should be ensured that the address should be written parallel to the length of the cover and in the lower half and towards the right-hand side thus leaving adequate margin at the top for the postage stamps and labels, postmarks and other indications.

Writing of correct, legible and complete address of the receiver on the outward mail is very important point to be taken care of by a Professional Secretary. The addressed Post Town should be written in

block letters with complete spellings (no abbreviations) along with the PIN (Postal Index Number) Code.

- a. **Postal Index Number:** It is a code in the Post Office numbering used by India Post. It is a unique 6 digit number, shortly known as PIN code. There are nine PIN zones in India, including eight regional zones and one functional zone (for the Indian Army). The first digit of the PIN code indicates the region. The second digit indicates the sub-region, and the third digit indicates the sorting district within the region. The fourth digit represents the route on which a delivery office is located in the sorting district. The last two digits represent the delivery office within the sorting district. Hence, with the use PIN code, speedy and accurate postal delivery is possible all over the country.

In case of addressing of large mail, an Addressing Machine can be used which saves a lot of time and energy of a Professional Secretary besides reproduction of correct address on the outgoing mail.

5. **Folding letters and inserting them into Envelopes:** Letters intended to be inserted into envelopes should be folded in such a manner that it has minimum number of folds according to the size of the envelopes. Letters and enclosures must be folded together.

Folding and Inserting Machines can be used to make the task easy for a secretary in case of handling of large outgoing mail.

6. **Sealing of Envelopes:** The next step is to seal the envelopes to secure the contents of letters. The mail containing financial documents, registered and insured articles should be sealed carefully. Book Post mail mostly consisting of Product literatures, catalogues, price lists etc. are sometimes not sealed for the convenience of the receiver.
7. **Affixing Stamps on Envelopes:** On the outgoing mail to be sent through Post Office, postage stamps of required denominations are to be affixed as per the prescribed rates. The mail is weighed to calculate the correct amount of the postage stamps. Overstamping and under-stamping are to be avoided at all costs. Franking Machines are commonly used by offices for stamping the outgoing mail.
8. **Posting Mail:** Posting of Mail is the last step in the procedure of handling of outgoing mail. Letters intended to be sent through Post Office are sent by a peon to the nearest Post Office. Mail marked as Registered, Speed Post, Insured etc. are submitted at

the counter of the Post Office and a proof of delivery of the mail is obtained. Local mail which is to be sent through special messenger is handed over to the concerned person along with Peon Book. Courier Mail is handed over to the representatives of courier companies, whenever they arrive as per the specified time schedules.

2.5.4.3 Handling of Electronic Mail

Electronically, mail can be received or sent out with the help of computer, fax, mobile phone etc. via a network. This type of mail does not have any elaborate handling procedure. The mail is mostly addressed by name on individual's e-mail address or number. E-mail messages received on organizational e-mail address are directly delivered to the person concerned for further action.

Electronic Mail or E-mail messages may be sent to one or more recipients at a time. An e-mail message consists of two parts: the message header and message body. The message header contains space for email address (s) and subject. The content of the mail is written in the message body. The mail is easy to compose and transmit just with a click of button. It is generally received and sent from an individual's e-mail address in an organization.

E-mail has given rise to concept of paperless office because of the following advantages

- Speedy delivery
- Economy
- Security
- Feasibility of sending bulk mail
- Possibility of use of pictures, demonstrations etc.
- Automated record management

The problems which may be associated with e-mail include threat of virus, hacking of mail, crowded in-box etc. However, with the various techniques, it is possible to deal and overcome all these hazards. It is important that inbox of mail should be checked-in regularly.

Due to exponential growth of mail volumes, Digital Mail Rooms are set up now-a-days in organizations. In such Mail Rooms, documents are scanned, archived and retrieved in original image format. Electronic mail formats, fax etc. can also be combined while document processing. The setting of Digital Mail Rooms has reduced decision making cycles, saved paper costs and rationalized circulation of information.

2.5.4.4 Mail Room Equipment

Various mechanical equipment is used to handle the incoming and outgoing paper mail efficiently and effectively. Use of the mechanical devices also helps to reduce monotony and increase accuracy of mailing operations.

Equipment and machines in Mail Room has following advantages:

- Increase in the speed of operations.
- Saving of time.
- Improvement in efficiency and accuracy.
- Elimination of wastage.
- Simplification of fixing of postage and avoidance of misuse of postage stamps.

The following Mail Room Equipment is commonly used in a large organization

1. **Letter Opening Machine:** With the help of a Letter Opening Machine which operates manually or electrically at a great speed and can open 100 to 500 letters per minute, work of opening of mail can be efficiently managed. It has a rotary knife which shaves off a very thin slice of the edge of envelopes. While using the machine, one should be careful that the contents of the envelope are not damaged.
2. **Numbering and Dating Machine:** An Automatic Numbering & Dating Machine is used for stamping on the incoming mail. In this machine, the next serial numbers and date automatically changes after every use with the help of self-inking stamp pad.
3. **Folding and Inserting Machine:** A Folding Machine can fold approx. 5,000 to 10,000 sheets per hour. It is possible to fold and insert letters into an envelope with this machine. The machine is to be adjusted as per the required number of folds according to size of envelope.
4. **Sealing Machine:** Sealing Machine helps in automatically moistening the flaps of an envelope and then sealing the same. Sealing with wax can also be conveniently done with the help of this machine. Hand operated sealing machines can seal about 100 envelopes a minute while electrically operated ones can operate at a speed of 15000 envelopes in an hour. The work of sealing of mail can be performed very neatly and efficiently with the help of this machine.

5. **Mailing Scale:** A Mailing Scale is used to weigh outgoing mail and ascertain postage stamps which are to be affixed on it. Digital scales at a very economical price are widely available in the market. It is essential equipment in Mail Room for performing mailing operations.
6. **Addressograph (Addressing Machine):** It helps in printing of addresses on envelopes, parcels etc. The machine is used when mail is to be sent to those customers which are regular and frequent on mailing list. It can be operated manually or electrically. In this machine, there is a ribbon to give print of the addresses from already prepared embossed plates. Once the address plates are prepared, it can be repeatedly used any number of times. The required plates are selected and fed into the machine from one side. After operating the machine, one can get the addressed envelopes from the other side.
7. **Franking Machine:** A Postal Franking Machine is a stamping machine intended to stamp impressions of dies of approved design on postal articles for payment of postage fee. A commission of 1 to 1.5 percent is permitted on the value of franks used.

The use of a Franking Machine except under a valid license issued by the Head of the Postal Division is prohibited. The franked articles are tendered at the counter of Post Office and each consignment must be accompanied by a Window Delivery Ticket for identification of the licensee's representative.

The impressions of the franking machines recorded on postal articles should not be interfered with in any way. Impression should be of bright red color, clear and distinct and should not overlap. As far as possible, it should be on the right top corner on the address side of the article itself or an address wrapper or an address label firmly attached to it. Franking is allowed up to any amount.

The main benefits of using the machine include less risk of misappropriation of postal stamps, avoidance of errors in stamping and simplification in keeping the account of stamps used. Department of Posts have also introduced Remotely Managed Franking Machine in place of Electronic Franking Machine with security features like generation of 2D barcode with franked impression and elimination of human intervention for up-loading credit in Franking Machine.

Now-a-days, business houses use Mail Accounting Software to manage postage expenses. The software helps in collecting, maintaining and reporting mail accounting data. It also helps in tracking and better

controlling of business mail expenses. As physical handling of incoming and outgoing mail is quite time consuming and monotonous job, the mail room equipment discussed above helps a Professional Secretary to overcome these limitations and handle mailing operations in the most effective and efficient manner.

2.6 FLOW CHART

Flow of work is concerned with the way work move along with one operation to another. It denotes the volume of work going through the rate at which it moves along and the smoothness of its passage.

The flow of work aims at greater efficiency in every office activity, so that costs are cut down and delays are eliminated. Flow of work is a problem to be solved by the managers.

Flow charts are prepared for the purpose to know whether the flow of work is ideal or there is scope for improvement. The following types of flow charts can be used for analysis.

- a. **Office Layout Chart:** This chart analyses the flow of work of each part of office and eliminates waste motion & back tracking. In the chart, lines are drawn to indicate the movement of office forms and documents from operation to operation.

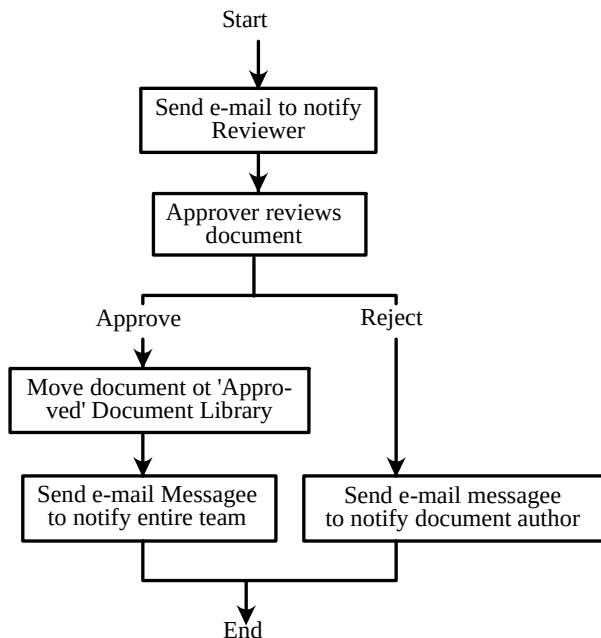


Figure-2.1: Layout chart

- b. **Flow Process Chart:** Process chart is also known as work simplification chart. By using certain standard symbols, the chart shows the flow of work under a specific procedure. Presentation and reading is easy because the charts are more graphic with symbols.

It helps to simplify the work. These standard symbols have been developed by the American society of mechanical engineer, New York.

-  Transportation (Passing the work along or sending it to some other places)
-  Inspection (checking, comparing, or reviewing the work)
-  Operation (doing the work like typing posting entry and etc.)
-  Delay (delay due to interruption, bottlenecks, changeover, etc)
-  Storage (Holding the work for any reason)

- c. **Management Type Flow Chart:** Management type flow chart is fully illustrated chart and each operation or steps involved are described in short and descriptive sentence. The chart is written and read horizontally from left to right.

2.6.1 Straight-Line Flow of Work

Smooth flow of work can be ensured by the use of straight-line flow of work method. This method is applicable for the factory as well as the office. It can be described as the method, in which the work flows, while progressing from one operation to another, it should follow a course approximating as nearly as may be possible in a straight line. In order to avoid the wastage of time, effort and delay in the flow of information, the work must always move forward and in a straight-line.

Benefits of Straight-Line Flow of Work

The following are the list of benefits of Straight-line flow of work

1. **Greater Speed:** The speed of work increases greatly, since the movement of work is over the least area.
2. **Lesser Messenger Work:** Since the work is flowing in a straight-line, the desks can be arranged in a straight-line, the distance

between the different operations is small and the papers or files are passed over from one desk to another by the clerks is easy. It reduces the messenger work.

3. **Less Loss of Papers:** In this method, papers are rarely mislaid or lost as they are handled in a systematic manner.
4. **Use of Conveyors:** In certain organization conveyors are used to transfer the files from one place to another, such an arrangement helps to speed up the work.
5. **Keeps Executives and Clerks at Their Desks:** As the work moves in a straight-line, this method avoids moving here and there unnecessarily and makes the employees to sit in their chair to do the work.

2.6.2 Problems in Smooth Flow of Work

Smooth flow of work faces number of problems, which must be tackled in order to improve the efficiency of office routine. It can be solved only by the managers. The problems are outlined below

1. **Unequal Flow of Work:** The work in the office cannot be equal throughout the day, the week or the year. The work may be heavy on particular day in a week or it may be heavy during a particular period. For example, there may be greater incoming mails in the morning and on Mondays. The problem of unusual flow of work can be solved by collecting relevant statistics and their analysis.
2. **Interruptions to Work:** The interruptions to work are internal or external. Internal interruption may be caused by lack of materials with which to work, information needed is not available or because of change of work through change of plan, etc. External interruptions to work may be caused by outsiders calling the employees and external telephone calls.
3. **Unequal Times Needed for Different Operations:** This is the major problem in the flow of work where, different operations of a job need different time to complete. For example, the sequence of operations for the first operation may require one minute, while the next may require three minutes.
4. **Lack of Standard:** Steady flow of work may also be affected, if the work to be done by an individual that can not equal to the standard fixed. In the absence of standard, some employees may over burden with heavy work while the others may have less work.

5. **Lack of Planning and Scheduling:** If the office manager does not plan and schedule the work before time, it is not possible to do the work quickly or not to do the work within the allotted time.
6. **Faulty Layout:** Steady flow of work may be affected if the layout of the office is not made according to a well-developed plan. Criss-crossing and back tracking procedure will affect the flow of work.

2.7 OFFICE MANUALS

The office manual contains the details of the work to be performed in an office and other important particulars of the organization. It is the source of information, knowledge of which is essential for the performance of the work. It may be in the form of a book or booklet and contains the information which benefits the office staff. If Office employees are supplied with copies of office manual they do not have to approach their superiors again and again. Therefore, they do not interrupt the work of their superiors and there is no wastage of time to office employees (new entrants) as well as to executives (Superiors).

Office manual is useful to the employees, especially new joined, to understand the work without any difficulty. The office manual contains the details of the whole office work such as standard practices, current practices, instructions and organizational policies in such a form that they are easily and readily available to the office personnel for reference and guidance.

Meaning of Office Manual

An office manual means a handy form of book or booklet containing information relating to the policy, organization system, routines and procedures, methods and standards and the rules and regulations regarding employment.

An office manual is prepared to help the employees know all relevant information regarding the organization, its set up i.e. structure and how he fits into it.

2.7.1 Definition of Office Manual

According to **George R. Terry**, An office manual is a “written record of information and instructions which concern and can be used to guide the employee’s efforts in an enterprise”.

Also, an office manual has been defined as “a document disclosing the information about an organization, its set up, conditions of employment,

and the established systems, routines, procedures, methods, standards, rules and regulations of an office operation.”

2.7.2 Need for Office Manuals

A large size organization has a number of branches or departments or sections or divisions. Thousands of employees are employed in large size organization. Hence it is very difficult to control the employees by the management. If instructions or guidelines are given in writing to the employees, the management can control the employees very easily and avoid misunderstanding of employees. Office manuals help the management and the employees in various ways.

1. Employees understand their position, duties and responsibilities in an Organization.
2. Employees understand their role in the achievement of office Objectives.
3. There is a possibility of maintaining good relations among the employees by themselves.
4. Both existing and new employees freed the management in getting the same information, explanations and instructions repeatedly.
5. The concerned employees are held responsible if the duties are not performed by them in a specified manner.
6. Delegation of authority can be enhanced throughout the organization set up without much difficulty.
7. Each employee can understand the extent of authority delegated to them.
8. New employees are getting training with the help of office manual by knowing policies, practices, systems, routines and procedures.
9. Office manual is imparting refresher training to existing employees.

2.7.3 Types of Office Manuals

1. **Policy Manual:** Every organization has its own policy which is served as basic guide to action. The entire activities of an organization are fully guided by policy manual. A policy manual contains decision, resolutions and directions of the board of directors stating the policies of the company.
2. **Organizational Manual:** The organizational manual describes the organization structure. The duties and responsibilities of each

employee in department wise or section wise or division wise are explained along with the line of authority and responsibilities connected with them. Each employee can understand the relationship with others. Sometimes, a separate manual is prepared for each department in case of multinational companies.

3. **Administrative Practice Manual:** Standard methods and procedures for effective performance of work are given in this manual. Separate methods and procedures are given for each department specifically, if needed. This manual also contains guidelines and instructions on education required to an employee and training to employees, format of correspondence and reports, and the inter-relationship of office employees.
4. **Departmental Practice Manual:** This manual deals with policy of the concerned department, methods and procedures followed in the concerned department. This type of manual is prepared for each department separately.
5. **Mailing Manual:** A mailing manual gives detailed instructions in all phases of handling both incoming and outgoing mail. The letter drafting procedure is also given in this manual.
6. **Filing Manual:** The names of the files to be maintained in an office are given in this manual. Besides, the preparation of title and its maintenance are also clearly discussed.
7. **Rules and Regulations Manual:** Rules and regulations are very much important to every office employee. Everybody should work according to the rules and regulations. Various types of leave are availed by the office employees. The number of such leave and their availing procedure are given in this manual.
8. **Historical Manual:** An employee should know something about his enterprise. This manual contains brief history of an enterprise. Name and address of the enterprise, founders, objectives for establishing such enterprise, circumstances under which the enterprise is established, capital required and contributed by the founders, registration, coverage of law etc are briefly discussed. This information is highly useful to new entrants in an office.
9. **Multi-Purpose Manual or Hand Book:** Some offices prefer to have a single manual instead of several manuals such as discussed above; If so, only relevant and important information are combined

in the form of a hand book. In such a way, multi-purpose manual is prepared.

The information included in a manual of one office may not be the same of another office. In other words, the contents of a manual are according to the needs and preferences of the concerned office.

2.7.4 Principles of Office Manuals

The following principles should be observed in preparing manuals.

1. Centralise all authority and responsibility for the office manual programme.
2. Write the level of the employees who is going to use the manual.
3. Prepare and revise the distribution list so that manuals are distributed among the employees without omission.
4. Use simple and direct Language.
5. The material should be arranged in simple manner without much complication
6. The matter should have proper cross referencing and indexing
7. Make use of charts and diagram.
8. Revise manuals constantly and highlight changes.
9. Periodic audit should be carried out.

2.7.5 Steps in Preparation and Writing of Office Manuals

A standard and an orderly procedure should be followed while preparing office manuals. If so, the prepared manual can ensure complete, accurate and comprehensive. The preparation is to be completed within a reasonable period of time. The following steps may be taken while preparing an office manual.

1. **Assigning an Individual or Formation of a Committee:** An individual is enough to prepare an office manual in small size organization. A committee has to be formed to prepare an office manual in case of large size organization. So, this formality is carried on according to the size of the organization.
2. **Preparing the List of Subjects Covered:** The responsible executives prepare the list of subjects to be covered in the preparation of office manual. List of subjects vary according to the type of manual preparation. The subjects and topics to be covered should be classified and arranged into logical headings and sub-headings.

3. **Receiving Ideas and Suggestions:** Ideas and suggestions have to be received from the managers of functional departments and supervisors as per the subjects covered. A time schedule is to be fixed for receiving ideas and suggestions.
4. **Verification of Ideas and Suggestions:** Received ideas and suggestions have to be tabled and verify the same. Irrelevant and impracticable ideas and suggestions have to be rejected with due care.
5. **Classification and Arrangement of Information:** The collected information and data have to be classified and arranged under each subject and write them up in subject-wise. The information and data included should be accurate and complete in all aspects.
6. **Prepare a Draft Manual:** A draft manual is prepared by considering the relevance of the concerned manual. A limited number of copies of such draft manual is typed or cyclostyled for circulation. A copy of draft manual is circulated among the office manager, functional manager, union representatives and top management executives for their criticism. Such criticism is used for the betterment of the preparation of office manual.
7. **Revision of the Draft Manual:** Suggestions and criticism have been incorporated in improving the manual by adding new points or deleting some points. The style and standard of language can be improved by the process of revision of the draft manual. As far as possible, short sentences and words can be used. The language should be simple and direct.
8. **Submission for Approval of Top Management:** The revised manual has been placed before the top management for approval. Approval of top management is necessary before the production of the manual.
9. **Mechanical Production of the Manual:** Arrangement for the production of the manual should be made after the draft is approved by the top management. The type of production of manual is depending upon the number of copies required. Details regarding size, paper cover and binding should be considered before the actual production of manual. The manual should preferably be in a booklet form.
10. **Distribution of Office Manual:** Copies of office manual are distributed among the employees of an organization on need basis.

A few copies are maintained as spare copies which will be used for the future reference and further revision of the manual.

2.7.6 Advantages of Office Manuals

The advantages of Office Manuals are

1. It contains printed instructions and all the important decisions for the execution of the work, so the employees don't want explanation for the work again and again.
2. It gives readily available printed instruction about system, procedure and duties existing in the organization, so it is easy to train the employees.
3. In large organization which is having many branches, similar type or uniformity of activities can be performed if they have manual
4. The entire work of an office is brought together, studied, examined and incorporated in office manual, so that the activity having less importance can be eliminated.
5. It helps the executives to take decision promptly by referring instructions and policies contained in printed form.
6. When the rules and regulations are in the written format it is easy for the employees to get an idea about their responsibility, duties and authorities. It helps to improve good relation between the employees.
7. When the employees are transferred from one office to another office, with the help of manual they can start their work without delay.

2.7.7 Disadvantages of Office Manuals

The disadvantages of Office Manuals are

1. To keep the manual up-to-date is a difficult job
2. It is costly and time consuming process, so it is difficult to have manuals in small firms.
3. If simple words are not used in manuals the employee reading can misinterpret it.

2.7.8 Revision and Distribution of Office Manuals

Revision of Office Manuals: Manuals must be revised from time to time. It is necessary to keep them up to date. In revising manuals the following factors should kept in mind.

1. The responsibility of revising manual is in the hands of the department that created it.
2. It is necessary to revise the manual as frequent as practicable.
3. Where no provision has been made to revise manual and the responsibility of revising them is not fixed, manuals should be discarded.

2.7.9 Distribution of Office Manuals

Office Manuals are useless unless they are properly distributed amongst employees for whom they are meant. In fact, it is they who would be responsible for carrying out the instructions and ideas given in the manuals. Organization manuals may be distributed only amongst the major executives and in rare cases amongst those with lesser responsibility. The different departmental practice manuals should be distributed to departments and employees directly affected by them.

2.8 COORDINATING DIFFERENT WINGS OF AN OFFICE/ ORGANISATON

The duties of a secretary to the office have an early start. As the secretary belongs to the top management group he is in the process of overall policy-making including the policy in respect of office administration. The composition and functions of an office largely depend on the nature and extent of the functions of the orga-nisation.

The secretary is an advisor to the management and generally he is entrusted with the administrative part of management as a whole so he/she is cordinate the different departments by following below duties.

(A) Planning and Organizing: Planning for and organising the office, which are the functions of the top management group, may be entrusted on the secretary.

Such functions are:

- (1) The primary duty of the secretary is to prepare the Organisation Chart for the office, determining the different positions to be held and their levels. At the same time job grading has to be finalized. The number of employees has to be estimated by him and a recruitment policy also to be decided. Together with the Organisation Chart an Office Manual also has to be prepared clearly defining the authority of each position and its functions.

This is very helpful to avoid

- (a) Indetermination and confusion,
- (b) Overlapping of authority and
- (c) Conflict among the members of the staff.

With planning also comes, preparation of budget for the establishment cost of the office, both present and future.

- (2) The secretary will now decide what system should be followed in office organisation a system of centralisation or a system of decentralisation. A wise blending of the two systems will be ideal.
- (3) Next comes the lay-out of the office. Definitely the modern open type of lay-out will be preferred by, the secretary. Much depends on the system to be followed and the shape and size of the available accommodation.
- (4) Now the stage is set for the secretary for establishing and running the office. Recruitments have to be made and equipment of all types have to be procured under his supervision and guidance.
- (5) The secretary will divide the office into functional departments, man the departments and assign duties to the members of the staff. Appropriate authority together with corresponding responsibility will be delegated to each member of the staff. If necessary, training will be arranged for them.

- (B) Supervision and Control:** Supervision and control are not identical terms. Supervising means just overseeing whether the subordinates are doing their duties or not. Generally it is done by the office manager. Controlling is a bigger function.

It entails:

- (a) Fixation of standard of performance;
 - (b) Evaluation of actual performance;
 - (c) Verification of actual performance with the standard;
 - (d) Rectification of errors, if any, so that they are not repeated.
- (1) The secretary is more than a mere office manager and so he has both the duties to perform-supervision and control. When there is no office manager, he may be assisted by supervisors. He may not have control over the departmental managers like production manager, marketing manager, etc. who are doing the main functions and known as 'line' people. They may be under the General Manager.

But the 'staff' people who are the heads over the service functions like the Personnel Manager, Finance Manager, etc. are generally under the direct control of the secretary. Whatever may be the case, the secretary has to control and coordinate the different clerical functions connected with the general or centralised office.

- (2) He has to maintain a continuous liaison between the top management and the other employees of the organisation as well as with the Government and the outside people interested with the concern. He has to maintain liaison between the organisation and the public at large. This he carries on from the office.
- (3) He has to maintain a coordination between the head or the main office and those of the branch or divisional offices, if any.
- (4) He has to maintain continuous supply of office equipment.
- (5) He has to do filing of all statements and documents as required under his statutory duties.
- (6) He has to arrange all meetings required under statutes or otherwise and do all the needful for the meetings. Meetings may be held at the office or elsewhere.
- (7) He has to apply his mind for the improvement of office functions through O & M study and out of his own.
- (8) He has to apprise the top management about the functioning of the office and submit oral or written reports with or without recommendations on the same.

- (C) **General:** Sometimes, specially in case of a society or association or a small-size concern, much of the clerical functions are directly handled by the secretary himself. Generally, most of the outgoing letters are signed by him. In some offices, the practice is that the incoming mail will go to the secretary first who will look over the papers before they are being distributed among the respective departments.

2.9 MEETING - MEANING, IMPORTANCE AND TYPES OF MEETINGS

A meeting may be generally defined as a gathering or assembly or getting together of a number of persons for transacting any lawful business, discussing certain matters of concern, making recommendations or taking decisions. In other words, a meeting is “any focused conversation which has usually a specific agenda.” There should be at least two persons to constitute a meeting.

Importance: In an organization, meetings help in smooth functioning of an organization. Basically, meetings may be organised to.

- Transact official business.
- Find solutions for problems.
- Exchange ideas, opinions, etc. for growth of business.
- Take decisions and make recommendations for the growth of business.
- Plan new schemes.
- Brief members on plans already made or proposals already finalised
- Discuss and make arrangements for a specific event.
- Review the progress being made on a particular front.
- Resolve conflicts, confusions and disagreements.
- Change the existing policies and procedures.
- Motivate staff by generating enthusiasm and positive attitude.

2.9.1 Types of Meetings

Broadly meetings may be categorized as

- Public Meetings
- Business Meetings

Public Meetings are those meetings which are open to the members of the public in general. These are generally held at some public place like a park or public hall. The purpose of these meetings may be to propagate some knowledge or belief. Notice of such meetings is served by announcements in the newspapers or by posters etc. Civic reception meetings, political meetings etc. are example of the public meetings.

Business Meetings are those meetings which are held by private bodies or associations in which affairs or business of the private body concerned are discussed. These are open to those persons only who are the members of that body or those who have been invited to attend. Business meetings may be classified as

- i) General Meetings ii) Committee or Sub-committee Meetings
- i) **General Meetings:** These meetings are for all the members of the body or organization concerned. At such meetings, the general business of the organization is transacted and discussed.

There are two types of general meetings

- Annual General Meetings and • Extraordinary General Meetings
- a. **Annual General Meeting:** It is a formal meeting that is held by companies once every year in order to deal with ordinary business. According to the Company Law, all companies are obligated to hold an Annual General Meeting (AGM) every year. In this meeting, the company's executives, directors, and shareholders meet for the purpose of transacting ordinary business. The Annual Report of the company is presented to everyone gathered at the meeting. Some of the other businesses transacted at Annual General Meetings may be the appointment of directors of the company, adopting of the budget for the next 12 months, dealing with the remuneration of auditors of the company etc. Before an annual general meeting is held, it is normally required that a 21 days' notice is issued.
- b. **Extra-ordinary General Meeting:** An Extraordinary General Meeting or the EGM is a meeting which is convened by the Directors of a company in order to deal with any special business that is so important that it cannot wait until the next Annual General Meeting

to be dealt with. These meetings do not have a regular time of occurrence and can be held anytime to deal with any urgent matter.

Because of the nature of these meetings, they are normally called on short notices. A minimum of 14 days notice is generally required for an Extraordinary General Meeting.

- ii. **Committee Meetings:** Committee Meetings are the meetings in which only concerned or elected members are invited to attend. For example, Governing Body Meeting, Sales Committee, Canteen Committee or Finance Committee Meetings etc. Committee meetings may take the form of problem solving meetings, innovation meetings, team meetings etc.

2.9.2 Requisites of a Valid Meeting

Every meeting needs to be planned in advance, so that it is successful. A meeting is said to be properly convened when proper notice of a meeting has been issued by a proper authority to all persons who have right to attend the meeting. Further, in a duly constituted meeting, there is a proper person in the chair to preside over it and the quorum is complete. The first step towards planning a meeting is that it must be properly convened and constituted. It is the duty of a PA/PS to know all the valid requisites of a meeting which are discussed below.

1. **Notice of a Meeting:** Notice of a meeting means advance information or intimation of a meeting so that the person receiving it gets an opportunity to prepare himself/herself for it. The notice of a meeting should contain the day, date, time and venue of the meeting. It must also indicate the purpose and nature of the meeting. If so required under the rules, copies of certain reports, statement etc., must also be enclosed or annexed to the notice. For example, in the case of an Annual General Meeting of the company, a copy of the

Balance Sheet and Profit and Loss Account of the company and Directors' Report have to be sent along with the notice. Issuing notice to all the members who are supposed to attend the meeting is mandatory and obligatory. The notice must be served in the manner prescribed as per the rules or constitution of the organization or body concerned. Notice should always be in writing.

Minimum notice period required for a meeting is also prescribed in the rules or constitution of the organization. For example, as also said above, in the case of an Annual General Meeting of a Company, the notice about the meeting must reach the members at least 21 days before the meeting. A private secretary should ensure that the notice is circulated to all the members within the stipulated time.

2. **Agenda of a Meeting:** It is a practice to send an agenda along with the notice to the members who have to attend the meeting. An agenda is a programme of the items of the business to be discussed at a meeting in the order in which they are to be taken.

The purpose of agenda is to let all the members of the committee or organization give adequate information so as to enable them, prior to the meeting, ponder over the items of business to be discussed. Agenda is prepared by Secretary in consultation with the Chairperson and the items of business dealt with at the previous meeting are taken into consideration. The Secretary should make a note of any matters requiring the attention of the members, so that these may be included in the agenda for the next meeting.

An agenda could be a part of the notice of the meeting or can be annexed along with it. When the agenda is given as an annexure to the notice or circulated separately it contains the following information:

- Name of the organization and date of circulation.
- The day, date, time and venue of the meeting.
- The items of business to be transacted at the meeting.
- The background paper or information, if any

Sometimes, the first item on an agenda is the “confirmation of minutes of the previous meeting” and the last item is “any other matter with the permission of the chair”. Other matters are arranged according to their importance. The routine matters are put first and then the controversial matters.

3. **Quorum of a Meeting:** The word “quorum” is derived from Latin word and may be defined as the minimum number of members who must be present at a meeting as required by the constitution or rules. No important decisions can be taken or business transacted in a meeting without a proper quorum. A meeting is not properly

constituted if the quorum is not present and any business transacted at such a meeting will be invalid. The main Purpose of having a quorum is to prevent a small minority from taking decisions which may be unacceptable to the majority of the members.

The number of members required to complete a quorum is given in the rules of the organization. For example, in the case of the meetings of the Governing Body of a College, it may be provided that quorum will be onethird of the total strength of the Committee.

4. Chairperson of a Meeting: In the context of a meeting, Chairperson is the person who presides over a meeting. The person in charge of a meeting or organization is referred to as the Chair or sometimes the Chairperson. These words can be used to refer to either a man or a woman. In other words, it is necessary to designate a chairperson to preside over and conduct the proceedings of a meeting in proper manner according to the rules and constitution. The other points of importance of Chairperson in a meeting are to:

- Approve the items to be discussed on the agenda.
- Manage the proceedings of a meeting and keep order.
- Conduct the business according to the agenda and constitution/standing orders/rules and keep the discussion within the prescribed limits.
- Deal with points of order.
- Provide guidance in the discussion and assist the meeting to make decisions by passing resolutions, amendments, etc.
- Take a vote or poll and declare the result.
- Do signature on the minutes and ensure that action is taken, as approved.
- Adjourn or postpone meetings.
- Exercise casting vote.

5. Motions and Resolutions: A motion is a proposal put before a meeting for its consideration and decision. The business of a meeting is transacted through motions. A motion must normally be written and handed to the Chairperson or Secretary before the meeting. A member, who wants to put a proposal, first of all secures the permission of the Chair and then introduces the motion. The mover

of the motion speaks of it and has the right of reply at the close of the discussion. A motion is then required to be seconded by another member, who is called the seconder. If there is no seconder, a motion is dropped and cannot be introduced again. However, no seconder is required if the motion is moved by the Chairperson.

After a motion is formally put before the meeting, the Chairperson asks members to express their views on it. Therefore, when put to a meeting, the motion becomes “the question” and when a decision is taken after discussion and is passed then it is called “the resolution”.

A resolution is defined as the formal decision of the meeting on any proposal put before it. A resolution if adopted and recorded in the minutes becomes the official decision of the meeting. Usually the rules provide for passing of two kinds of resolutions: ordinary resolutions and special resolutions.

A resolution which is passed by a simple majority of votes is called ordinary resolution. Simple majority means that the votes cast in favour of the resolution must exceed the votes cast against it. Special resolution is a resolution which is passed by a three-fourths majority. Votes cast in favour of the special resolution must be at least three times more than the number of votes cast against it. The matters for which special resolution must be passed are specified in the rules of the body concerned.

An amendment is a proposal to alter a motion by adding or deleting words. Before a motion is voted upon and adopted, an amendment may be proposed. It must be also proposed, seconded and passed in the meeting in the customary manner. When the motion of amendment is moved, seconded and accepted, discussion on the original motion ceases and discussion on the motion of amendment starts. After the discussion, it is put to vote and if it is passed, the original motion is amended

6. Adjournment of a Meeting: It means suspending the proceedings of the meeting either for a particular time or indefinitely. Subject to the articles, rules or constitution of an organization, the Chairperson, with the consent of members of the meeting, may adjourn it in order to postpone further discussion. If it is carried, the meeting is adjourned to the agreed date or indefinitely.

A Chairperson, can adjourn the meeting when there is no quorum or the meeting becomes so disorderly that it is impossible to transact the business at his own discretion. In other words, he/she can adjourn the meeting or a discussion for a bona fide purpose.

7. **Minutes of a Meeting:** Minutes of a meeting may be defined as a record of the proceedings of a meeting and are kept to preserve a brief, accurate and clear record of the business transacted. The term 'Minutes' in literal sense means a note to preserve the memory. The minutes of any meeting serves as an official record of what took place i.e. the points discussed and decisions taken during any meeting. One must be very alert and accurate in taking down minutes of meeting.

Before the Meeting, choose your medium carefully with which you will take notes, i.e. pen and paper, laptop, computer, or tape recorder. Also ensure that the same is in working order and have a backup facility in case of emergency. It is important to refer the meeting agenda to formulate an outline of minutes of meeting.

During the Meeting

- Get a list of committee members and pass around an attendance sheet.
- Note the time when the meeting begins.
- Don't try to write down every single comment - just the main ideas.
- Write down motions, which made them, and the results of votes, if any; also write down who seconded a motion.
- Make note of any motions to be voted at future meetings.
- Note the ending time of the meeting.

After the Meeting

- Type the minutes as soon as possible after the meeting, while everything is still fresh in your mind.
- Include the name of organization, name of committee, type of meeting (daily, weekly, monthly, annual, or special) and purpose of meeting.
- Include the time the meeting began and ended.

- Proofread the minutes before submitting to the executive for obtaining relevant signatures.

A draft is generally submitted to the Chairperson for approval before the final copy is typed.

2.9.3 Secretarial Duties Relating to Meetings

It must be understood that there is no direct authority and responsibility of a private secretary for convening and conducting a meeting. But it is one of his/her duties to assist the executive in the performance of all the secretarial work relating to meeting. Secretarial work relating to a meeting may be before, during and after the meeting. Before the meeting, a Secretary has to:

1. Ascertain the date, time and place i.e. when and where the meeting is to be held in consultation with the executive and take steps to make preparations accordingly e.g. booking of the committee/conference room, hotel etc.
2. Draft the notice and agenda and get it approved.
3. Get adequate number of copies of the notice, agenda and reports etc., if any, required to be sent along with the notice and send the same to all the members who have a right to attend the meeting.
4. Check in advance all logistics viz. air-conditioning system, blowers etc., in the meeting room and to arrange for public address system, OHP/LCD/Screen and other equipment that may be required and to see that sufficient number of chairs are made available in the meeting room keeping in view the number of invitees.
5. Book in advance necessary orders for refreshment and lunch.
6. Keep ready (i) the items of stationery such as writing paper, pen, pencil, (ii) spare copies of agenda, (iii) minutes of the previous meeting, (iv) the papers, reports, statements and other documents likely to be required at the time of the meeting including letters of apology received from the members unable to attend, (v) attendance sheets or register, (vi) any books of reference, standing orders etc.

Secretarial duties during the meeting are to:

1. Obtain signatures of the members present in the Attendance Book or on Attendance Sheets.
2. Help the chairperson in ascertaining the quorum.
3. Keep before the Chairperson the necessary papers, files and documents for ready reference and to distribute papers and documents, if any, to the members.
4. Read, if required, the notice of the meeting, apologies for absence, minutes of the last meeting and Auditors' Report etc., if directed by the Chairperson to do so.
5. See that refreshment is served properly.
6. Supply necessary information, if any, regarding rules of procedure, papers and documents required by the Chairperson while conducting the proceedings of the meeting.
7. Take notes of the proceedings of the meeting.

After the meeting, it is the duty of the Secretary to:

1. Prepare draft minutes and when approved, get the same typed in proper form.
2. See that the meeting room is left in good order, check the room for papers or personal items left behind by the departing participants, arrange to return borrowed equipment, to have unused supplies and exhibits picked up.
3. Arrange for carrying out decisions taken in the meeting and to ensure that proper intimation is given to those who are associated with given assignments.

2.9.4 Terms Relating to Meeting

Ad hoc Subcommittee: Ad hoc means 'arranged for this purpose'. An ad hoc subcommittee is appointed for the purpose of carrying out one particular piece of work, such as the arrangements for the visit of a VIP.

These committees are also called special purpose committee.

Addressing the Chair: All remarks must be addressed to the Chairperson and members must not discuss matters between themselves at a meeting.

Attendance Sheet: A record of people present at a meeting, usually provided at a sheet which is passed round for signature by members.

Casting Vote: A vote usually allowed to the Chairperson. A casting vote is used only when there are equal numbers of votes 'for' and 'against' a motion.

Convener: A person authorized to call a meeting.

Co-opted Member: A person who serves on a committee as a result of the committee's powers of co-option, i.e. the committee approves of the appointment of a co-opted member by a majority vote in order to engage the services of a person qualified to assist them in their work.

Ex-officio Member: A person who is a member of a committee by virtue of office.

Memorandum and Articles of Association: These are regulations drawn up by a company setting out the objects for which the company is formed and defining the manner in which its business shall be conducted respectively.

Point of Order: A point of order is a question regarding the proceedings of a meeting or a query relating to the standing orders or constitution of the meeting. For example, a member may draw the attention of the Chairperson to the fact that there is no quorum or the motion put before the meeting is not within the scope of the meeting or there is use of improper language or indecent behaviour. When a point of order is raised, debate on the main motion will stop. The Chairperson will give his decision at once which will be final and binding. After the settlement of the point of order, discussion on the main motion will start again.

Poll: Poll is the term given for the method of voting at an election and in a meeting this usually takes form of a secret vote by ballot paper.

Proxy: A person appointed to attend a meeting and vote on behalf of a member who is unable to attend.

Rider: A rider is an additional clause or sentence added to a resolution after it has been passed.

Standing Orders: These are the rules compiled by the organization regulating the manner in which its business is to be conducted. It may also have the title 'constitution'.

Status Quo: It is used to refer to matter in which there is no change.

Teller: A person who counts the votes at a meeting.

Web Conferencing: Web conferencing enables the real-time sharing of computer screens, individual applications or web-based content among two or more computers or mobile devices. It works the same way in the virtual world as it does the real world. Web conferencing platforms may be internet based and delivered via software, which enables the users to hold live meetings and conferences.

Web conferencing also covers online collaborative services like web seminars ("webinars") and webcasts (it is considered to be a video broadcast of an event transmitted across the internet).

Ultra Vires: Beyond the legal power or authority of a company or organization.

Unanimous: When all members of a meeting have voted in favour of a resolution, it is said to be carried 'unanimously'.

2.10 SERVICES PROVIDED BY BANKS

a) DEPOSITS

- i. **Current Deposits (Demand Deposits) Account:** It is a running account for a businessman with minimum number of restrictions. One can make any number of deposits and withdrawals in a single day. A bank grants overdraft facility in this account.
- ii. **Saving Deposits Account:** It is an account opened by a person who wishes to save some part of his income for meeting the

unforeseen expenses and also future needs. It is also a source of income on the savings made by him. This account provides a nominal rate of interest and a person can deposit as many times in a day. All the entries of deposits made and withdrawn are entered in a small book called Pass book. The specified rate of interest given by the bank on the amount deposited in the saving bank account keep varying.

This rate of interest is fixed by Reserve Bank of India. It is around 4% currently. To open this account, one has to complete all the formalities required by the Bank such as photograph of the person, Aadhar card, residential proof etc.

- iii. **Fixed Deposits (Time Deposits):** These types of accounts are for a fixed period. The depositor can deposit the money in fixed deposit for a specific period and the interest earned on this deposit is taxable at current tax slab. The rate of interest is more than saving deposit account and the interest is payable on the maturity of account. The rate of interest differs from bank to bank and also depend upon the amount of deposit.

The higher the amount of deposit for a longer period, the higher is the rate of interest.

- iv. **Recurring Deposit Account:** It is also called Term Deposit which can be opened for a specific period and a specific amount is deposited every month during that term of period. On this deposit, the rate of interest given is slightly less than fixed deposit which is given on the maturity of account.

- b) **ONLINE BANKING:** Online banking, also known as internet banking, e-banking or virtual banking, is an electronic banking system that enables customers of a bank or other financial institutions to conduct a range of financial activities through its website. The online banking system will typically connect to or be part of the core banking system operated by a bank and is in contrast to branch banking which is the traditional way customers accessed banking services.

- c) **MOBILE BANKING:** Mobile banking is a service provided by a bank or other financial institution that allows its customers to conduct financial transactions remotely using a mobile device such as a mobile phone or tablet. It uses software, usually called an app, provided by the financial institution for the purpose. Mobile banking is usually available on a 24-hour basis. Some financial institutions have restrictions on which accounts may be accessed through mobile banking, as well as a limit on the amount that can be transacted.
- d) **TRANSFER OF FUNDS:** Transfer of funds within your own accounts is known as Fund Transfer. Transfer of funds can be made to third party account also held in the same or different bank.
- e) **CHEQUE FACILITY:** A cheque is a bill of exchange or an instrument drawn on any bank on demand. In other words, cheque is a bill of exchange drawn on a specified banker ordering the banker to pay a certain sum of money to the drawer of cheque or another person. Money is generally withdrawn by clients by cheques. Cheque is always payable on demand. Commonly, following four types of cheques are used in:
- **Bearer Cheque:** This cheque is payable by the drawee bank over the counter to the bearer or presenter of the cheque. A bearer cheque can be negotiated or passed to another person by mere delivery.
 - **Order Cheque:** When the word “bearer” on the cheque is cancelled, it becomes an order cheque. Such a cheque is paid to the person specified therein as payee. The payee can be anyone else too, to whom the cheque is endorsed.
 - **Open Cheque:** An open cheque is a cheque that is not crossed on the left corner and payable at the counter of the drawee bank on presentation of the cheque. An open cheque may be bearer or order cheque.
 - **Crossed Cheque:** A crossed cheque is a cheque that has been marked to specify an instruction about the way it is to be redeemed. A common instruction is to specify that it must be deposited directly into an account with a bank and not immediately encashed by a bank over the counter. Crossed cheque means drawing two parallel lines on the upper left hand corner of the cheque and writing the

words 'A/c Payee'. The main advantage of this cheque is that if the cheque is lost, nobody can take the payment. In case of any mis-use, it can be easily found in whose account the payment is credited. So it is advisable to cross the cheque always.

- f) **DEMAND DRAFT:** It is a cheque or a document stating to pay the amount written on this document on demand. This document is issued by the bank requesting to pay the specified amount to the person in whose name this demand draft is issued. It is convenient and simple method of remitting payments or money from one person to another.
- g) **OVERDRAFT:** An overdraft allows a person to borrow money for short time through current account. Having overdraft facility from a bank helps an individual or businessmen to meet with short term cash flow problems.
- h) **CASH CREDIT (LOANS AGAINST CERTAIN SECURITY):** Cash credit is a short-term source of finance. Under cash credit, the bank offers its customer to take a loan up to a certain limit. Cash credit is also

known as bank overdraft.

Advantages of Cash Credit:

- i. It is an important source of working capital financing.
- ii. Cash credit can be obtained very easily and quickly.
- iii. Interest is charged only on the amount of loan taken by the customer and not on the amount of credit sanctioned. In other words, interest is charged only on the utilized amount.

Disadvantages of Cash Credit:

- i. The rate of interest charged by loan on cash credit is very high.
- ii. Such loan is granted by bank on the basis of company's turnover, its financial status, value of inventory, etc. So, it is difficult for new and financially weak companies to obtain cash credit.
- i) **DISCOUNTING (BILLS OF EXCHANGE):** The holder of a bill can get it discounted by the bank, when he/she is in need of money. After deducting its commission, the bank pays the present price of the bill to the holder. The commercial banks can re-discount

the discounted bills with the central banks when they are in need of money. When the bill matures the bank can secure its payment from the party which had accepted the bill.

- j) **MONEY AT CALL:** Bank also grant loans for a very short period, generally not exceeding 7 days to the borrowers, usually dealers or brokers in stock exchange markets against collateral securities like stock or equity shares, debentures, etc., offered by them. Such advances are repayable immediately at short notice, hence, they are described as money at call or call money.
- k) **TERM LOANS:** Banks give term loans to traders, industrialists and now to agriculturists also against some collateral securities. Term loans are so-called because their maturity period varies between 1 to 10 years. Term loans, as such provide intermediate or working capital funds to the borrowers. Sometimes, two or more banks may jointly provide large term loans to the borrower against a common security. Such loans are called
- l) **CONSUMER CREDIT:** Banks grant credit to households in a limited amount to buy some durable consumer goods such as television sets, refrigerators, etc., or to meet some personal needs like payment of hospital bills etc. Such consumer credit is made in a lump sum and is repayable in instalments in a short time. The scope of consumer credit has been extended to cover expenses on marriage, funeral etc., as well.
- m) **MISCELLANEOUS ADVANCES:** Among other forms of bank advances there are packing credits given to exporters for a short duration, export bills purchased/discounted, import finance i.e. advances against import bills, finance to the self-employed, credit to the public sector, credit to the cooperative sector and above all, credit to the weaker sections of the community at concessional rates.

2.10.1 Other Common Facilities Provided by Banks

- **Agency Services:** Banks also perform certain agency functions for and on behalf of their customers like collection and payment of credit instrument. Banks collect and pay various credit instruments like cheque, bills of exchange, promissory notes etc., on behalf of their customers.

- **Purchase and Sale of Securities:** Banks purchase and sell various securities like shares, stocks, bonds, debentures on behalf of their customers.
- **Collection of Dividends on Shares:** Banks collect dividends and interest on shares and debentures of their customers and credit them to their accounts.
- **Acts as Correspondent:** Sometimes banks act as representative and correspondents of their customers. They get passports, traveller tickets and even secure air and sea passages for their customers.
- **Execution of Standing Orders:** Banks execute the standing instructions of their customers for making various periodic payments. They pay subscriptions, rents, insurance premium etc. on behalf of their customers.
- **Acts as Trustee and Executor:** Banks preserve the 'Wills' of their customers and execute them after their death.

2.10.2 General Utility Services Provided by Banks

- a) **Locker Facility:** Bank provides locker facility to their customers. The customers can keep their valuables, such as gold and silver ornaments, important documents, shares and debentures etc. in these lockers for safe custody.
- b) **Credit Cards:** A credit card is a payment card issued to user as a system of payment. It allows the cardholder to pay for goods and services based on the promise to pay for them. The issuer of the card creates revolving accounts and grants a line of credit to a consumer or the user from which the user can borrow money for payment to a merchant or as a cash advance to a user. In short, credit card is a small plastic card issued by a bank, building society, etc., allowing the holder to purchase goods or services on credit.
- c) **Debit Cards:** A debit card is a plastic payment card that provides the card holder electronic access to his/her bank account at the financial institution. It is a card that deducts money directly from a consumer's checking account to pay for a purchase.

Debit cards eliminate the need to carry cash or physical checks to make purchases. These cards help their customers to travel without the fear of theft or loss of money. With this facility, the customers need not take the risk of carrying cash with them during their travels.

- d) **Letter of Credit:** A letter of credit is a guarantee letter from a bank thereby guaranteeing that the buyer's payment to the seller will be received on time and for the correct amount. In case of non-payment, the bank will be required to cover the full or remaining amount of the purchase. Due to the nature of international dealings, including factors such as distance, differing laws in each country, and difficulty in knowing each party personally, the use of letters of credit has become a very important aspect of international business. In short, letters of credit are issued by the banks to their customers certifying their credit worthiness.
- e) **Collection of Statistics:** Banks collect statistics giving important information relating to trade, commerce, industries, money and banking. They also publish valuable journals and bulletins containing articles on economic and financial matters.
- f) **Acting Referee:** Banks may act as referees with respect to the financial standing, business reputation and respectability of customers.
- g) **Underwriting Securities:** Banks underwrite the shares and debentures issued by the Government, public or private companies.
- h) **Gift Cards:** Banks issue gift cards of various denominations to be used on auspicious occasions.
- i) **Merchant Banking:** Some commercial banks have opened merchant banking divisions to provide merchant banking services.
- j) **Automated Teller Machine (ATM):** It is installed by almost all the banks to facilitate the customers to withdraw money at any time as per their convenience on all the days of the year. For this, an ATM card is issued which has a PIN number. When this card is used on the machine, a password is to be set before the transaction is carried on. It releases the amount punched by the customer after taking into consideration the balance of the customer's account.
- k) **Electronic Clearing System (E.C.S.):** This system helps to credit the funds faster. Under this system, the account holder can make payment to other parties having their account in the same banks without issuing any proper instrument. This system is restricted or limited to the accounts maintained in one or different branches of

the same bank within or outside the city. The computer system allows the transfer of funds to the other party after verifying the details from the account.

2.10.3 Terms Used in Banking Transactions

1. **PAY IN SLIP:** It is a slip or the form with a counter foil to be filled for depositing the money by the depositor or any other person for depositing the cash, cheque, draft etc. in any account.
2. **CASH WITHDRAWAL SLIP:** This is a form or slip used for withdrawing the money from the account where the cheque book or ATM cards are not issued to the account holder. The passbook is to be produced along with the cash withdrawal slip at the time of withdrawing the money from the account in a bank.
3. **PASS BOOK:** Pass book is a small handy book issued by bank to the customers to record all the dealings between them. Now-a-days, printed statements of accounts are also being issued by a bank instead of pass book.
4. **CHEQUE BOOK:** It is a book containing detachable blank cheques and issued by a bank or building society to holders of bank accounts.
5. **DRAWER:** Person who withdraws the money or writes the cheques. He is an account holder.
6. **DRAWEE:** The party authorized to payout the money, it is the bank.
7. **BANKRUPT:** To go out of business.
8. **REAL TIME GROSS SETTLEMENT (RTGS):** It means an electronic form of funds transfer where the transmission takes place on a real time basis. In India, transfer of funds with RTGS is done for high value transactions, and at present, the minimum amount being Rs 2 lakh. The beneficiary account receives the funds transferred, on a real time basis.
9. **NATIONAL ELECTRONIC FUNDS TRANSFER (NEFT):** It means a nation-wide payment system facilitating one-to-one funds transfer. Individuals can electronically transfer funds from

any bank branch to any individual having an account with any other bank branch in the country.

10. **IFSC (Indian Financial System Code):** It is an alphanumeric code that is used to identify the particular branch of a participating bank in either of the popular electronic funds settlement options in India, namely RTGS and NEFT.
11. **INTEREST RATE:** The percentage amount that banks give to savers when they leave their money there or charge customers when they borrow money.
12. **OTP (One Time Password):** It is a password that is valid for only one login session or transaction, on a computer system or other digital device. For eg. Mobile phones e-mail etc.
13. **PIN:** Personal Identification Number. Generally a four-character number or word, the PIN is the secret code given to credit or debit cardholders enabling them to access their accounts. The code is randomly assigned by a bank to their customers. It is intended to prevent unauthorized use of the card while accessing a financial service terminal.
14. **MORTGAGE:** It is an agreement between a customer and a bank in which it lends you money to buy a house; you have to pay back the money with interest over a longer period of time.
15. **RBI:** The Reserve Bank of India (RBI) is India's central banking institution, which controls the monetary policy of the Indian rupee.
16. **NRE ACCOUNT (Non-Resident External Account):** An NRE account can be opened by any person who is residing outside India.
17. **NRIs:** (Non-Resident Indians) having NRE account in India are permitted to hold and maintain foreign currency earnings in Indian rupees. Moreover the interest earned is not taxable in India.
18. **NRO ACCOUNT (Non-Resident Ordinary Rupee Account):** An NRO account is a savings or current account held in India that helps NRIs manage income earned in India such as rent, dividends, or pension from abroad. The account holder can deposit and manage accumulated rupee funds conveniently through an NRO account.

19. **FCNR Account (Foreign Currency Non Resident Account):** FCNR Deposit is a Fixed Deposit Foreign Currency account and not a savings account. Deposits in this account can be made in any of the major currencies like US Dollar, UK Pound, Canadian Dollar, Deutsche Mark, Japanese Yen and Euro.
20. **CASH RESERVE RATIO (CRR):** It is the amount of funds that the banks have to keep with RBI. If RBI decides to increase the percent of this, the available amount with the banks comes down. RBI is using this method (increase of CRR rate), to drain out the excessive money from the banks.
21. **BANK RATE:** It is the rate of interest which a central bank charges on the loans and advances that it extends to commercial banks and other financial intermediaries. Changes in the bank rate are often used by central banks to control the money supply.
22. **FDI (Foreign Direct Investment):** It is an investment which occurs with the purchase of the “physical assets or a significant amount of ownership (stock) of a company in another country in order to gain a measure of management control” or a foreign company having a stake in an Indian Company.
23. **ACCRUED INTEREST:** It means the interest that has been earned but not yet paid.
24. **AUTOMATED CLEARING HOUSE (ACH):** It has a computerized facility used by member depository institutions to electronically combine, sort, and distribute inter-bank credits and debits.

ACHs process electronic transfers of government securities and provide customer services, such as direct deposit of customers' salaries and government benefit payments (i.e., social security, welfare, and veterans entitlements), and preauthorized transfers.
25. **DISHONOUR OF CHEQUE:** Non-payment of a cheque by the paying banker with a return memo giving reasons for the non-payment. It is a condition in which the bank does not pay the amount of the cheque to the payee. In fact, when the drawer draws the cheque without following all the rules of issuing cheque and where an account does not have sufficient balance to honour the cheque

- issued by the customer, the cheque is returned by the bank with the reason "funds insufficient" or "exceeds arrangement".
26. **BANK OMBUDSMAN:** Bank Ombudsman is the authority to look into complaints against Banks in the main areas of collection of cheque/bills, issue of demand drafts, nonadherence to prescribed hours of working, failure to honour guarantee/letter of credit commitments, operations in deposit accounts and also in the areas of loans and advances where banks flout directions/instructions of RBI. This Scheme was announced in 1995 and is functioning with new guidelines from 2007. This scheme covers all scheduled banks, the RRBs and co-operative banks.
 27. **CO-OPERATIVE BANK:** An association of persons who collectively own and operate a bank for the benefit of consumers/customers, like Saraswat Co-operative Bank or Indraprastha Sehkari Co-operative Bank etc.
 28. **CORE BANKING:** It is a banking service provided by a group of networked bank branches where customers may access their bank account and perform basic transactions from any of the member branch offices.
 29. **E-BANKING:** E-Banking or electronic banking is a form of banking where funds are transferred through exchange of electronic signals between banks and financial institutions and customers' ATMs, Credit Cards, Debit Cards, International Cards, Internet Banking and new fund transfer devices like SWIFT, RTGS belong to this category.
 30. **EFT - (Electronic Fund Transfer):** It is a device to facilitate automatic transmission and processing of messages as well as funds from one bank branch to another bank branch and even from one branch of a bank to a branch of another bank. EFT allows transfer of funds electronically with debit and credit to relative accounts.
 31. **EITHER OR SURVIVOR:** It means operation of the account opened in two names with a bank. It means that any one of the account holders have powers to withdraw money from the account, issue cheques, give stop payment instructions etc. In the event of

death of one of the account holder, the surviving account holder gets all the powers of operation.

32. **ELECTRONIC COMMERCE (E-Commerce):** E-Commerce is the paperless commerce where the exchange of business takes place by electronic means.
33. **FOREIGN BANKS:** Banks incorporated outside India but operating in India and regulated by the Reserve Bank of India (RBI), e.g. Barclays Bank, HSBC, Citibank, Standard Chartered Bank, etc.
34. **KYC NORMS:** Know Your Customer norms are imposed by R.B.I. on banks and other financial institutions to ensure that they know their customers and to ensure that customers deal only in legitimate banking operations and not in money laundering or frauds.
35. **MORATORIUM:** R.B.I. imposes moratorium on operations of a bank; if the affairs of the bank are not conducted as per banking norms. After moratorium, R.B.I. and Government explore the options of safeguarding the interests of depositors by way of change in management, amalgamation or take over or by other means.
36. **POST DATED CHEQUE:** A Cheque which bears the date which is subsequent to the date when it is drawn. For example, a cheque drawn on 8th of February, 2007 bears the date of 12th February, 2007.
37. **PLASTIC MONEY:** Credit Cards, Debit Cards, ATM Cards and International Cards are considered plastic money as like money they can enable us to get goods and services.
38. **RESTRICTIVE ENDORSEMENT:** Where endorser desires that instrument is to be paid to a particular person only i.e. a person restricts further negotiation or transfer by such words as "Pay to Vijay only". Now Vijay cannot negotiate the instrument further.
39. **TELLER:** Teller is a staff member of a bank who accepts deposits, cashes cheques and performs other banking services for the public.
40. **VIRTUAL BANKING:** Virtual banking is also called internet banking, through which financial and banking services are accessed via internet's World Wide Web. It is called virtual banking because an internet bank has no boundaries of brick and mortar and it exists only on the internet.

2.11 MODES OF TRAVEL

Various modes of travel include air, rail, road, water etc. Each mode has its own merits and demerits and is chosen on the basis of cost, speed, route and capability.

Normally, business travel is multi-modal. When more than one mode of transport is used for a journey, the journey is described as multi-modal. The following modes of travel are commonly used by executives while on business tour:

- a) Private Car, Taxi or Cabs
- b) Bus
- c) Railway
- d) Air

Private Car, Taxi or Cabs: It provides ad-hoc services at rider's desire. This is resorted for travelling short distances within the country. Though this mode of travel is bit expensive but it offers flexibility of travel. The concept of cabs (radio taxis) is very popular now-a-days. But private car and taxi have lower capacity and are, sometimes, time consuming.

There is no elaborate procedure involved in booking cars and taxis. A person can either book a car/taxi on telephone, on-line or approach personally local taxi stand. Cab users usually download the various service applications on their mobile and make use of the same, whenever the service needed.

Bus: The cheapest mode of transport is bus. We know that every city has a welldeveloped system of buses. Luxury and air conditioned buses are available to make travel comfortable. For booking a ticket in a bus, there are not much formalities needed. Like private car/taxi, a ticket can be booked on-line, on telephone or by approaching local bus terminal.

Railway: Rail travel is very important mode of travel between different cities. Train travel can bring much comfort and convenience to the travellers. Unlike planes, one can use cell phone on trains. The seats on a train are comfortable and trains are rarely delayed due to bad weather.

India has one of the most spectacular rail networks in the world. Advance reservation is necessary for rail travel. One can refer to time

table published by Indian Railways which is published at regular intervals or visit the website - w.w.w.indianrail.gov. to find out the different classes of services offered by Indian Railways to its passengers. One can go for booking tickets on internet and check for all the enquiries like Train Alert, PNR Status, Train Status, Seat Availability, Train Schedule, Train Information, Train Time Table, Train Fare etc.

One can send SMS on 57886 through mobile phone to get any information on railways.

2.11.1 How to Make Railway Reservation

For booking reservation in railway trains personally, Railway Reservation Slip is to be filled in with particulars about journey, trains and persons travelling. This slip is also used for cancellation of journey, if so required. A specimen of railway reservation/cancellation form is given below:

- Reservation/Cancellation Requisition Form
- If you are a Medical Practitioner ● Please tick () in Box
- (You could be of help in an emergency) Dr.
- If you want Sr. Citizen Concession, please write
- Yes/No in Box

(if yes, please carry a proof of age during the journey to avoid inconvenience of panel charging under extant Railway Rules)

Do you want to be upgraded without any extra charge? Write Yes/NO in the box.

(if this option is not exercised, full fare paying passengers may be upgraded automatically)

Train No & Name

Date of journey

Class

Number of Berth/Seat

Station From To

Boarding at Reservation upto

S.No.

Name in Block Letters (not more than 15 letters)

Sex(M/F) Age

Concession/Travel

Authority No.

Choice (Lower / Upper Berth)

Meals for Rajdhani/ Shatabdi Express

FOR OFFICE USE ONLY

S.No. of

Requisition _____

PNR No. _____

Berth/Seat No. _____ Amount collected

_____ Signature of Reservation Clerk

NOTE

1. Maximum permissible passengers are 6 per requisition.
2. One person can give one requisition form at a time.
3. Please check your ticket and balance amount before leaving the window.
4. Forms not properly filled or in illegible forms shall not be entertained.
5. Choice is subject to availability.

For rail e-ticket booking in India, Register as an individual. Registration is free. The e-booking procedure of railway and air ticket is almost similar. The same is discussed in the section just below.

2.11.2 Air Travel

Air travel has become extremely popular for long distance travelling and is widely used by top and middle level executives. Air transport has in the recent past become relatively economical due to competitive prices. Further, it is a fast and reliable mode of transport. The decline in prices has increased its demand. Like rail travel, advance reservations are also necessary for all airline flights.

Air travel can be divided into two:

- Domestic flights
- International flights

In addition to Air India, there are several private airlines services which operate on both domestic and international routes.

For booking airline reservation, a person can:

- Buy a seat online.
- Walk into any counter at airport or city airline office.

Booking an air ticket through internet is just a few clicks away. To book an air ticket online, we need a credit card or a net banking account. Online air ticket booking sites have been provided by airlines and booking agents. Some of sites of online air ticket booking are goibibo, yatra.com, cleartrip.com, makemytrip.com, expedia etc. In addition, the sites also help to:

- Provide information about the discounts in fare and hotel packages.
- Find out latest offers from different airlines.
- Avail special offers given by different banks to credit/debit card holders.
- Select extra insurance and other schemes provided by third party companies.

I. Air Ticket Reservation: It is very simple to book an air ticket online. First you have to select whether it is a one way trip or round trip. Then select the travelling dates for one way trip select the starting date and for round trip select the return date too. Then you have to select the source and destination cities. You can scroll down through all major cities and towns in India. Once the source and destination is selected then you have to specify number of passengers including children and infants. After giving all these details, click on search and it will display all available flights from different airlines on the particular date.

After selecting your convenient flight, click on Book button to go to the billing page. In the billing page, you have to enter your personal details including email id and phone number. It will take you to the payment page for selecting a payment option. Most airlines accept two types of payment - one is through a credit or debit card and next is via a net banking account.

Select your payment method and fill the necessary details. Once this step is completed, you will get a confirmation page and an email in your specified email id within few seconds.

Thus, there are many ways that helps you in making flight reservations on the net. You can make use of number of travel sites to find out what prices are obtainable for your executive's tour itinerary. It

is so interesting to note that some of the travel websites allow you to choose the fare you are eager to shell out and then provide help to find the tickets for that price. To book the flight reservation, you can also contact the airlines directly. The advent of modern technology has made flight reservation a cakewalk. Various travel agencies also do provide facilities by booking tickets on commission basis.

2.11.3 E-Ticket and Paper Ticket

Both, railways and airlines support e-tickets. You can take a printout or show the screenshot of the ticket along with an identification proof at the time of travelling. A soft copy of ticket in a mobile is also as good as a paper ticket. For the travel, any valid photo identification proof like original passport, Voter's ID, Aadhar Card, Driving license etc. is mandatory. For international travel, passengers need to carry valid passport, visa and/or entry permits and health certificates as required. Embarkation forms (this is part of the immigration formalities required to be concluded for your visit to the country, and contains the personal, passport and visa details which are to be filled up by you in addition to the flight details. The form is to be submitted at the immigration counter where your entry to the country shall be stamped in the passport) should be duly filled and submitted to customs and immigration authorities before boarding the aircraft.

2.11.4 Travel Agencies

Travel agencies help travellers by sorting through vast amount of information to help their clients make the best possible travel arrangements. Travel agents offer advice on destinations and make arrangements for planning itineraries, transportation, hotel accommodations, car rentals, city tours etc. for their clients. Travel agents are also expected to be able to advise travellers about their destinations, such as the weather conditions, local ordinances and customs, attractions, and exhibitions.

For those travelling internationally, the agents also provide information on customs regulations, required documents (passports, visas, and certificates of vaccination), travel advisories, and currency exchange rates. In the event of changes in itinerary in the middle of a trip, travel agents intervene on the traveller's behalf to make alternative booking arrangements, which avoid lots of inconvenience.

Some travel agencies specialize in commercial and business travel only. Travel agencies do have a separate department for senior

executives and business travellers to cater their special needs. There are also travel agencies that serve their clients by having offices in various countries.

A good travel agent can save endless hours of searching the travel information. They protect clients' interest by providing the best possible services at the most economical rates and offering special discounts. It is very important to select a good travel agent to take care of travel arrangements for your executive's tour. While searching on internet, you will find that several companies are engaged for years in tourism and travel trade. You have to select really a good travel agent who has been in this line of business for quite some time. One of the first questions, you should consider is how long the agency has been in this business. In order to find out their credentials, one can read the reviews of the customers available online. This would give an opportunity to assess the scope and skills along with the genuineness of the facilities which are being offered by the agency. As said, a reputed travel agency has its offices in different cities.

Travel agents work on commission basis and do charge from their clients for providing various services. Thus, while making travel arrangements, it is important to search sites available on the internet which provide information of reputed travel agents and give complete information about the various services offered by them along with the previous clients' reviews and experiences.

2.11.5 Hotel Reservation

Based on your executive's eligibility and preferences, you have to find out the various facilities offered by the hotel which you are planning to book. These may include internet access, non-smoking areas, swimming pool, fitness centre, restaurant, book shop, etc.

You can search for good hotels on line and do booking for all good reputed hotels in any part of the world. Various sites help in comparing the rates offered by different hotels and provide all the relevant information. Once the hotel is booked online, confirmation of the same is sent on email address provided. One can check the reservation status or cancel the reservation, if needed, by the link provided in the confirmation that is sent on e-mail. A rating system of 'one to five stars' is there which helps the prospective clients to compare the facilities offered by different hotels.

2.11.6 Itinerary

It means a detailed tour programme for any person or a party. The success of your executive's tour depends upon how well a secretary can help him/her at planning stage. When your executive gives full particulars of his/her tour programme, you should prepare an itinerary and circulate it to all concerned officials to whom he/she has to confer. It is the duty of secretary to prepare an itinerary so that the tour of the executive takes place without any trouble.

The following points must be kept in mind while preparing an itinerary:

1. The time and place of departure and arrival.
2. The mode of travel preferred.
3. Sequence of visits.
4. Hotel Accommodation (Motel is a roadside hotel designed primarily for motorists usually situated on highways).
5. Conveyance between hotels and railway station/airports.
6. Appointments and meetings of the executive.

Sincere planning and a thoughtful consideration on the executive's preferences, comfort and convenience is primarily necessary while preparation of itinerary. Once basic planning done, final approval of executive is necessary before making any specific engagements and bookings.

Samples of itinerary template: ITINERARY OF MR AMIT VERMA, GENERAL MANAGER

Date/Time	Departure Station	Arrival Station	Train No. / Purpose
Remarks	Flight No.		

2.11.7 Organizing Travel

After making all the travel and accommodation arrangements for your executive, a secretary is required to perform other important duties. Before departure on tour, the private secretary should hand over all the related papers and other things to the executive. These may include:

- A copy of itinerary.
- Transportation tickets.

- Hotel Reservation confirmation print outs
- Financial instruments, if required (Cash, credit cards, traveller's cheques etc.).
- All relevant documents, reports, proposals, files, agenda of meeting etc.
- Telephone nos., e-mail addresses of all concerned people.
- Necessary stationery, pen drive, hard disk etc.

It is important to prepare a check list and then make preparations accordingly. If you are an efficient secretary, then your executive has every reason to anticipate his travel information i.e. who, what, when and where of his various travel reservations.

2.11.8 Tour Advance and Tour Claim

All the expenses concerning official travel are reimbursed by every company to the staff as per the policies/procedures laid down. It is the duty of the secretary to discuss and find out the adequate amount which may be needed by the executive to incur various expenses during the tour and draw the same from the Finance Department. Usually, before leaving for official tour, a Tour Advance Form which contains complete details of journey to be performed is filled up to draw necessary advance.

After completion of the journey, Tour Claim Form is filled-in by the Secretary. It contains in detail the actual expenses incurred by the executive while performing the journey viz. boarding and lodging expenses, conveyance expenses, etc. Tour advance already taken, if any, is also filled up in the Tour Claim Form and accordingly, the private secretary draws the balance amount or returns the excess amount. Tour claim form is accompanied with all relevant bills of hotel, travel tickets or other expenses incurred.

2.11.9 Overseas Travel Arrangement

If your executive has to proceed on an international tour, he/she will require a variety of travel documents apart from an itinerary, meeting notes and so on. The necessary documents needed for tour to foreign countries include:

- Passport
- Visa

- Health documents
 - Travel Insurance Policy
1. **Passport:** A passport is a travel document, usually issued by a country's government that certifies the identity and nationality of its holder for the purpose of international travel. Standard passports may contain information such as the holder's name, place and date of birth, photograph, signature, and other identifying information. There are three types of Indian Passport, which are:
 - Regular Passport has a Navy Blue cover and is issued for ordinary travel, such as vacations and business trips.
 - Diplomatic Passport has a Maroon cover and is issued to Indian diplomats, top ranking government officials and diplomatic couriers.
 - Official Passport has a White cover and it is issued to individuals representing the Indian government on official business.
 2. **VISA:** Visa (often said to be Visitors Intended Stay Abroad) is a document issued by a country to a person to formally ask the travelling country for permission, with a specific reason for a stipulated amount of time. All the countries have their own visa laws and it is up to the country to allow a traveller to allow him/her or not. A visa does not guarantee entry. A person's entry may also be rejected after granting visa.

Visa is granted by High Commission/Embassy/Consulate of a country subject to eligibility and on an application made in the prescribed form. The application for visa must be supported by the necessary documents.

When visa is granted, it is endorsed on the passport indicating the period of stay in the country.

Types of Visa: Tourist Visa, Student Visa, Employment Visa, Business Visa, Pilgrim Visa, etc.

Health Documents

Before travel, it is important to find out country specific information regarding health check up to be performed. Most of the countries have made it mandatory for visitors to get vaccinated prior to their visit as a precautionary measure.

Travel Insurance Policy

Travel insurance policy covers several risks associated with unfortunate events such as baggage loss, passport loss, a medical emergency or an accident. Having Overseas Travel Insurance ensures that in a foreign land, you do not feel helpless in any kind of an emergency.

Foreign Exchange

Foreign Exchange (or Forex) is exchange of one currency for another. It also means conversion of one currency into another currency. All travellers intended to travel abroad require foreign exchange. Information regarding currency regulations should be found for each country. This includes details of how much currency can a passenger bring into the country and how much foreign exchange can a passenger carry out of a country.

In addition to above, travel vouchers and maps are another important documents which may be needed while executive's travel. As discussed, travel vouchers are provided for various bookings undertaken usually on email id provided viz. travel tickets, car rental confirmations, hotel accommodation etc.

It is important to note that while travelling abroad, your executive may feel 'jet lag' which means extreme tiredness and other physical discomforts after a long flight across several time zones. In other words, he/she may be tired and slightly disoriented for days after arriving, accompanied by a lack of concentration and motivation, especially for any activity that requires effort, such as reading or discussing a business deal. So, all meetings scheduled abroad to be taken care of and the time zone differential respected among various countries to avoid any embarrassed situation at a later date.

2.12 OUTCOMES

After completing this lesson, you will be know:

- Handle the procedure of handling incoming and outgoing mail.
- Explain the importance of speed post and courier services
- Understand different types of meetings.
- List out the requisites of a valid meeting.
- Know duties before, during and after a meeting.
- Identify the formalities needed to make rail and air reservations.

- Explain the role of travel agencies.
- Prepare an itinerary.
- Make arrangements for travel in accordance with organisational policies.
- Know the various documents needed for an overseas tour.

2.13 REVIEW QUESTIONS

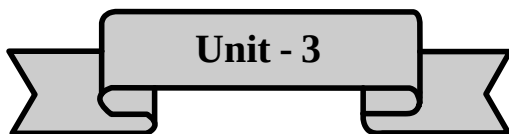
I. Short Answer Questions

1. Discuss the role of Office secretary.
2. What are the responsibilities of office secretary?
3. Differentiate between Electronic Mail Handling & Physical Mail Handling
4. NRO Account
5. FDI
6. IFSC
7. ACH
8. KYC
9. Differentiate between NEFT and RTGS.
10. Electronic Fund Transfer

II. Long Answer Questions

1. Explain duties of Office secretary.
2. Suggest various steps involved in handling of incoming paper mail, if the same is being handled physically.
3. Outline the procedure of physical handling of Outgoing Mail.
4. Discuss any three Mail Room Equipment which are useful in performing mailing operations efficiently.
5. How Peon Book is different from Mail Outward Register?
6. Discuss the use of:
 - i) Remotely Managed Franking Machine
 - ii) Mail Accounting Software
7. Define the term - Meeting. Enumerate the various types of meetings.

8. Explain the requisites of a valid meeting.
9. Differentiate between Agenda and Minutes of the Meeting.
10. Discuss the various secretarial duties before, during and after a meeting.
11. Explain the following terms:
 - (a) Casting Vote
 - (b) Proxy
 - (c) Rider
12. Discuss different types of bank accounts in which one can deposit money.
13. Explain the following banking terms:
 - (a) Virtual Banking
 - (b) Interest Rate
 - (c) Electronic Fund Transfer
 - (d) Bank Ombudsman
14. How will you select a good travel agent for your executive?
15. When your officer plans a tour, what points you will keep in mind to make his/her tour successful?
16. Make an imaginary itinerary of your executive with five entries.
17. Differentiate between passport and visa.
18. What general preferences of boss you need to know while making tour preparation for your executive's travel?
19. What is the difference between Tour Advance and TA Claim?
20. Explain in details the formalities required for Overseas Travel.
21. What is e-Ticketing? Write down the process.



OFFICE PROCEDURES

3.0 OBJECTIVES

After going through this lesson, you will be able to:

- Define the term record.
- Know the importance of records in an organization.
- Explain the importance of filing as a mean to preserve the records.
- Understand essentials of good filing system.
- Explain classification and method of filing.
- Preparations of notices, circulars .
- Maintenance of files and records

3.1 INTRODUCTION

Business undertakings have certain well –defined objectives. These objectives can be attained only when it is approached in a systematic way. Business itself is a system comprising of several sub-systems. Marvin R.Gore remarked that business is a system that has its output goals and objectives and the business can be divided into small systems that vary according to the organization of the business.

George R.Terry says that each business has a number of sub-systems like production control system, marketing system, office system and so on. Thus, office system itself is a sub-system of the whole

business. Office systems are a continuation of several procedures integrated together in such a way as to attain the needed objectives. It is defined as a network of routines, which are designed and integrated to carry out office work. In other words Systems comprises of various interconnected routines.

Definition of System

According to **Milton Reitzfeld** “Success in business, government and non-profit venture is determined by the maximum utilization of people, information and resources. Such utilities can be achieved only through the development, installation and supervision of appropriate systems and procedure”.

According to **Terry**, “A system is a network of procedures which are integrated and designed to carry out the major activity”.

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According to **Littlefield**, A system may be defined as, “a ground of interrelated and interdependent parts operating in sequence according to a predetermined plan in order to achieve a goal or a series of goals”

Principles of Office Systems

Every office has its own systems. The systems are not identical in all offices. They vary with the type and size of business. However, whatever system is evolved, it should ensure maximum efficiency. Following are some of the important principles of office systems.

1. Good flow of work without bottlenecks should be ensured.
2. Unnecessary duplication of work and records should be avoided.
3. Movement of staff should be kept to a minimum.
4. Unnecessary writing would be avoided.
5. Best use of specialization should be made.
6. The amount of paper work should be the absolute minimum.
7. The principle of management by exception should be used.
8. Only a few exceptions to the functional procedure should be allowed.
9. Unnecessary checking should be avoided.
10. Possibilities to make best use of machines should be provided.
11. The system should be simple and easy to understand.

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3.2 MEANING OF PROCEDURE

The term procedure denotes a planned sequence of operations for handling recurring business transactions uniformly and consistently. Procedure is a routine, which has been planned in advance in order to handle recurring business operations uniformly step by step. It is a guide to management as to who should do, what, how, and when.

Some Organizations have a written record of systems and procedures; it may be in book form or loose-leaf form.

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3.2.1 Definition

According to **Charles O. Liberty** “Office procedures are a series of clerical acts organized under supervision to accomplish the purpose of the office”.

Zane K. Quible has given the following definitions of system, procedure and method.

System: *Interrelated procedure necessary to achieve a well defined goal.*

Procedure: *Related method necessary to complete a work process.*

Method: *Specific clerical or mechanical operations or activities.*

To illustrate the system concept, a system designed for purchasing office supplies (purchasing system) is presented as:

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Procedure-1: Select Sources of Supply

Methods

- A. Fill out quotation form.
- B. Send forms to prospective vendors
- C. Obtain quotations from vendors.
- D. Catalogue respective quotations

Procedure-2: Order Supplies

Methods

- A. Fill out purchase order
- B. Send purchase order to vendor

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Procedure-3: Receive Supplies

Methods

- A. Check order to verify quantity and acceptability
- B. Deliver supplies to appropriate departments.
- C. Notify accounts payable.

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3.2.2 Importance of Systems and Procedures

1. In the system concept a uniform procedure is followed for similar transaction, so it helps to reduce errors and waste motion of machine operations.
2. The cost of performing routine office work is reduced.
3. Responsibility can be easily fixed.
4. Good office system and procedure helps in smooth running of office and help to reduce delay in work.
5. It helps for speedy despatch of work.
6. Systems & Procedure include internal checking; they assist in the prevention of fraud and have control on work.
7. Good system helps to maintain better Co-ordination between departments.
8. Helps the management to train the staff.
9. A good system will reduce the chance of error and improve the efficiency of the organization.
10. A good system will give instructions to employees what has to be done, when and where and gives information on the organization supporting various systems.

3.2.3 Benefits and Limitations of Systems and Procedures

1. **Benefits of Systems and Procedures:** Following are the benefits which may be obtained if suitable systems and procedure are derived in an office:
 1. Errors in the smooth flow of office work can be easily eliminated.
 2. Uniformity can be achieved and the duplication of various routines can be avoided.
 3. Systems and routines help in training office personnel in the efficient performance of their work without supervisors.
 4. Responsibility can be fixed for each employee.
 5. Unnecessary operations are eliminated and so wastage of any nature can be controlled.
 6. Office personnel can perform their jobs independently and with confidence.
 7. Systems ensure better control of work. The possibility of fraud is eliminated.

8. Work efficiency in the office increases and unnecessary forms are eliminated. It reduces the cost of office operations.
 9. Better co-ordination is possible through the introduction of a system.
- II. Limitations of Systems and Procedures:** An office system does not work by itself. There are some limitations to its applications:
1. The efficiency of the system depends on planning. If the planning is not done properly the whole systems would fail.
 2. Strict adherence to a system makes it inflexible and it may not work smoothly.
 3. The system may not be useful when changes take place.
 4. The efficiency of the system should be evaluated and decided by making a cost-benefit analysis of it. If the cost is more we cannot use that system.

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3.3 FILING-MEANING, IMPORTANCE AND ESSENTIALS

It is necessary for an organization to produce and handle a great deal of information for its survival and growth. But all this information which generate during the course of business may not be important to preserve for future use.

Record means any information generated or received in the course of conducting business, which should be maintained to meet the financial, legal, historical or administrative needs of an organization in future. A record may be any document that has been used to make key business decision. Some common examples of record in business are – financial reports, income tax returns, statistical compilations, company bylaws, minutes of meeting, business plans, employment agreements, letter of credits etc. Further, a record may be in the form of paper, computer printout, magnetic or optical disk, microfilm, audio recording or any other way by which information could be stored.

Filing is the process of arranging and storing records in neat, orderly and efficient manner so that they can be located easily and quickly when they are required.

Usually, in every office, all relevant papers like notes, correspondence, reports on a given subject are stored in one file so that they are available for use at any point of time in future. Every executive expects from his/her secretary to present quickly required records at the time of need. Therefore, record management is an important task to

be undertaken by every secretary. In order to file records efficiently, a secretary should follow standard rules and procedures of filing. Also for a responsible secretary, it is important to review the papers to be filed every day or once a week and file them appropriately.

Importance of Filing: The records formulate memory of an organization. Records not only provide a history of the business but they also provide a foundation for future decisions.

The information contained in the records forms the basis of all business activities. Whether to place an order, make a payment, get a loan or any another function of business, office records is the origin of all activities.

Decisions for the future course of business are taken keeping in view the past performance, policies and strategies of the organization as per the records and the available up to the date information. The sooner the desired information is available, the more quickly it can be put to use where it will do the most good. A business decision can be as good as the fact or information on which it is based. On the contrary, mismanagement of important records may lead the organization to the business loss, litigation, fines and even regulatory investigations. Therefore, records play an important role in the effective and efficient functioning of an organization.

The factors which make records important are listed below:

1. The records act as memory unit of an organization and hence provide history of any business.
2. Records constitute the database for the Managerial Information System. Here, they provide necessary information for future planning and policy formulation of a business.
3. Important decisions for the smooth functioning of a business originate from records.
4. Records provide the basis for compliance of legal and statutory requirements.
5. Status of the business, i.e., financial health, societal status, comparison with competitors, etc. can be ascertained with the help of business records in the form of various statements and reports.
6. Records help in handling customers and correspondence carefully to maintain the goodwill of an organization.

3.3.1 Essentials of a Good Filing System

There are various methods of filing and no filing system is ideal and complete in all respects for every office. A filing system chosen must meet specific requirements of the office. Whichever filing system is adopted by an office, it should be simple so that it may be understood by everybody in the office even in the absence of a filing clerk. A good filing system should have the following characteristics:

1. **Compactness** - Filing system should be compact which means that it should not take unnecessary space.
2. **Economical** - Filing system should be economical in terms of time, space, money and operation which mean that the cost of installation of filing equipment should be as low as possible.
3. **Flexibility** - Filing system should be flexible so that it can be expanded or contracted in case of need.
4. **Easy Location** - The record should be placed at that place where it should be easily located when required for reference without any delay.
5. **Safety** - Filing system should be such that proper safety of records is ensured from dust, water, fire, theft, insects, etc.

3.3.2 Classification of Filing - Alphabetical, Numerical, Geographical, Subject, Chronological

When we plan to maintain a particular type of record in a file for future use, we have to classify the same and give a suitable title or heading depending on the subject or section to which it belongs. Classification of Filing means the process of selecting headings under which records are grouped or classified on the basis of common characteristics before filing them.

The main purpose of classification of records is to locate any one document from among all the documents stored in the office without loss of time and at minimum cost. Proper classification of a file at a proper place helps to retrieve the same quickly and it will not be difficult to find it out later. The classification can be followed by sub-divisions, depending on the nature of subject matter. There are different kinds of classification methods which may be adopted in an organization. Commonly used methods of classifications of files are:

- I. Alphabetical Classification II. Numerical Classification

III. Geographical Classification IV. Subject based Classification

V. Chronological Classification

I. Alphabetical System of Classification: This is the most popular system of record management. As it is the basis of most of the other systems of classification, it is very important to understand this system.

In this system, all the records are kept in strict alphabetical order. Dictionaries, contact list in mobiles and telephone directories are good examples of this system. In order to maintain alphabetical classification of files, following rules need to be followed:

Rule 1: File by name in terms of the first letter, e.g.:

- Amit & Co.
- Bhushan & Bhushan
- Garg Enterprises
- Triveni Electronics

Rule 2: If the first letters are the same, file in terms of the second letter, e.g.:

- Clarence
- Colours
- Cyndee
- Cyril

Rule 3: File in terms of surnames, e.g.:

- Arora G.
- Diwan A.K.
- Taneja V.R.
- Yusuf R.K.

Rule 4: If surnames are the same, file in terms of the initial, e.g.:

- Anil J.S.
- Anil J.U.
- Anil R.S.
- Anil T.M.

Rule 5: When there are two surnames, files according to the first surname, e.g.:

- Chopra & Khosla
- Khurana & Chhabra
- Mehta & Gosain
- Verma & Sharma

Advantages of Alphabetical Method of Classification

- It is easy to understand and simple to operate.
- It contains self-indexing. No need for separate index.
- It reduces the chances of misfiling of documents.
- It can be expanded to any length.
- It provides ready reference and a quick check.

Disadvantages of Alphabetical Method of Classification

- i) There may be difficulty in forecasting the space required for different letters of alphabets.
- ii) There may be congestion of files under a particular name.
- iii) The method of filing leads to confusion and congestion if there is a common name or surname.

II. Numerical System of Classification: Here, a unique number is allotted to a file and the file is placed in the filing system in numerical order. Whenever, a new file is opened, it is allotted a new number. This is a simple and logical method quite suitable for organizations dealing with large number of customers or clients, especially where the work is growing. This system is supported by an index from which the file number is obtained.

Many a times, every section/department is given a definite number and then different files under each section/department are given additional numbers by allotting a decimal or slash to differentiate.

For example, Sales Department is given 001; Stores Department is given 002, etc. Now say files maintained by Sales are given internal numbers for various cadres, say Sales Manager as 1, Sales Supervisor as 2, Salesmen as 3, and so on. Further, the files are given sub classification on the basis of their names like.

Employees with names starting with A-B

Employees with names starting with C-D

Employees with names starting with E-F and so on

Therefore, in this system, we have to prepare index cards and the file numbers are written on them and arranged in alphabetical order in a drawer. Whenever a particular file is needed, the secretary has to consult the index card to retrieve the file.

Advantages of Numerical Method of Classification

- i) It has the feature of expansion which means whenever a new file is placed next to the last existing one, it is allocated a next number. Thus, with this method, filing system can be expanded to any length.
- ii) The file numbers can be used as a reference number in correspondence.
- iii) It facilitates accuracy in terms of filing of papers.

- iv) It is simple to understand and easy to operate.
- v) Chances of misfiling of papers are less.

Disadvantages of Numerical Method of Classification

- i) We need more care to avoid errors arising out of transposition of figures.
- ii) A separate index is required.
- iii) One has to first consult an index to locate any file.

III. Geographical System of Classification: The method is suitable for an organization which has its business spread in different geographical regions. In this system, the files are grouped on country, states, towns or district basis, according to the area of operation.

Further, geographical groups of records are usually arranged alphabetically. If numerical system is used, a separate name and location index is prepared giving the name of the party and its geographical place. In geographical system of filing, the whole area may be divided into different zones. There may be north zone, south zone, east and west zone. The areas allocated under each zone are to be clearly defined. Then, zones may be further divided into states. For example:

North Zones: Haryana, Himachal Pradesh, Punjab, Uttar Pradesh, Uttarakhand.

South Zone: Andhra Pradesh, Karnataka, Kerala, Orissa, Tamil Nadu.

After that, each state may be classified on district-wise or town-wise in an alphabetical manner:

District Wise: Haryana: Ambala District, Karnal District, Rohtak District.

Town Wise: Punjab: Amritsar, Hoshiarpur, Jalandhar, and Ludhiana.

After that, individual classification for different customers may be adopted.

Advantages of Geographical Method of Classification

- i) The system helps in quick location of the files in an organization which has its business spread in many geographical regions.
- ii) It is simple to understand and study comparative progress made in different regions in terms of sales or any other parameter.

Disadvantages of Geographical Method of Classification

- i) Without proper knowledge of geography of an area before filing records, this system is useless.
- ii) It must be combined with other methods, viz, alphabetical, numerical, etc., to file records.

Geographical filing is suitable when records are scattered in a diversified area and review of the activities of different regions is to be made on continuous basis.

IV. Subject-wise System of Classification: Under this system of classification, records are first sorted out on the basis of the subject matter they contain, and then are filed accordingly. All letters, documents and papers relating to a particular subject are brought together in one file even though they are received from different parties or geographical locations. In a particular subject file, papers are to be filed in some definite order, i.e., either alphabetically or chronologically.

An organization in which subject matter is of greater importance than the parties/persons/places, subject system of classification is adopted.

Advantages of Subject wise Method of Classification

- i) There is convenience of reference, if the subject is known.
- ii) In this system, there is possibility of unlimited expansion.
- iii) It proves useful whenever it is desired to combine different documents on a single subject.

Disadvantages of Subject wise Method of Classification

- i) There may be difficulty in filing of papers on the basis of subject matter as the filing clerk has to study and decide about the nature of the record. Sometimes, it is not an easy task to divide the papers on the basis of subject and giving the titles to the concerned files as most of the papers are inter-related.
- ii) We cannot file miscellaneous papers according to this system.
- iii) We always need an index for this type of classification system.

This system is suitable for offices where a number of projects are in progress at one point of time and each project is important irrespective of the party/client.

- V. Chronological System of Classification:** It means arranging all records and files in date order. Here, files are maintained in order of time, i.e., according to the year, month and date. The most recent (current date) papers are kept at the top of the file and the older papers are kept at the back. This system is important because often it is the most recent correspondence that is usually needed and employed in filing invoices and other vouchers associated with the payments.

In this system, the maintenance of files could be done in any of the classification system but the records inside the file are to be arranged in chronological order so that they can be retrieved at the earliest. This system is helpful for follow up actions. Further, files for daily appointments, conferences and other important business engagements should always be maintained in chronological order.

Advantages of Chronological Method of Classification

- i) It is simple to understand and operate.
- ii) Retrieval of records is easy if dates are known and also good for overall classification i.e., if correspondence to be maintained of different years.

Disadvantages of Chronological Method of Classification

- i) This method is useful only for small business enterprises.
- ii) It may not be suitable at times as incoming letters and their outgoing replies are to be kept separately if both belong to different dates.
- iii) Difficult to trace a record if dates are not known.

The choice of the appropriate method depends upon the nature of the business, and the policies of the management. It is very difficult to choose any one method of maintaining files. No method can be termed as the best. Different combination of these can be considered for maintaining files.

Selection of an appropriate method also depends upon the size of the filing system. Other things to be kept in mind are convenience, simplicity, degree of expansion, speed of reference and accuracy.

3.3.3 Methods of filing- Horizontal and Vertical

Filing method means how files are physically arranged. It may differ according to the nature and size of records which are to be arranged. However, the purpose for keeping files is that records are easily retrievable at the time of need. It is also important to ensure their safety

from theft, fire, dust and other calamities. The methods of filing can be grouped as:

- Horizontal Filing
- Vertical filling

Horizontal Filing: In this method, the papers are filed into the filing folders which are kept one upon another on the shelves of the racks or almirahs, parallel to the ground or horizontal way. For easy maintenance, shallow drawer cabinets or deep drawers fitted with desks are used. However, the main difficulty in this system is when a file lying at the bottom is required, all the files above are to be taken out first and then only the lower file can be taken.

Vertical Filing: The most preferred and scientific method of arrangements of files is the vertical filing system. Under this system, files are kept vertically in specially made drawers, one behind another so that the side label is always in the front. It is very easy to find a file, to take or put in, without disturbing other files. It is very flexible and classification of files becomes easy.

I. Filing Equipment: For storage of records, we need to have various equipment which is discussed in brief.

Cabinets: Though there are many kinds and sizes of file cabinets that are available in market, the cabinet size is determined by the size of the records to be stored. Usually, five or four-drawer cabinets should be used whenever possible because they contain more filing space and occupy the same floor space. The drawer or cabinet should be just a little larger than the material. It is a waste of money, space and material to use a cabinet larger than needed. Legal-size cabinets should be used only when the greater portion of the material to be filed is larger than 8 ½ by 11 inches (A4 size).

Commonly used types of filing cabinets for storing paper records are:

- Vertical Filing Cabinets
- Lateral Filing Cabinets
- Open Shelf Cabinets

Principles for selecting a suitable cabinet to meet your requirements are:

1) **Space Available:** As office space is expensive, it is important to note that one should always try to select filing cabinets which make the best use of office space. Further at the time of measurement of the filing cabinets, space that is needed to pull out a drawer and to stand in front of the cabinet should also be included.

- 2) **Storage Needs:** Storage space of the organization can be known on the basis of present requirement in addition to making provision for future expansion plans. For the purpose of present requirements, active records are taken into consideration. Then the future need is assessed by looking at how fast the volume of files grows each year. For example, if it is expected that the volume of active files will grow by ten percent per year over the next five years, the organization will need 40 percent more storage space than it has now. On the safer side, it will be better to include an extra 14 percent more storage space for contingencies.
- 3) **Security Needs:** Certain records require a higher degree of security than the normal records. These records should be stored in locked cabinets. Secure and fire safe cabinets are more expensive, so they should only be purchased to meet a specific need.
- 4) **Costs:** As budget is an important consideration, cost of the equipment should match with the finance available as per earmarked budget by an organization for this specific purpose. A comparison of prices should be made so that costs of filing equipment could be compared for equal amount of file storage space.
- 5) **Operational Costs:** Expenditure on storage cabinets is one time but the on-going operational cost, if any, also needs to be considered.
- 6) **Physical Format of Records:** Special records like maps, drawings, videos, films, microfilm and diskettes may require special storage equipment.
- 7) **Retrieval Efficiency:** Retrieval efficiency is the most important aspect of record management. It should be given a thought that how many people will be using the cabinets, and how they will retrieve records from it. Open shelf filing cabinets lets a large number of people access the files at the same time.

Vertical, lateral, and mobile cabinets work best if only one or two people are accessing the files at the same time. Moreover, physical abilities of employees should also be taken into consideration. For example, a person in a wheelchair may not be able to reach for files that are in the top drawer of a tall cabinet.

3.3.4 E-Filing

One of the major problems of all filing systems is of storage space, especially for documents that are no longer frequently used. Earlier, Microfilming was the ideal solution to the storage problems for firms

that could afford it. Microfilming is a photographic process whereby documents can be photographed and reduced to a much smaller size. Instead of files, there are just small rolls of films to store. The original documents can then be destroyed. When a document is needed, the microfilm can be viewed on a scanner where the negative is enlarged and projected on to a display screen. One microfilm allows for very compact storage of books and documents. However, with the advent of computers, electronic filing has almost replaced microfilming.

1. **Electronic Filing (E-Filing):** Computers have proved to be a boon to office managers and office workers. Creation of documents, sharing of information, communication and record management, all these have become easy with the help of computers. The stage of paperless office has arrived as there is no unforeseen fear of loss of records by virus or other electronic threats. Therefore, users now just manage records electronically and there is no need to create a print out of the records. However, few organizations are still managing records in both electronic and as well as paper format. Paper records are scanned and images are stored electronically. Whenever required, electronic records may be printed and saved manually.

Multiple files can be stored in a folder. All sensitive files can be protected with the help of password. It takes flash of a second to retrieve a stored file. The ease with which a file can be retrieved has prompted the organizations now-a-days to replace physical filing with e-filing and, thus, move to a paperless era.

Options for Saving your Electronic Files

There are many ways to store your e-files. Some of the ways are:

- USB Flash Drive
- Hard Disk
- Save to desktop & send as an email attachment
- Sign up for free online file storage
- Sign up for free online word processor and spread sheets
- Save with the help of bookmarks/favourites online

A USB Flash Drive holds as much as 100 or 1,000 times as a single floppy disk drive. They are referred to by many names including “keychain drive,” “pen drive”, “flash drive”, etc.

They can hold Microsoft Word files, Excel spread sheet files, digital images, music/video files and more. In most cases, personal computer

assigns the letter - e: to a USB drive. Opening of files from or saving files to the USB drive is also very easy. You may need to type e: in the “File Name:” cell and then hit the “enter” key on your keyboard to force Windows to “see” the USB Flash Drive.

When you are ready to remove your USB drive, click the “Safely Remove Hardware” icon on the Window toolbar in the lower right corner of the screen. When the power light on your drive turns off, you can remove it from the PC. If the “Safely Remove Hardware” icon is not available or it is not working, make sure all of your files are closed (power light on your drive should not be blinking) before removing your drive.

2. **Free Online File Storage:** There are a number of free internet services you may use to store files on a remote server that can be accessed using an Internet browser from any computer that has access to the Web. Using these services generally requires you to set up a free account.

In general, free file storage services provide storage up to a certain limit and may also restrict the size of individual files that may be uploaded. Some free services are meant to store files for just a few days. However, it is important to read complete instructions and policies carefully before taking up online service.

If you are storing critical files such as a resume, it is wise to have it stored in more than one place. For example, you might have it stored online and also on a USB or hard disk.

To best manage electronic records, following points should be taken care of:

- i. Electronic or Digital records are just as valid and important as paper records, and are subject to same formalities and legal and fiscal requirements.
- ii. These records also require the same treatment for retention as is required for their paper equivalents. Therefore, they should not be retained longer than the approved retention policy of the concerned organization.
- iii. Where possible, departmental file plans used for paper records may serve as a basis for the classification of electronic records, Departmental computers should have similar directory structures, and allow for documents to be classified within the established record series.

- iv. All official digital records can be moved off from individual workstations, and onto a document repository server that is shared by the department.
- v. As per the requirements of an organization, it should be decided which records need to be stored in paper format or electronic format. Double record management for same records should be avoided. If paper equivalents are required, retention period of digital records may be reduced or vice versa.
- vi. No analogous hard copy equivalent to the computer records need to be maintained. It is especially essential that policies be developed and documented for their eventual disposition. A plan should also be put in place to ensure that this disposition is carried out on schedule.
- vii. It should be ensured that duplicates and drafts are disposed along with their master documents.
- viii. Printing or saving an e-mail message to disk makes it a document which requires the same record management treatment as is required in case of other records. Therefore, one should be judicious in the use and retention of electronic mail.
- ix. Saving electronic documents on magnetic media such as floppy disks or data tapes is not advisable for long term retention. Magnetic media is usually unstable, and loses its signal very quickly. Records stored on these media are likely to be unreadable when they are needed at a later date.
- x. Records in electronic formats may quickly become unusable due to changing hardware and software standards. For instance, a document saved in an early version of a program may be unreadable when that program is upgraded to a new version. If electronic documents require retention beyond three years, a strategy must be in place to migrate that data forward.
- xi. It should be ensured that the protection of electronic document backup is not optional but quite essential. IT tools help users classify, manage, retain and dispose their digital records with the same care and attention as we have provided for paper files. The time has come when a lot of emphasis is given on the management of electronic records within the office environment.

3.3.5 Weeding out or Destruction of Old Records

Weeding out or destruction of old records means destroying the unwanted papers or documents or files after completing the record period to make a space for future documents. All dead records should be destroyed as per organizational policies. A destruction certificate may be prepared giving the date on which the record was destroyed. A Paper Shredder is a mechanical device used to cut paper into either strips or fine particles to destroy private, confidential or otherwise sensitive documents.

3.3.6 Indexing

Index is a ready guide to the location of the file required. As an aid to filing, indexing can be described as a process of providing a ready reference list of records to locate particular documents at the time of need. It is important to know here that files maintained in alphabetical order are self-indexed and do not require the additional tool of indexing for the purpose of easy retrieval or location but in all other systems, indexing is a must for ready reference and early retrieval.

Importance of Indexing

An index is an essential aid to the filing system. Its importance can be understood from the following benefits:

- i) It facilitates easy location of papers and records whenever needed.
- ii) It provides easy cross-referencing and cross-checking, which ultimately improves the efficiency of office staff, thereby saving time and energy.

Types of Indexing

- Page indexing
- Card indexing
- **The Page Indexing:** It is an old system of indexing. Here index is prepared on papers. This index consists of a page for each letter of the alphabet, fitted with a tab showing the letter and on each page the names are written beginning with the letter and quoting the relevant page numbers. This type of indexing can be in the form of:
 - i. **Bound Book Index:** In this form of index, a bound book or a register is divided into various sections. Each section is allotted an alphabet. Names of the parties and the persons starting from a particular alphabet are written in the concerned section. At the outer margin of the page letter groups are shown by cut outs so that the initial letters of all the sections are visible at a glance. All entries relating to a particular letter of the alphabet are arranged in

the same section or pages reserved for the same letter of the alphabet in a strict alphabetical order. The best example of this type of index is printed telephone directory.

This method of indexing has following advantages

- i. This system is very simple and easy to grasp.
- ii. It does not involve high cost.
- iii. It is good for maintaining records for a longer period.
- iv. Since the pages are bound, fear of loss and disarrangement is not there.

Some of the disadvantages of this system are

- i. It is not flexible. When name of a new party comes which should be placed before an existing name, there may not be sufficient space for it. If an old party's name or record is to be deleted, his name still remains in the index register occupying some space unnecessarily.
- ii. Much time is lost to prepare it and to consult it.
- iii. If one man is busy seeing it, another man cannot consult it simultaneously.
- iv. It cannot show the function of the party unless separate index books are maintained for separate subjects.
- ii. **Loose Leaf Index:** In this type of index, the pages on which the index is prepared are not bound. Here the pages are fitted on to a metal hinges and screwed. Thus, wherever required some pages can be taken out and/or additional pages can be inserted.

This method of indexing has following advantages

- i. This method is very much flexible. The number of sheets can be added or removed as per the requirement. Thus, loose-leaf binders have complete flexibility and can be expanded without disturbing the order or sequence of records.



- ii. The records sheets can be classified in any manner and there can be self-indexing. The sheets can also be rearranged at any time in a new order.
- iii. Tabled index or guide sheets can be inserted at reasonably spaced intervals to facilitate quick location of any sheet.
- iv. The speed of reference and the facilities of making entries in loose-leaf books are so favourable that there is considerable economy of time and labour.

The only disadvantage of this system is that loose leaves can be removed intentionally and there is fear of loss and mishandling.

- **Card Indexing:** Card indexing is the most popular method of indexing. These are commonly used as they overcome the difficulty of an ordinary page index. It consists of a number of cards of a standard size, each concerned with one item of index.

The heading is written on the top edge of the card and the remaining space is used to indicate the place where the corresponding record is kept. The lower portion of a card also carries certain essential information. Cards may be arranged in alphabetical or numerical order and are kept in drawers or boxes specially meant for these. These drawers are divided into sections with 'sticking up tabs'. Sometimes the cards are filed on a rotary deck or on a wheel.

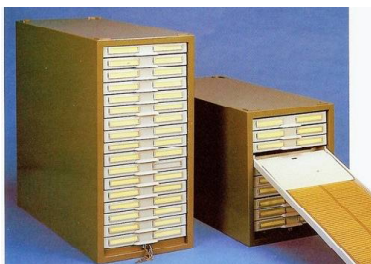
The advantages of card indexing system are as follows

- i. As the cards are serially arranged, it takes very little time to find out a card and to locate the file.
- ii. It is extremely flexible. When a new party comes, the relevant card is prepared and placed at the proper place.
- iii. It can be expanded to any extent.
- iv. It gives some additional services. On the back side of the card, important useful information about the file can be maintained.
- v. By using different coloured cards, they can be grouped according to subjects or regions.
- vi. A mark can be made on the card by fixing a clip, whenever the file of a party has been taken out from the filing rack.
- vii. It can be operated by more than one person simultaneously.
- viii. The system is quite cheap to install and operate. The equipment required includes card and drawers of desired size.

The disadvantages of this system are

- i. All cards cannot be seen at a glance. So it may be time consuming for the filing clerk to locate a particular card out of all.
- ii. The cards may get spoiled because of frequent handling and, therefore, have to be replaced.
- iii. There is a danger of separate cards being lost or manipulated.

However, as the merits of this system overcome its disadvantages, it is widely used in offices including libraries.



- i. **Visible Card Index:** In this system, the cards are laid flat in transparent covers in a metal frame or a shallow tray. Each card is so fitted into a metal hinge that it overlaps the one before it, the name and address on it being visible without touching another card. The trays or frames may be fitted horizontally into cabinets or attached vertically to metal stands. The hinges enable the operator to read on each card, either on back or front, without removing it from its place.

A modern method of visible card indexing is operated with the help of special wheel in which cards are attached to metal rods surrounding a wheel set on a tub or stand. The wheel rotates and can be spun around or held in any position by a brake. It can hold between 1,000 and 4,000 cards.



The advantages of Visible Card Indexing system are

- i. It is a compact index as the number of cards which can be kept in a tray or cabinet (or fixed on wheels, frames, etc., as in card wheel or strip index) is much larger than in other types of index.
- ii. As the main reference (name or subject title) is visible, any card can be instantly located and entries can be quickly made.

The disadvantages of this system are

- i. The requisite type of equipment for visible card index is very costly in comparison to the non-visible card indexing system.
- ii. It is not so easy to understand and operate.
- ii. **Strip Index** : The strip index is type of visible indexing which can be used when entries in an index are limited to a few lines (names, addresses, reference, etc.). It consists, of a frame into which strips of stiff paper can be fitted in any required order. Each strip is devoted to one item. Frames can be either fixed on the wall, held in a book form, or arranged on a rotary stand which can be turned round to look at any part of the index.



3.3.7 Filing Procedure

Let us study filing procedure which is usually used in organizations in case of physical record management.

Step-1: Receiving of a document: A letter or document which has been received through the physical mail is first recorded in Mail Inward Register. Then the same is stamped with 'dating and stamping machine'.

Step-2: Dealing with the Mail: After that, the letter/document is sent to the person that has to deal with it.

Step-3: Follow up Action: It is to be ensured that the action has been taken on the letter/document as required.

Step-4: Collecting Documents to be filed: All relevant documents and copy of the replies must be collected in a filing tray.

Step-5: Sorting: Bulky tags, pins and paper clips are removed from the documents and the same are sorted into convenient batches for filing. Always remember to sort and file by date order.

Step-6: Filing: File regularly so that you are never left with a huge pile of loose documents.

Step-7: Indexing: Carefully refer to index. Each document must be examined to decide under which heading it should be filed.

Step-8: Cross-referencing: In case a document is to be filed in more than one heading/file, put cross reference cards.

Step-9: Storage: The following points to be taken care of while storing documents in files and cabinets:

- a) Use File Trays to keep documents that are waiting to be filed and not on the open shelves.
- b) Sorted batch of papers should be as per the classification method used in the organization.
- c) To avoid inconvenience, open one cabinet drawer at a time and shut it before opening the next.
- d) Insert documents into the file, in date order, placing the latest document on top.
- e) Return the file to the cabinet and remove the guide card, if inserted.
- f) Avoid bulky folders.
- g) Replace the file covers when these are worn or torn off with new ones.
- h) Avoid filing drawers or cabinets to become too bulky or heavy.
- i) Lock up all confidential documents.

In order to observe good housekeeping, a Secretary should leave the table tidy at the end of the day and place all waste papers in rubbish bins. As a secretary, it is your duty to provide the executive all the necessary information and documents as and when required without any waste of time.

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3.4 NOTICE

The persons entitled to attend a meeting must be informed of the time, place, date and business of the meeting in proper time.

The communication informing the persons entitled to attend the meeting about time, place, date and business of the meeting is called the 'notice'.

To make the meeting valid, the notice must be served by the right person by the right means to all the persons entitled to attend the meeting. Usually, the notice is drafted and issued by the Secretary under the instruction of the Director of the company. A notice, in order to be valid, must be signed by the proper authority.

The requisites of the meeting can be classified into the following classes:

1. The notice must specify the exact date, time and place of the meeting.
2. The notice must state the nature of business to be transacted at the meeting. A complete agenda is appended to the notice.
3. The notice should be served to all members entitled to attend the meeting.
4. The notice must be clear and unconditional.
5. Proper length of notice must be given in accordance with the rules of the organisation.

Notice of the first Board Meeting of company with a complete agenda.

Students Helpline Publishing Company

1 College Street, Hyderabad 38

Dated 1st July 2020

13

Notice: This is to inform that the first meeting of the Board of Directors of the company will be held at its registered office at MLRIT, Hyderabad 38, on Tuesday, 22nd July 2020 at 3.P.M.

Your presence is solicited.

D. Roy

Director

Agenda:

1. Election of the Chairman.
- 13 2. Adoption of the Memorandum of Association, Articles of Association and Certificate of Incorporation of the Company.
- 13 3. Appointment of the first Directors of the Company.
- 13 4. Appointment of the Chairman of the Board.
5. Appointment of the Managing Director.
6. Appointment of the Secretary with retrospective effect.
7. Appointment of the Bankers of the Company and Auditors.
8. Fixation of the date of the next Board meeting.
9. Any other business.

Notice for an Annual General Meeting of Chinsurah Cooperative Credit Society

Chinsurah Cooperative Credit Society Ltd.

Regd. Office: 6 Netaji Subhas Road

P.O. Chinsurah, Dist. Hooghly, 712103

Notice

1st July 2019

13 Notice is hereby given that the 10th Annual General Meeting of the Society will be held on 20th July 2019 at 3. P.M. at the registered office of the Secretary at 6 Netaji Subhas Rd, Chinsurah, to transact the following business.

S. N. Sen

Secretary

Agenda:

- 13 1. To confirm the proceedings of the last meeting.
2. To consider the adoption of the Secretary's Report.
- 13 3. To consider the adoption of the Audited Accounts of the year ended 31st March 1992.
4. To consider the question of declaring dividend.
5. To elect the directors.
6. To adopt the budget for 1992-93.

7. To fix up the borrowing power of the Society.
8. To consider any other business with the permission of the Chair.

Notice of the Board meeting other than the first

Roychowdhury Chemicals Ltd.

Regd. Office, 10 Netaji Subhas Road

Calcutta 700 001

2nd February 2021

To

Mohan

Director

326, Surneni Nilayam

Dear Sir,

The 11th meeting of the Board of Directors of Roychowdhury Chemicals Ltd. will be held at the Registered Office of the Company at 10 Netaji Subhas Rd. Calcutta 700001, on Monday, 25 February 2021 at 3 P.M.

Your presence is solicited.

Yours faithfully

Tapan Roychowdhury

Secretary

Agenda:

1. Confirmation of the minutes of the 10th Board Meeting.
2. Approval of share transfer.
3. Production of financial statements and declaration of interim dividend.
4. Consideration of opening a new branch at Bhubaneswar.
5. Fixation of the date of the next Board Meeting.
6. Any other business with the permission of the Chair.

Notice of the Statutory Meeting of a Public Company

Raj and Raj Co. Ltd.

Regd. Office, 2 Netaji Subhas Road

Calcutta 700 001

1 February 1998

Notice

Pursuant to Section 165 of the Companies Act, 1965, Notice is hereby given that the Statutory Meet-ing of the Company will be held at the Registered Office of the Company on Monday 1 March 1998 at 3 P.M.

A copy of the Statutory Report is annexed herewith.

By order of the Board

B. Das

Secretary

Agenda:

1. Consideration and adoption of the Statutory Report.
2. Inspection of the list of Members.
3. Discussion on any matter related to the formation of the company.

Note: A member entitled to attend and vote is entitled to appoint a proxy to attend and vote in case of poll only instead of himself and the proxy need to be a member of the company.

A proxy form is attached herewith.

3.5 CIRCULAR

Circular letters are used to communicate the same message to a large number of customers and suppliers. If they are written in an attractive style and in an interesting manner it will be effective for business communication.

When a business-man wants to give publicity to a cause or a campaign they go for circular letters. Through such letters the readers are provided with facts and figures about the firm. The circular letters aim to create the interest in the contents and thereby win the confidence of the readers.

Circular letters are normally used when opening of a new branch, change of premises, introduce a new article, reduction of sales, admission, retirement and death of a partner and change in the constitu-tion of the firm.

While drafting a circular the following points should be kept in mind:

1. The circular letter must be drafted carefully.
2. They must be informative.
3. They must not be ambiguous.
4. The circulars must be courteous in tone and pleasing in form.
5. While drafting a circular letter the purpose of the same should be kept in mind.
6. The circular letter must be concise.

Purposes: The circular letters are issued for many purposes.

Generally, a circular letter conveys the following types of information:

1. Establishment or transfer of a business.
2. Opening of a new branch.
3. Change of premises.
4. Taking over a business or closing down a business.
5. Dissolution or amalgamation of business.
6. Appointment, discharge or retirement of an important employee.
7. Admission or death of a partner.
8. Issue of bonus shares.
9. Offer of right shares to shareholders.

Draft a circular letter to customers and dealers announcing the opening of a new branch

Bata Shoe Company
23 Chowringhee Road

Calcutta 700 019

Circular No N/B/6 March 15 2019

Dear Sirs

We have the pleasure to announce the opening of our new branch at 10, Zonal Central, Durgapur, West Bengal, in order to cope with the increasing demand for our products in that area. Mr. S. M. Bhattacharya has been appointed the Branch Manager. The new branch will start operation from 20 March 2019.

With your cooperation and patronage, we have been able to supply different types of shoes to cater various types of customers for the last 60 years.

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We hope you will extend your patronage to our new branch and we assure you of our best attention at all times.

Yours faithfully

S. N. Basak

Sales Manager

3

Draft a circular letter to customers and dealers announcing of a new showroom

Khadi Gramoudyog Ltd.

37 Chittaranjan Avenue

Calcutta 700 020

2nd January 2018

Dear Sirs

We have the pleasure in announcing the opening of a new showroom for our products at 57 College Street, Calcutta 700013, to meet the growing demand of our Central Calcutta customers. The showroom will be inaugurated on 1st February 2018.

The site for the new showroom at College Street is excellent as it is very convenient to the customers residing in College Street area and North Calcutta.

Mr. S. M. Bose, who was Assistant Sales Manager in our main showroom, has been appointed the Manager of our new showroom at College Street branch.

We hope you will kindly extend the same patronage to our new showroom as you extended to our main stores.

Yours faithfully

S. C. Patel

Director

3.6 PREPARATION OF NOTICE, AGENDA AND MINUTES OF MEETING

7

Some of the major components of a business meeting are :

1. Notice of Meeting,
2. Agenda of Meeting and
3. Minutes of the Meeting.

1. Notice of a Meeting: When a meeting is to be convened, a notice is required to be sent to all who are to attend it.

It should satisfy these conditions:

1. It should be under proper authority
2. It should state the name of the organisation
3. It should state the day, date, time, and place. Also, sometimes, how to reach the place.
4. It should be well in advance. Some require seven days' notice, some 48 hours'.
5. It should state the purpose and, if possible, the agenda
6. It should carry the date of circulation and convener's/secretary's signature.
7. It should go to all persons required at the meet
8. It should mention the TA/DA etc. payable and the arrangements for this.

In practice, it is necessary to ensure that the notice has reached in time. This may be done telephonically. Dispatch section and post are prone to delays.

We often find that between the date of a letter from a major public organisation and the post mark on the letter, there is a gap of 10-12 days. A notice that should reach seven days before a meet should not reach seven days after the meet.

3

Specimen Notice

Seven Hills Housing Cooperative Society, Sundar Nagar, New Delhi

Notice of Meeting

11th September 2011

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The 44th meeting of the Executive Committee will be held at 8.00p.m. on Sunday, 22nd September 2011 in Sankar Auditorium. The agenda is given below.

44.01 Minutes of the previous meeting

44.02 Appointment of a new watchman

44.03 Celebration of Kojajiri

44.04 Donations for flood relief

44.05 Permission to sell flat

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44.06 Defaulting members

44.07 Purchase of a generator

44.08 Any other matter with the permission of the Chair.

You are requested to attend the meet.

Rajnath Mistry

Executive Secretary

cc: To all members

Itwari Kirana Dealers Association

Resham Oil, Nagpur

Notice of Meeting

To: All members

Notice is hereby given that the Annual General Meeting of the members; of IKDA is scheduled to be held on 1st November, 2011 at 4.40 p.m. at Hotel India Sun, Central Avenue to consider the following business:

- To receive and adopt the income and Expenditure Account, Balance Sheet, and Report of the Auditors for the year ended Diwali 2011.
- To elect President, Vice President, Honorary Secretary, Treasurer and Executive Committee Members for the current year.
- To prepare a representation to the NMC; about the actions of the Anti-Encroachment Squad.
- To discuss any other matter for which at least SEVEN day's advance notice is given and which is approved by the Chair.

By order of the Executive Committee

Nagpur

Arun Maira

20th October 2011

Honorary Secretary

3

2. **Agenda:** As stated earlier, an agenda is the list of items to be considered at a meeting. It is also called business or order of business. It comes from the Latin word *agendum* (singular) which means 'a thing to be done.' But *agenda* (the Latin plural) is used as a singular noun.

It is the route map of the meeting. The specimen notices above already contain a hint of how it is written. The agenda may be a part of the notice or may be attached as an annexure. The convenor/secretary prepares it in consultation with the chairperson and gets his approval.

The items of agenda should cover all that is necessary to be considered at that time. Meetings take time and effort to arrange; hence the agenda has to be well thought out.

The items may be devised from:

- (a) Previous minutes
- (b) Suggestions received
- (c) Actions and events since last meeting
- (d) Correspondence of the organisation

The agenda contains routine items as well as special ones.

Here are some guidelines for listing the items:

1. Apologies from absent members (need not be written previously).
2. Condolences if any (may or may not be written previously).
3. Reading and approval of minutes of the last meet.
4. Matters arising out of previous meet's minutes (this need not always be mentioned).
5. Urgent and non-controversial items.
6. Matters requiring closer discussion and debates.
7. Any new, on-the-spot items with the approval of the chairman.
8. Date of the next meet.

The last item in a meeting is a vote of thanks to the chairman but this need to be mentioned. The items are mentioned briefly or elaborately according to the practice or need.

The style used is as follows:

- (i) Appointment of auditors
- (ii) Induction of new members
- (iii) Reading of minutes
- (iv) Felicitating so-and-so on the award of Padmashri to him/her

OR

- (i) To read and approve the minutes of the previous meet.
- (ii) To consider the advertisement draft.
- (iii) To organize a blood donation camp.
- (iv) To appoint sub-committees for sports competition and music competition.

The agenda should be manageable within the time at disposal. Some clubs have a time limit for the duration of a meeting (e.g. 90 minutes), which automatically dictates the scope of discussion.

Specimen Agendas

Suyash Cooperative Society

Pune

Agenda for the 44th Meeting dated 1.9.2011

1. To confirm minutes of the 43th meeting (1.8.2.11), copy enclosed.
2. To sanction loans to eligible applicants (copies of applications to follow).
3. To review the working of the Canteen Committee.
4. Any other matter with the approval of the Chair.
5. Next meeting.

3. **Minutes of the Meeting:** The minutes of a meeting are the record of the discussions/decisions therein. They have an official status; they are useful in law, and in some cases required by law to be written. Minutes are final when they are approved by the members of the group to which they relate, generally in the next meeting, and signed by the chairperson.

Even if there are emotional moments in a meet, the minutes are written in an unemotional manner, are cool, factual, impersonal, and impartial. Moreover, such are the demands of time on most people that the minutes should be concise, boiled down to the essentials.

Only some organizations' require that they record the detailed discussions as well (i.e. who said what and what were the reactions... until the decision was reached). Normally, the body of the minute's records.

- (a) The motions and amendments thereto.
- (b) The proposer and seconded of motions.
- (c) The details of voting, if any.
- (d) Recommendations.
- (e) Decisions/ resolutions.
- (f) Tasks assigned to individuals, sub-committees.

The overall minutes should give:

1. The name of the organisation/ unit.
2. Day, date, time and place.
3. Number in order (e.g. 33rd meeting of...).
4. Names of chairperson and secretary.
5. Names of members present
6. Names of the absent
7. Attendees by special invitation, e.g. auditor, caterer, etc.
8. Record of the transactions (on the guidelines given above)
9. Signature of secretary and, after approval, that of the chairman.

Tips for writing minutes: The minutes are written generally by the secretary from the notes taken during the meet. He/she can use the agenda as the framework for writing them and use short forms, shorthand etc. to take quick and accurate notes. He may have to ask members to repeat their words to get them right.

He should note down all the particulars needed for the fair copy of minutes. The items of the minutes can be written under short headings such as are used in the agenda.

(As for reading them, some committees circulate them in advance and take them as read. Otherwise the reader should read them loudly, clearly, and quickly.)

Style wise, they use one of these constructions

- a. It was resolved that the minutes of the previous meeting be approved.
- b. It was decided that a sub-committee be set up to consider
- c. Resolved that a blood donation camp be held on 15th August. (The verb is used in the subjunctive mood: “be done, be appointed”, etc.)

Alternatively, the description is given in the past tense

1. Minutes of last meet: The secretary read out the minutes of the meet dated... and they were approved.
2. Donation received: The chairman informed that he had received a donation of Rs. 50,000 from ex-member Mr. Gopal Rathi.

At the time of approval, the chairman asks, “Do you accept the minutes as they stand?” OR “Any matters arising out of the minutes?”

Your ability to write good minutes can earn you a prize position in an organisation. Also, if you hold a position and do not know how to write minutes, you may face embarrassment.

Speciman Minutes

1. Archana Literary Society, New Delhi Minutes of Meeting dated 1st August 1999	
Place and Time of Meeting	Residence of President Dr. Mansha Khan at A-12 Connaught Circus, 3.10 p.m.
Roll call	Members present: Dr. Mansha Khan (Chairman) Mrs. Padma Raut Col. Devrajan (Secretary) Ms. Dilnawaz Kantawala Mr. Bharatendu Jain Mr. Prabhat Kumar Khatri Mr. Amrit Bose Mrs. Amrita Bose
Members absent:	Dr. Rajan Chhabra
Approval of Minutes of the Meeting	The minutes of the meeting dated 25th Last June were read by the secretary and confirmed.
Treasurer's Report	The treasurer Mr. B. Jain, circulated his report of the earnings and outgoing of the fete held on 10 th July, which was accepted.
Briefing for All-India Poetry Meet	The President Dr Mansha Khan briefed the members about their roles in the forthcoming All India Fort on 26th January 2000.
Induction of New Members	The membership application of four applicants Mr. D. K. Dawani Ms. Snehlata Sharma Mr. L.K. Gosai and Mrs. Geeta Hariwanshi were accepted. The application of Prof. F. F. Guha was held in abeyance owing to invalid recommendation.

35

Sub-committee for Publication Unit	A. sub-committee of three members Mr. Devrajan Mr. Amrit Bose was set up for launching a publication unit.
Date of Next Meeting	The next meeting was scheduled for 15 th September.
	Col. Devrajan Secretary

Specimen Minutes

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2. SBI Zonal Office Employees' Welfare Organisation Anrangabad

Minutes of Executive Committee Meeting

Meeting no.: 15 Time: 9.15 a.m.
Date: Sunday, 1 January 2011 Place: Staff Welfare Hall
Present: ABC (Chairman) NOP
DEF (Secretary) QRS
GHI TUV
KLM
Absent: None

3

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Sr. no.	Item
1.	Meeting called to order at 9.20 a.m.
2.	Minutes of the 14th meeting dated 20th November 2006 read and accepted.
3.	DEF proposed and TUV seconded and ABC was renominated chairman for the year 2011 unanimously.
4.	Sankrantri get-together decided to be held on 15th January. Sub-committee to be headed by NOP, with GHI and QRS as members.
5.	Meditation camp decided to be organised in the first week of February under the guidance of Swami Swarajanand. DEF to head the organising.
6.	Next meeting to be held on 31th January.
7.	Meeting ended at 10.05 a.m. with a vote of thanks to the Chair.

3.7 PRESS NOTE

A Press Note is a policy document responsible for facilitating foreign investment, technology flows, and monitoring industrial development in liberalised India. One of the chief functions of the DIPP is to formulate and regulate FDI Policy. To exercise this function, it issues Press Notes that enshrine the policy regulating the manner and form of FDI into India. These are issued on an ad-hoc basis, when DIPP aspires to amend existing policy. Once issued, they acquire the force of law.

As per the Government of India (Allocation of Business) Rules, 1961, in exercise of powers conferred on the President under Article 77(3) of the Constitution, DIPP is constitutionally empowered to frame executive policies on “Direct Foreign and non-resident investment in industrial and service projects”.

3.7.1 Press Notes have the Force of Law

Though Press Notes have the force of law, they do not go through the legislative process, nor are they placed before Parliament. Article 245 of the Constitution states that Parliament has the authority to make laws for the whole or any part of India. Press Notes, however, are non-legislative state actions or Executive actions. The question that arises is whether an admittedly legislative act (such as regulating sectoral FDI limits) may be perpetuated purely by Executive orders, such as a Press Note, and whether there is any constitutional/ legal requirement to have the same ratified by Parliament.

All non-legislative state actions, e.g. Press Notes, that operate as laws must usually fall into one of these two categories: (i) Delegated Legislation; or (ii) Executive Action.

Delegated legislation contemplates administrative actions in furtherance of a statute and is an internationally accepted mode of law making. It draws legitimacy from an underlying parent legislation, wherein the Legislature delegates its law-making power to the Executive. Delegated legislations are not formulated by the sovereign, and therefore are dependent on an enabling statute or authority for continued existence. The Legislature may accordingly empower the Executive to carry out statutory functions, which may be considered as ‘legislative’ powers.

However, applying this principle to DIPP’s Press Notes we find that:

The power to issue Press Notes flows directly from the sovereign (since Press Notes are issued by India’s highest authority, the Central Government (CG), or the sovereign)

It is not dependant on any superior authority for its existence (such as the Legislature). Not being dependant on a statute, and for the abovementioned reasons, Press Notes cannot be considered as delegated legislation.

Executive Action contemplates actions taken by the CG in its sovereign authority. Article 73 of the Constitution states, in part, that subject to the provisions of the Constitution, the Executive power of the Union shall extend to matters with respect to which Parliament has law making powers, implying that CG can validly take Executive action in all areas where Parliament's legislative power extends.

It has been established that absent any legal provisions to the contrary and vide Article 73, the CG does not require any legislative sanction or authority for exercising Executive power. In *Ram Jawaya Kapur v. State of Punjab*[1], the Supreme Court (SC) stated that while the Executive has no authority to act against the provisions of a law, it is not a corollary that to enable the Executive to function, relating to any matter within the scope of its authority, there must be a law which specifically authorises such action.

Executive functions comprise both determination of the policy and its execution. Thus, the CG, acting through the DIPP, does not require any law to authorise its Executive action, be it determining or executing FDI policy. Further, since Article 73 is itself subject to the provisions of the Constitution, and in the absence of such a restriction of exercise of the Executive's policy making functions, it cannot be said that the DIPP's functions are ultra vires the Constitution.

The Government Issue Press Notes for all its Executive Actions

The principle of jurisdiction is that Executive action may extend to all areas where Parliament's legislative power extends, except in matters of occupied field i.e., where prior legislation over the subject matter exists; and the Executive action violates such legislation. In such a case, the existing legislation will prevail and the Executive action will be struck down.

While there are specific entries in the Union List (i.e., matters wherein Parliament has the power to legislate and to which the Executive power of the Union extends), there is no express entry on FDI when dealing with foreign exchange and the Reserve Bank of India (RBI). Consequently, the same falls within the purview of residuary Entry 97 of the Union List and therefore, the Parliament will have the power to

legislate on the same and the Union's executive power will extend thereto.

Currently, FDI is not an occupied field, except for certain overlaps with provisions under the Foreign Exchange Management Act, 1999 (FEMA). Accordingly, the Union is competent to regulate FDI Policy through Executive orders such as Press Notes or the extant consolidated FDI Policy so long as they do not conflict with the statutory provisions under FEMA.

4

3.7.2 Press Notes are Subject to Judicial Review

As Executive actions have the force of law, they are subject to the same tests to which a law is, such as reasonableness, arbitrariness, violation of fundamental rights and the doctrine of ultra vires.

All Executive actions are subject to judicial review but on limited grounds. The SC in *M.P Oil Extraction v. State of Jammu and Kashmir*[2] held that the courts, while exercising their power of judicial review of Executive actions, must be cognizant of the 'doctrine of separation of powers'. That means they must avoid overstepping their judicial limits but may interfere where the policy is absolutely capricious, arbitrary, not informed by reason or based on mere ipse dixit[3], which offends the fundamental right of equality under Article 14 of the Constitution.

It would be difficult however to challenge the validity of Press Notes merely on the ground that though legislative in effect, they are not ratified by Parliament. Article 73 of the Constitution admits no such argument.

In this context it is important to refer to the observations of the SC in *M. L. Sharma v. Union of India*[4] wherein the validity of FDI Policy on multi-brand retail trading was challenged under Article 32. The SC held that in relation to policy matters, courts cannot interfere unless the same is "unconstitutional or contrary to the statutory provisions or arbitrary or irrational or in abuse of power."

3.8 MAINTENANCE OF FILES AND RECORDS

10

While the records are active within your office, they must be filed appropriately using the file classification plan and maintained on a day-to-day basis until the file is closed. All records should be managed together using the same file plan regardless of format (paper, electronic, other media).

Although the terminology for paper and electronic records may differ, they should be managed in the same way. In paper format, documents are stored in file folders; in electronic formats, single documents are referred to as files and are grouped into electronic folders.

1. **Recordkeeping Systems:** There are three types of recordkeeping systems in common use: paper files, shared drives and customized software systems. These are not always mutually exclusive as offices frequently retain some records in paper, for example, while managing other documents entirely within shared drives. Each system has its advantages and disadvantages.

Paper filing systems have been used traditionally in office environments and are still used in environments where offices receive a lot of incoming paper documents or where the original format must be retained in order to ensure the integrity of the document (e.g. where a signature is required). However, the rationale for managing paper systems is decreasing as more records are created digitally, transactions occur online, and laws of evidence are amended. Furthermore, paper filing systems do not provide the same level of searchability as electronic systems.

Nevertheless, paper files tend to be fairly well managed because they occupy office space, and so their maintenance is usually assigned to an administrative staff member who ensures the files are moved out of the office or destroyed as appropriate.

Shared drives have become a common method for organizing and storing records in the modern office environment where paper filing systems no longer exist. The advantage of shared drives is that records which are “born digital” can remain in electronic format and are easily retrievable at the desktop. The disadvantage to shared drive filing systems is that their maintenance is often not assigned to a staff member so they become dumping grounds for all sorts of records. As well, shared drives may not be able to handle the management of certain kinds of records, such as databases, or email from certain systems (see Special Issues - Email). Where shared drives are used, it is important that a staff member be given responsibility for managing the drive, including ensuring folders are named properly, and that retention and disposition rules are implemented.

Electronic records management systems are specialized software applications designed to classify records and manage them through their

life cycle. Their advantage is that they combine powerful search and retrieval capabilities with the ability to manage records and information across the institution both paper and electronic. They are designed to manage secure access to documents, handle version control, track use of documents, and automatically implement retention and disposition rules. Furthermore, they maintain important recordkeeping metadata to ensure the integrity and authenticity of official records. The disadvantage to such systems is that they require a financial investment and usually some customization. Where they exist, such systems tend to be well-managed as their maintenance must be assigned to a responsible employee.

8

2. **Official Format:** Many records are created in both electronic and paper form. In order to avoid duplication, units should decide in which format to keep the official copy. The decision must be applied consistently for each file class and should be noted in the file plan.

8

3. **Keeping Track of Files and Folders:** The file plan will reflect the file classes used within the unit. Units should also keep a listing of files opened and closed that fall within each of the file classes. It is useful to create such a list so that the unit:

- Knows what files have already been created (more important for paper filing systems where the physical file folders are likely stored in a separate file room or in multiple offices).
- Can search for files that have been sent to storage (again, more useful in a paper environment).
- Can quickly prepare a listing of files when it comes time to implement the retention and disposition.

The list can take any format: table, spreadsheet, database. It is useful to include the following information for each file:

- File Class Code (from the CRS).
- File Title.
- Date Range.
- Contents/Description (optional).
- File Number (optional).
- Location (optional).
- Status (open or closed) (optional).
- Keywords/Names (optional).

8

4. **Opening Files and Folders:** Before opening a new paper file or electronic folder, use the file listing to ensure that a similar file doesn't already exist. Also, ensure that it will contain University records; transitory records should not be filed.

Each paper file or electronic folder should be labelled with the file class code. This is important because the file class code corresponds to a specific retention and disposition rule.

Titles should be assigned to each file or folder. The title should accurately reflect the contents. Avoid using vague titles such as "Miscellaneous". Units should decide on the format of file titles (spaces, capitals, date) and consistently apply the same conventions for all their paper and electronic records. See Tip Sheet 6 on Naming Conventions for Electronic Files and Folders.

For paper files, labels can be generated from the file listing using only the fields necessary to identify the file. At a minimum, these should include: file plan code, file title, and date. For electronic folders, the file class can serve as the primary folder (directory) level, with sub-folders (sub-directories) underneath reflecting the file titles.

NOTE: It is a good practice to open a new file when a folder becomes too large to handle. When a new volume is opened, bring forward active records to ensure continuity.

8

5. **Using Documents and Files:** Throughout their lifecycle, records will be used for operational and administrative purposes. Units should develop their own protocols around the versioning of documents, and the manner in which documents will be checked out for use. For paper filing systems, a charge-out card system is often used to ensure that files do not go missing. Electronic records management systems can be configured to provide this charge-out function as well. For documents on shared drives, it is important that documents used and updated are given version numbers or some other indication of any changes made (see Tip Sheet 6 on Naming Conventions for Electronic Files and Folders).

It is important to ensure that confidential records are managed in a way that ensures confidential information is not disclosed inappropriately (see Tip Sheet 2 on Confidential Records).

8

6. **Closing Files and Folders:** A file can be considered closed when no more records are to be added to it. The closure of a file can be triggered in a number of ways: by date, by event, or at the discretion

of the unit. Normally the retention period begins when a file is closed.

Date: many files are closed based on a year – calendar, fiscal or academic. At the beginning of the year, a new file is opened and the retention period begins for the closed file.

Event: a file may be closed based on an identifiable event. For example, a file might be closed when a contract expires, an employee leaves, or at the end of a dean's term.

Continuous: files which do not have a definitive date or event triggering their closure are considered to be open 'continuously'. The decision on when to close such a file is up to the unit, but often such files are closed when an issue is resolved or when the file is no longer of operational use.

8

7. **Creating an Office RIM Protocol:** Each unit should assign responsibility to a staff member for overseeing the records and information management (RIM) activities within the office.

It is recommended that each unit create its own RIM protocol, a written document setting out responsibilities and operational procedures for managing the unit's records and information.

3.8.1 Improve Records Management in Any Office

In most offices only about 25% of the paper is program record materials that need to be managed in the office. That means that 75% of the paper mountain we face falls into one of the following categories:

- Administrative records used to carry out routine operations.
- Older program records that can be stored offsite.
- Working files used by staff to carry out their assigned duties.
- Reference materials.

The trick to good records management is identifying which of the files in your office belong to each category, and managing them appropriately. Here are 10 suggestions for improving records management in your office. By applying any or all of them, you will decrease the amount of paper in your office, increase the amount of available space, and improve staff efficiency. The key idea is to understand what portion of the paper in your office really needs to be managed.

1. Segregate your paper into four categories: records for which your program is responsible, administrative records, working files, and reference materials.
2. Set up a "records center" or official file station for your major program files. Make someone responsible for each major program file your office maintains, and send those persons to records management training.
3. Apply your records schedules. Most programs keep more records longer than they need to. Hold regular cleanup days to encourage staff to retire older records to the Federal Records Center or recycle them as the schedule specifies.
4. Draft lists of documents that need to be included in the official program files and those that don't need to be retained. Coordinate this list with your records manager and counsel as necessary.
5. Cut off your program and administrative files at the end of each year. Start new files and bring forward only the material that is still active. This will simplify retiring inactive records later.
6. File records by type and by disposition rather than filing everything together. For example, file final reports which have a long retention and active life separately from drafts which have a short retention. Separate controlled correspondence from general correspondence, and so on.
7. Use the Agency's file codes to help you organize your files. Arranging them in this manner will assist with the year-end cleanup process.
8. When you create a new type of record or file, develop a disposition for it in conjunction with the records management program. This will allow you to plan how long you need to retain records.
9. When you automate, be sure to include records management considerations and responsibilities in your mission needs analysis.
10. Set up a central reference file for documents that are needed by the staff on an occasional basis, rather than having each staff member retain a copy.

3.9 MAINTENANCE OF INVENTORY RECORDS

Part of maintaining an efficient office is ensuring that everyone has access to the tools they need. While it can be difficult to decide which

tools an office can most benefit from, one resource that the entire office uses is office supplies. But when everyone needs access to the same supply room, how do you prevent it from being abused?

Managing Office Supplies: Office supplies are easy to use and easier to run out of. Paper, pens, inks, toners, staples, tape, paper clips, and more are all important, but can become a hassle if they aren't monitored. Also, your employees may take too many office supplies at once, which can lead to over-ordering and overspending.

Workplace flexibility can increase these issues. How should you regulate supply use when some employees work remotely for some or all of the week?

Looking for better ways to manage your office supplies? See our strategies below:

1. **Limit Access to Supplies:** Start by improving the organization system you already have. How do you currently keep track of supplies? Open supply rooms, while great in theory, are often poor in practice because they don't limit which or how many supplies employees can take.

There are three ways to limit access. First, you can appoint someone to be the gatekeeper. This person is in charge of the supply room; if employees need office supplies, then they must go through the gatekeeper to get them. This is the most effective method for maintaining inventory, but it may be inefficient for offices that don't have someone who can absorb a gatekeeper's responsibilities.

Second, you can limit access to a select group of employees. By installing a keypad or putting a lock on the supply room door, you can still control the flow of office supplies. The group of employees you select should be the only individuals who know the keypad code or who have a copy of the supply room key. They can then distribute office supplies to employees as is necessary.

Finally, you can create a log for employees to use and keep it in an open supply room. Employees should write down which supplies they take, how many they take, and when they take them every time they leave the supply room. While this may be the easiest of the three options, it is also the least effective because it relies on the honor system. Employees may forget to fill it out, which can cause confusion and bring the office back to square one. Choose the option that is best for your office based on how often you use office supplies and whether or not your office is already experiencing a misuse of supplies.

2. **Organize what you already have:** Once you have decided how to limit access to office supplies, it's time to organize your supply room. Make it easy for employees to find the supplies they need by grouping similar items together (for example, put paper clips and thumbtacks on the same shelf). Place the most frequently used items on shelves at eye level and place less popular items higher up. If something isn't being used, toss it and make a note not to order more in the future.

Keep the supply room as neat as possible. Encourage employees to put extra supplies back where they found them. If you have a larger supply room, you may want to post a list that explains where different supplies can be found. Organizing your supply room this way will also make maintaining an inventory much easier.

3. **Use it up first, then buy more:** Prevent over-ordering by encouraging employees to use up what the office already has before they break into new supplies. After a certain amount of time, paper will turn yellow, inks and toners will dry out, and pens will stop working, so use up what's already available first. This also prevents the office from wasting money by throwing out supplies that were never opened but grew too old to use. You'll reduce waste and the office's carbon footprint and you may even help out the planet a little, too.

4. **Strategize when to reorder supplies:** Many office supply companies offer a discount when companies order in bulk. To get the most out of your company's dollars, you want to order the most supplies your office will need right when you run out of them. The ultimate goal is to avoid an excessive order (see tip above), but to place one that is large enough to merit a bulk discount.

Keep track of which supplies your office uses the most and how long it takes to receive a shipment of those supplies. You should combine these numbers to find a time when the office will be low on supplies but not so low that it will run out before the next shipment arrives. It's a careful science, but one that will pay off in the long run.

Consider setting up an automated reorder process with some or all of your supply companies. This way, you will always receive a shipment in time and you won't forget to place an order in the future.

5. **Keep an inventory log:** Keeping an inventory log is the best way to ensure that you always know how many supplies the office

has. If you are unsure where to start, try downloading a free office supply inventory template from one of the many available online. This one is great to start with, and you can adjust it to fit your office's needs.

But an inventory log only works if it is regularly updated. Be sure to periodically perform inventory checks so you can revise your log and remain aware of which supplies may be running low. A good rule of thumb is to always have enough office supplies on hand to keep your workplace running for one week.

3.9.1 Maintaining Inventory Records

The following sections detail the activities that keep Inventory up-to-date and provide status and auditing information. The activities are:

- Adjusting Stock Levels.
 - Recording the Receipt of Goods.
 - Transferring Stock Between Inventory Locations.
 - Ordering Stock.
 - Checking Stock Levels.
 - Inspecting Stock History.
1. **Adjusting Stock Levels:** The Stock Levels tab is important for managing stock quantities. It lists all the product variations and the possible stockpoints.

Details	Display	Inventory Detail	Suppliers	Barcodes	Sell Prices	Stock Levels	Stock History	Reservations
Adjust... Count... Receipt... Transfer... Order... Receipt Order...								
Location	Code	Variations	In Stock	Reserved	Required	On Order		
Box Office	CTTLG	Large - Grey	0	0	0	0		
Box Office	CTTLK	Large - Black	0	0	0	0		
Box Office	CTTMG	Medium - Grey	0	0	0	0		
Box Office	CTTMK	Medium - Black	0	0	0	0		
Box Office	CTTSG	Small - Grey	0	0	0	0		
Box Office	CTTSK	Small - Black	0	0	0	0		
Gift Shop	CTTLG	Large - Grey	0	0	0	0		
Gift Shop	CTTLK	Large - Black	0	0	0	0		
Gift Shop	CTTMG	Medium - Grey	0	0	0	0		
Gift Shop	CTTMK	Medium - Black	0	0	0	0		
Gift Shop	CTTSG	Small - Grey	0	0	0	0		
Gift Shop	CTTSK	Small - Black	0	0	0	0		
Storeroom	CTTLG	Large - Grey	0	0	0	0		
Storeroom	CTTLK	Large - Black	0	0	0	0		
Total			0	0	0	0		

When you are first setting up Inventory and have existing stock to enter, or if you need to correct stock levels for a reason such as stock being written off, you will need to adjust the quantity of stock in Inventory. Select an entry in the table and click the Adjust... button.

Details	Display	Inventory Detail	Suppliers	Barcodes	Sell Prices	Stock Levels	Stock History	Reservations
Adjust...	Count...	Receipt...	Transfer...	Order...	Receipt Order...			
Location	Code	Variations	In Stock	Reserved	Required	On Order		
Box Office	CTTLG	Large - Grey	0	0	0	0		
Box Office	CTTLK	Large - Black	0	0	0	0		
Box Office	CTTMG	Medium - Grey	0	0	0	0		
Box Office	CTTLV	Medium - Black	0	0	0	0		

In the Adjustment field, enter the correction that is required. If Inventory has fewer items on record than are actually on hand, enter a positive number to make the right correction. If Inventory has more items on record than are available for sale, enter a negative number to correct the Inventory record. When entering existing stock levels when setting up Inventory, this means we enter the number of items on hand.

There is a Reason field with options to select. The options are customised in Administration at Setup > Inventory > Transaction Reasons. Examples could include Initial Stock and Write-offs. Depending on how the transaction reason has been specified, you may also be required to enter a comment further explaining the stock adjustment. For example, if Write-offs requires a comment when selected, "shop soiled" might be entered to explain the correction.

Stock Adjustment
✕

Product:

CTTLG - Comedy-Tragedy Tee - Large - Grey

Location:

Box Office

Current Stock:

0

Unit Cost:

0.00

Adjustment:

15

(+ve to increase / -ve to decrease)

Reason:

Initial Stock

Other

Changed By:

PBS

OK

Cancel

Another occasion when stock counts need to be corrected is during a stocktake. Instead of hand-calculating the necessary stock adjustments and using the Adjust... button described above, select a product variation and location and click the Count... button.

Enter the New Count for the product variant, and select a Reason from the list. The options are customised in Administration at Setp > Inventory > Transaction Reasons. An example reason might be Stocktake. Depending on how the transaction reason has been specified, you may also be required to enter a comment.

Details	Display	Inventory Detail	Suppliers	Barcodes	Sell Prices	Stock Levels	Stock History	Reservations
Adjust...	Count...	Receipt...	Transfer...	Order...	Receipt Order...			
Location	Code	Variations	In Stock	Reserved	Required	On Order		
Box Office	CTTLG	Large - Grey	15	0	0	0		
Box Office	CTTLK	Large - Black	0	0	0	0		
Box Office	CTTMG	Medium - Grey	0	0	0	0		
Box Office	CTTMK	Medium - Black	0	0	0	0		
Box Office	CTTSG	Small - Grey	0	0	0	0		
Box Office	CTTSK	Small - Black	0	0	0	0		
Gift Shop	CTTLG	Large - Grey	0	0	0	0		

Recording the Receipt of Goods: When shipments arrive from a supplier, enter the shipment quantities into Inventory. Click the Receipt... button.

Details	Display	Inventory Detail	Suppliers	Barcodes	Sell Prices	Stock Levels	Stock History	Reservations
Adjust...	Count...	Receipt...	Transfer...	Order...	Receipt Order...			
Location	Code	Variations	In Stock	Reserved	Required	On Order		
Box Office	CTTSG	Small - Grey	0	0	0	0		
Box Office	CTTSK	Small - Black	0	0	0	0		
Gift Shop	CTTLG	Large - Grey	0	0	0	0		
Gift Shop	CTTLK	Large - Black	0	0	0	0		
Gift Shop	CTTMG	Medium - Grey	0	0	0	0		
Gift Shop	CTTMK	Medium - Black	0	0	0	0		
Gift Shop	CTTSG	Small - Grey	0	0	0	0		
Gift Shop	CTTSK	Small - Black	0	0	0	0		
Storeroom	CTTLG	Large - Grey	0	0	0	0		
Storeroom	CTTLK	Large - Black	15	0	0	0		
Storeroom	CTTMG	Medium - Grey	15	0	0	0		
Storeroom	CTTMK	Medium - Black	15	0	0	0		
Storeroom	CTTSG	Small - Grey	0	0	0	0		
Storeroom	CTTSK	Small - Black	0	0	0	0		

In the Stock Receipt window, select the Supplier of the shipment from the list of options. Enter the shipment Reference from the consignment slip, correct the Unit Cost if necessary, and enter the Qty to Receipt. Make sure you enter the number of product items, not the number of shipping units. If three packets of t-shirts arrive, and each

packet holds five t-shirts, the consignment slip may specify 3 packets, but Inventory needs to be told about 15 t-shirts being entered into the system. In this case, 15 would be the correct number to enter.

Stock Receipt

Product:

CTTSG - Comedy-Tragedy Tee - Small - Grey

Location:

Storeroom

Current Stock:

0

Reserved:

0

Backordered:

0

Supplier:

Tee Shirts 'R' Us

Reference:

LIS00334

Unit Cost:

12.47

Qty To Receipt:

15

Changed By:

PBS

OK

Cancel

Transferring Stock Between Inventory Locations

Transferring stock between inventory locations is necessary when moving stock from storage to sale locations, or when one sale location requires an item in stock at another sale location. Select a product variation at the location you are moving products from, and click the Transfer... button.

Details Display Inventory Detail Suppliers Barcodes Sell Prices Stock Levels Stock History Reservations						
Adjust... Count... Receipt... Transfer... Order... Receipt Order...						
Location	Code	Variations	In Stock	Reserved	Required	On Order
Box Office	CTTLG	Large - Grey	15	0	0	0
Box Office	CTTLK	Large - Black	0	0	0	0
Box Office	CTTMG	Medium - Grey	0	0	0	0
Box Office	CTTMK	Medium - Black	0	0	0	0

Select the To Location that will be the destination for the transferred items, and the quantity of Stock To Move.

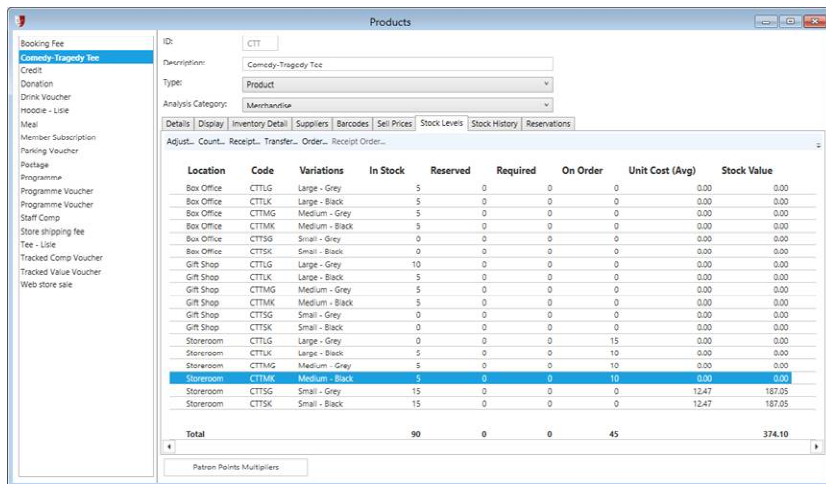
Ordering Stock: When your inventory reports inform you that stock levels have reached or fallen below the Reorder point, find the product and in the Stock Levels tab, select the Order... button.

In the Stock Order window, enter the same details as you are entering into the purchase order to the supplier. Select the Supplier you are using from the list, enter the order Reference number or code, correct the Unit Cost if this has changed, and specify the Quantity being ordered.

Submission ID trn:oid::3618145108380

Checking Stock Levels

To check stock levels, open the Products window in Administration by opening Setup > Sales > Products. Open the Stock Levels tab.

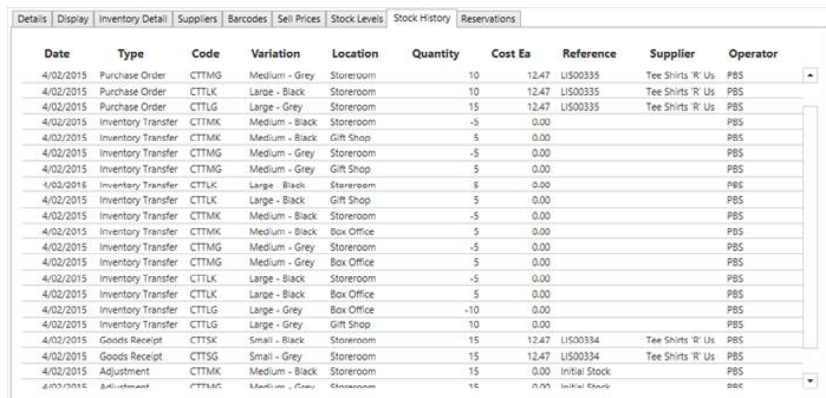


Location	Code	Variations	In Stock	Reserved	Required	On Order	Unit Cost (Avg)	Stock Value
Box Office	CTTLG	Large - Grey	5	0	0	0	0.00	0.00
Box Office	CTTLK	Large - Black	5	0	0	0	0.00	0.00
Box Office	CTTMG	Medium - Grey	5	0	0	0	0.00	0.00
Box Office	CTTMK	Medium - Black	5	0	0	0	0.00	0.00
Box Office	CTTSG	Small - Grey	0	0	0	0	0.00	0.00
Box Office	CTTSK	Small - Black	0	0	0	0	0.00	0.00
Gift Shop	CTTLG	Large - Grey	10	0	0	0	0.00	0.00
Gift Shop	CTTLK	Large - Black	5	0	0	0	0.00	0.00
Gift Shop	CTTMG	Medium - Grey	5	0	0	0	0.00	0.00
Gift Shop	CTTMK	Medium - Black	5	0	0	0	0.00	0.00
Gift Shop	CTTSG	Small - Grey	0	0	0	0	0.00	0.00
Gift Shop	CTTSK	Small - Black	0	0	0	0	0.00	0.00
Storeroom	CTTLG	Large - Grey	0	0	0	15	0.00	0.00
Storeroom	CTTLK	Large - Black	5	0	0	10	0.00	0.00
Storeroom	CTTMG	Medium - Grey	5	0	0	10	0.00	0.00
Storeroom	CTTMK	Medium - Black	5	0	0	10	0.00	0.00
Storeroom	CTTSG	Small - Grey	15	0	0	0	12.47	187.05
Storeroom	CTTSK	Small - Black	15	0	0	0	12.47	187.05
Total			90	0	0	45		374.10

Click a column header to change the column the table is sorted by. Clicking again will reverse the sort order.

Inspecting Stock History

To see an audit trail of Inventory transactions for any product, open the Products window in Administration by opening Setup > Sales > Products. Open the Stock History tab. The Stock History tab will display a list of all the adjustments, corrections, orders, and sales for each product variation and location.



Date	Type	Code	Variation	Location	Quantity	Cost Ea	Reference	Supplier	Operator
4/02/2015	Purchase Order	CTTMG	Medium - Grey	Storeroom	10	12.47	LI500335	Tee Shirts 'R' Us	PBS
4/02/2015	Purchase Order	CTTLK	Large - Black	Storeroom	10	12.47	LI500335	Tee Shirts 'R' Us	PBS
4/02/2015	Purchase Order	CTTLG	Large - Grey	Storeroom	15	12.47	LI500335	Tee Shirts 'R' Us	PBS
4/02/2015	Inventory Transfer	CTTMK	Medium - Black	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMK	Medium - Black	Gift Shop	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMG	Medium - Grey	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMG	Medium - Grey	Gift Shop	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLK	Large - Black	Storeroom	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLK	Large - Black	Gift Shop	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMK	Medium - Black	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMK	Medium - Black	Box Office	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMG	Medium - Grey	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTMG	Medium - Grey	Box Office	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLK	Large - Black	Storeroom	-5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLK	Large - Black	Box Office	5	0.00			PBS
4/02/2015	Inventory Transfer	CTTLG	Large - Grey	Box Office	10	0.00			PBS
4/02/2015	Inventory Transfer	CTTLG	Large - Grey	Gift Shop	10	0.00			PBS
4/02/2015	Goods Receipt	CTTSK	Small - Black	Storeroom	15	12.47	LI500334	Tee Shirts 'R' Us	PBS
4/02/2015	Goods Receipt	CTTSG	Small - Grey	Storeroom	15	12.47	LI500334	Tee Shirts 'R' Us	PBS
4/02/2015	Adjustment	CTTMK	Medium - Black	Storeroom	15	0.00	Initial Stock		PBS
4/02/2015	Adjustment	CTTLK	Large - Black	Storeroom	15	0.00	Initial Stock		PBS

Click a column header to change the column the table is sorted by. Clicking again will reverse the sort order.

3.10 MAINTENACE OF HUMAN RESOURCE

It's a good idea for an employer to maintain a personnel file for each employee. Documentation of employment history, records of contribution and achievement, disciplinary notices, promotions, performance development plans, and much more, belong in a personnel file. Responsible, careful employers keep more than one personnel file, too, as each type of file has content that is appropriate for their purpose.

The employer has good reasons to keep several personnel files—some legal and some for employment best practices purposes. Documentation is needed so the employer has an accurate view of an employee's employment history. Documentation supports the employer's decisions and may protect the employer in a lawsuit—preserved correctly.

Different Guidelines Are Associated With Different Personnel File Types

Because several types of personnel files are recommended, different rules and guidelines are associated with each type of personnel file for where they are kept and who has access.

For example, most organizations do not allow the employee's manager to access the overall personnel file. They expect the managers to keep relevant documentation in their own management employee file which is not the official personnel file.

- Each type of personnel file has a different reason for existing and different contents, based on that reason.
- Each type of personnel file is stored differently.
- Access to a personnel file is restricted to certain employees in most organizations. Many organizations restrict personnel file access to Human Resources staff only. Different personnel file types also have different access guidelines.
- Employee access to his or her personnel file is allowed, but most employers set up guidelines for employee access with a personnel file access policy in the employee handbook. (Various states and jurisdictions have different rules, so stay up-to-date on the requirements for your location.)
- The Human Resources department owns and is responsible for employee personnel files.

Recommended Personnel Files

Here are the types of personnel files recommended and what you need to know about working with them.

1. **Employee Personnel File:** This is the main personnel file an employer maintains for each employee. The personnel file stores the employment history of each employee. This is what you need to know about an employee personnel file.
2. **Medical File:** The employee medical file has serious legal restrictions that the employer must know and heed. Here is what you need to know about the confidentiality and contents of an employee medical file.
3. **Payroll File:** Employee access to the employee payroll file is less restrictive than access to either the medical or the personnel file. The payroll file holds information about salary, benefits selection, pay rate changes, garnishments, and other legal documentation that affects an employee's paycheck. Various accounting and Human Resources staff access the information in the payroll file.
4. **I-9 Forms File for Employees:** Because of the access rights of various government agencies, you follow best practice by maintaining a separate file for all employee I-9 forms. You do not want government agencies poking around in your main employee personnel file. Find out more about storing I-9 forms.
5. **Personnel File Access Policy for Employees:** You want to enable each employee to know what is in his or her personnel file, but you need to control the integrity, completeness, and thoroughness of the file. Maintaining employee and employer confidentiality and limited access are ensured with a personnel file access policy.
6. **What Not to Include in an Employee Personnel File:** Looking for guidelines about content that should never be included in an employee personnel file? Here are my best recommendations about the content that you want to maintain either in a separate, informal location or not retain at all. Retention of unneeded and purely opinionated documentation can hurt you.
7. **Documentation:** The word, documentation, crops up frequently in the world of employment and Human Resources. But, the meaning of documentation and why you might want to document particular employment events is thoroughly covered in this article,

"The Importance of Documentation in Human Resources." Take a look because proper documentation is essential for accurate employment files.

3.10.1 Benefits of Cloud- Based Document Storage

One of the benefits of a cloud-based total workforce management system is the ability to store documents electronically. This allows for convenient online access, and it also frees up office space, securely preserves information, and helps organizations ensure compliance with federal, state and local laws.

A total workforce management system can track expiration dates and provide dashboard alerts year-round, allowing HR professionals to quickly see which employees require updated forms (for example, form I-9). This helps organizations proactively maintain compliance and avoid penalties.

3.10.2 Important practices for Personnel Files

It is essential to maintain employees' personnel files and keep them up to date. In addition to being a good business practice, keeping good records - whether electronically, on paper, or a combination of the two - can help protect organizations in case of an audit or legal action.

Personnel files should contain only employment-related information, such as documents about qualifications and job performance. Do not include information of a personal nature (private life, medical records, political views, etc.).

I-9 forms, which verify an employee's eligibility to work in the United States, can either be stored separately in printed form, or electronically in a cloud-based document storage system like APS. If storing electronically, it is important to make sure the proper storage protocols (who has access, audit trails to track any changes, etc.) are followed. In the event that United States Citizen and Immigration Services inspects these forms, you can keep the rest of your employees' personnel files private. Examples of documents to keep in an employee's personnel file:

- Employee's resume and job application.
- Contract and offer of employment.
- Job description.
- Benefits information.

- Forms (W-4s, W-2s, etc.).
- FMLA paperwork.
- Training and certification information.
- Performance reviews.
- Changes to employee's position or pay rate.
- Employee commendations and awards.
- Documentation about attendance problems, warnings and disciplinary actions.
- Exit interview, termination letter, etc., for former employees.
- Workers' compensation reports.
- Copy of driver's license for workers who drive on the job.
- Military paperwork for reservists.

Ensure that confidential information, such as employees' medical information or workers' compensation reports, are stored separately from general employment information.

3.11 MAINTENANCE OF FINANCIAL RECORD

Bookkeeping is a complicated system that reflects financial situation of your company. To commit the maintenance of accounting records to the specialists of audit is a wise decision of a manager who is interested in reaching success in his business.

From one side, you save valuable time that you might spend for finding a good bookkeeping specialist, from another side you don't have a risk to lose money in case you happen to employ an incompetent bookkeeper. But the main thing is that you receive a full package of services by the specialists of the highest qualification:

- Preparation, maintenance and storage of accounting records as well as tax and statistical returns;
- Express advising;
- Provision of up-to-date bookkeeping information necessary for taking managerial decisions;
- Insuring professional responsibility of a bookkeeper.

Audit offers a well-timed, professional and competent protection of your interests. Security of your business is our responsibility.

Books of accounts including vouchers and receipts are required to be maintained under different statutory laws Income Tax Act, Companies Act 2013 and GST Act. Books to be maintained, retention period and compulsion requirements are different under all the 3 laws.

Under Income Tax Act: If the sale/turnover/gross receipts from the business or profession is more than Rs. 25,00,000 or the income from business or profession is more than Rs. 2,50,000 in any of the 3 preceding years, then books of accounts will be compulsorily maintained.

Following professions are covered under this provision:

- Legal.
- Medical.
- Engineering.
- Architectural.
- Accountancy.
- Technical consultancy.
- Interior decoration.
- Authorised Representative (one who charges fees for representing someone before tribunal or any authority)
- Film artist (producer, editor, actor, director, music director, art director, dance director, cameraman, singer, lyricist, story writer, screenplay or dialogue writer and costume designers).
- **Company secretary:** Thus, if the above-mentioned professions have an income of more than Rs. 2,50,000 in any of the 3 preceding years, they need to maintain books of accounts. In case of a new profession also, if the income is expected to be more than Rs. 2,50,000, the professionals should maintain books.

Books of accounts as per Rule 6F

- Cash Book.
- Journal.
- Ledgers.
- Copies of bills or receipts.
- Daily cash register with details of patients, services rendered, fees received and date of receipt (persons carrying on medical profession).

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- Details of stock of drugs, medicines, and other consumables used (persons carrying on medical profession)

If the income isn't more than Rs. 2,50,000 in any of the 3 preceding years or not expected to be more than Rs. 2,50,000 in case of a new profession, then also books should be maintained. However, books, in this case, haven't been specified so any books can be maintained but it should be such that ATO can calculate the income.

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Books should be maintained for a period of 6 years from the end of the relevant year.

Under Companies Act: Every company has to maintain books of accounts, at the registered office or any office that board of directors may decide. If the company is maintaining books at an office other than the registered office, it has to intimate the same to RoC. The company can maintain the accounts electronically also.

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Books should be maintained for a period of 8 years from the end of the relevant financial year.

Books of accounts to be maintained

- Cash flow statement.
- Records of sales and purchases.
- Records of assets and liabilities.
- Items of cost.
- Deeds, vouchers, writing, documents, minutes, and registers whether in physical or electronic mode.

Under GST Act

- Every registered person has to maintain GST records at the principal place of business.

Records to be maintained:

- Production or manufacture of goods.
- Inward and outward supply of goods or services or both.
- Stock of goods.
- Input tax credit availed.
- Output tax payable and paid and,
- Other particulars as may be prescribed.

Books and records should be maintained for 6 years from the last date of filing of the annual return (31st December) for that year..

3.12 CONFIDENTIAL FILES

Government data information breaches have gained a lot of attention in the media lately, but the government isn't the only one at risk. Private and public companies are susceptible to data leaks as well. If it hasn't happened to you, it might be hard to imagine that it could.

The reality is, data leaks can impact any company. If your company's confidential records aren't properly secured, compromised data could have tremendous consequences.

The beginning of a new year is the perfect time to introduce new practices for safeguarding your most important records. Below, we're discussing five reasons why it's important to keep your confidential records safe. We also have recommendations on how to do that.

1. **Confidential Records Help You Stay Competitive in Your Industry:** No matter what industry you're in, staying relevant over competitors is an important element of business success. If your company has trade secrets or sensitive information that helps you stay competitive, you want to protect that at all costs.

A leak of confidential records could benefit a competitor by giving them a glimpse at your practices and helping them develop a strategy to respond to that. Protecting your sensitive information is the best way to ensure you keep whatever upper hand you have.

2. **Value Your Employee's Privacy:** Some data leaks expose sensitive and personal information about a company's employees. Falling victim to that kind of leak can create an unpleasant work environment. You want to prove to current and potential employees that you value their privacy by doing what you can to keep their information safe.
3. **Customers Expect Protection:** From credit card information to family data, customers provide a lot of private information to the companies and businesses they work with. This is especially true of patients who provide confidential information to their medical providers.

If confidential records with customer information were to be made public, the trust your customers have in your company would be severely

compromised. They may choose to take their business elsewhere, and will likely advise friends and family to do the same.

4. **Your Reputation Matters:** Even if you have an incredible reputation for customer service and satisfaction, one data leak is enough to change that in the public's mind. When it comes to bad news, the public tends to have a long memory. You don't want to be remembered for compromising their information. And you don't want one negative situation to overshadow the good work you've done.
5. **Protecting Data is Easy:** For whatever reason, some companies may choose not to protect their sensitive information because they believe doing so would be difficult and expensive. The truth is, record management and offsite shredding services make it easy for any business to secure sensitive data.

Is there a cost associated with it of course. But it may be far more expensive not to protect this information, especially if a leak does occur.

Ready to Start Protecting Your Confidential Records?

In today's increasingly technology-driven world, sensitive information stored online is vulnerable. Hackers or malicious software can do extreme damage, and ruin a company's reputation in the meantime. But these situations are avoidable.

Protecting your records protects your customers, your employees, and, ultimately the success of your business.

3.13 PUBLIC RELATIONS

A company must relate constructively to a large number of interested public. Public is any group that has an actual or potential interest in or has an impact on a company's ability to achieve its objectives. The public can facilitate or hamper a company's ability to achieve its objectives, Effective public relations can enhance the usefulness of promotion tools employed by the service company. Public relations involve a variety of programmes designed to promote a company or to protect the image or its individual products.

According to **Stanton** "*public relations is a management tool designed to favorably influence the attitude towards an organization, its products and its policies.*"

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The definition given by British Institute of Public Relations is *It is the planned and sustained effort to establish and maintain goodwill between an organization and the public.*

3

Publics are all groups of people and organizations which have an interest in the service company.

3

A wise company endeavors to maintain successful relations with its key public. Most companies operate a public relations department. This department maintains a goods communication channel with the public to develop good will.

Objectives of Public Relations

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Department of public relations aims to develop the positive image of the company, its products and policies.

It achieves following objectives for the organisation:

- (i) It facilitates smooth functioning of business and achievement of organisational objectives.
- (ii) It builds corporate image and creates a favourable impression and creditability of company's products.
- (iii) It helps in launch of new products and maintain interest and confidence in the existing products.
- (iv) It acts as a supplement to advertising in promoting existing and new products. Thus, it helps business and its associates to sell products easily.
- (v) It lowers the promotional cost as it has to simply maintain staff to develop and circulate information with media or manage events.

3.13.1 Functions of Public Relations Department (Promotion Tools in PR)

18

Public relations department monitors the attitude of the public in general in favor of the company. It sends out information and spreads communication to the public for building goodwill of the organization. The public relations department counsels the top management to adopt positive programmes. They eliminate questionable practices so that negative publicity does not arise against the company.

A Public Relations Departments perform the following functions:

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1. **Community Relations:** A business should be seen as a responsible citizen of the community it operates in. A comprehensive

community relation programme should focus on building a respectable image for the company in the community in the long run. Many organizations implement educational and health related programmes for improving quality of life of the community members. Such activities help to build their reputation along with benefiting the society.

2. **Employee Relations:** Employees are the most valuable assets of the company and the organization had to create employee goodwill for maintaining a loyal workforce. Loyal employees are more productive and interested in the well-being of the company.
3. **Customer Relations:** The most important component of external public is the customer. The customer is the reason behind the existence of the organization. Public relations informs the customer about introduction of new products or changes in existing ones. Public relations plays a crucial role in attracting the attention of the buyer towards the company's offerings and helps to differentiate the product from those of its competitors.
4. **Financial Relations:** A segment of the company's public consists of those individuals and institutions the company has financial dealings with. These include the shareholders, creditors, potential investors, banks, financial analysts, etc.

These parties have to be informed about the company's finances, plans for expansions, plans to raise share capital, etc. A well planned financial relations programme is necessary to improve the organization's image and increase the value of its stock.

5. **Political and Government Relations:** The Company has to function under the control of government rules and regulations. It has to forge proper relations with various government officials and political parties to ensure smooth functioning of the enterprise.
6. **Crisis Communication:** The role of public relations takes on vital significance during crisis situations like an accident, financial scams, bankruptcies, etc. It is the responsibility of the public relations to give the honest and accurate information to the concerned publics and assure them of remedial measures taken to control the crisis
7. **Press relations:** A PR department performs the function of Creation and dissemination of information to Press. This is known as publicity.

8. **Product Publicity:** The product information presented in the 'Paid space' of media is read or heard by a company's customers or prospects. The department publicizes the product through sponsoring efforts.
9. **Corporate Communication:** PR Departments promote the understanding of the company and its products and services. For this purpose, they undertake external and internal communication.
- 18 10. **Counseling:** Public Relations departments advise the top management on matters related to public issues. This also includes advising the company in the event of product mishap.
11. **In house Hournals:** Many service organizations such as hospitals, . health care, beauty parlor etc., publicize their own magazines which are circulated among customers. The role of PR Departments in developing- in house journals.is significant. Apart from in-house journals,. companies publish annual reports, brochures, articles, company's newsletter and audio-visual materials. Creating websites on the history of the company and its present developments also influence the target markets..
12. **Special Events:** PR Departments help organizations attract media attention by arranging newsworthy organizations. These special events are the backbone of service marketers.
13. **Public Service Activities:** PR Departments help companies build goodwill by contributing money and time to good causes. Large corporate ask executives to support community affairs.

3.13.2 Role of Public Relations in an Organisation

14 Public relations professionals shape an organization's image. They build the brand, spread the organization's message and minimize the effect of negative publicity. At a small company, the PR person may have to handle all the roles – cheerleader, media contact person, the deflector of criticism – themselves. At larger companies or big PR firms, staffers can have more specialized roles to handle different organizational needs.

- 20 20 i. **Manager or Technician:** One way to divide up roles is between communication technicians and communication managers. Communication technicians are PR writers. They turn out press releases, newsletters, website content, speeches, blogs and social media posts. Managers handle the bigger picture, assessing the PR goals to accomplish or the problems to solve and determining the PR strategy required.

ii. **Different Organizational Missions:** Another way to segment public relations is looking at what different roles accomplish for the organization:

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Crisis management deals with emergencies affecting the organization. They help establish policies for dealing with emergencies, such as who gets to communicate with the media, and how management shares information with employees.

Relationship management establishes strategies for building and maintaining relationships with important segments of the public such as customers and reporters. Image management professionals work to present the company as socially responsible, compassionate and involved in the community.

Resource management looks at the budget and resources for the organization's PR and figures out how to make the best use of it.

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An organization usually needs its PR team to fill more than one role. Managing relationships and shaping the company's image can generate a lot of goodwill. When a crisis or negative news breaks out, the PR role has to be the minimization of any damage or blowback from the events.

iii. **Different Skill Sets:** Different PR roles call for different skill sets. PR communication technicians have to be good writers. Their talent lies in writing messages with strong imagery and evocative language that steers listeners to the point the organization wants them to reach. These technicians execute the strategy drawn out by the managers.

Communications managers are more into the big picture. They don't have to be gifted writers themselves, but they set the goals for the people who are. Communications managers have a seat at the management table, discussing strategy, resource management and how to improve the company's image or build relationships given the resources at hand. Sometimes they watch for potential threats to the organization's success, and then craft a PR strategy to head the problem off.

The roles aren't bound by anything but ability and opportunity. A skilled technician may shift from image management to relationship management in different situations. If technicians have the right skills, they may eventually step up and become communications managers.

3.14 OUTCOMES

Once the chapter is completed you will know:

1

- Understand the term e-filing and also its importance.
- Explain about indexing and its relationship with filing.
- Recall different ways in which the indexing can be done.
- Enumerate the steps involved in filing process.
- Describe Circular and its purpose.
- Delineate Agenda of Meeting.
- Learn minutes and their contents.
- Define Public Relations.

3.15 REVIEW QUESTIONS

I. Short Answer Questions

1. What is notice?
2. Describe Circular and its purpose.
3. Delineate Agenda of Meeting.
4. What are minutes and their contents.
5. Define Press note.
6. Why does inventory records are maintained?
7. What type of files are mainted by Human resource?
8. Define PR.

II. Long Answer Questions

1. Define office Procedure and its importance.
2. Describe benefits and limitationsof systems and procedures.
3. Define the term - Filing. Also discuss various essentials of an efficient filing system.
4. Name various methods of classification of filing.
5. Alphabetical filing is the basis of all other types of filing. Do you agree with the statement? Also explain its advantages and disadvantages.

1



6. What do you understand by chronological classification of filing? Also discuss its advantages and disadvantages.
7. What types of organizations should adopt geographical filing? Also discuss disadvantages of geographical filing.
8. "The simplest method of filing classification is by subject method". Do you agree with the state ment? Explain the subject method of classification with the help of an example.
9. What are the horizontal and vertical methods of filing?
10. Explain the term indexing. Why is it important to have a proper indexing system in an organization?
11. What are the essential steps that should be followed for effective and efficient management of electronic records?
12. Discuss in brief Filing Procedure.
13. Why financial recors are maintained?
14. What are the function and objectives of Public relations?
15. Discuss the role played by PR in an organisation.

