UGC NET - PUBLIC ADMINISTRATION
SAMPLE THEORY
PAPER - III

- **Management Principles**

- **Development Administration**

- **Personnel Administration**

- **Financial Administration**

- **Budget**

- **Public Policy**

- **Indian Federalism and Center State Relations**

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MANAGEMENT PRINCIPLES DEVELOPED BY HENRI FAYOL

1. **DIVISION OF WORK:** Work should be divided among individuals and groups to ensure that effort and attention are focused on special portions of the task. Fayol presented work specialization as the best way to use the human resources of the organization.

2. **AUTHORITY:** The concepts of Authority and responsibility are closely related. Authority was defined by Fayol as the right to give orders and the power to exact obedience. Responsibility involves being accountable, and is therefore naturally associated with authority. Whoever assumes authority also assumes responsibility.

3. **DISCIPLINE:** A successful organization requires the common effort of workers. Penalties should be applied judiciously to encourage this common effort.

4. **UNITY OF COMMAND:** Workers should receive orders from only one manager.

5. **UNITY OF DIRECTION:** The entire organization should be moving towards a common objective in a common direction.

6. **SUBORDINATION OF INDIVIDUAL INTERESTS TO THE GENERAL INTERESTS:** The interests of one person should not take priority over the interests of the organization as a whole.

7. **REMUNERATION:** Many variables, such as cost of living, supply of qualified personnel, general business conditions, and success of the business, should be considered in determining a worker's rate of pay.

8. **CENTRALIZATION:** Fayol defined centralization as lowering the importance of the subordinate role. Decentralization is increasing the importance. The degree to which centralization or decentralization should be adopted depends on the specific organization in which the manager is working.

9. **SCALAR CHAIN:** Managers in hierarchies are part of a chain like authority scale. Each manager, from the first line supervisor to the president, possess certain amounts of authority. The President possesses the most authority; the first line supervisor the least. Lower level managers should always keep upper level managers informed of their work

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activities. The existence of a scalar chain and adherence to it are necessary if the organization is to be successful.

10. **ORDER:** For the sake of efficiency and coordination, all materials and people related to a specific kind of work should be treated as equally as possible.

11. **EQUITY:** All employees should be treated as equally as possible.

12. **STABILITY OF TENURE OF PERSONNEL:** Retaining productive employees should always be a high priority of management. Recruitment and Selection Costs, as well as increased product-reject rates are usually associated with hiring new workers.

13. **INITIATIVE:** Management should take steps to encourage worker initiative, which is defined as new or additional work activity undertaken through self direction.

14. **ESPIRIT DE CORPS:** Management should encourage harmony and general good feelings among employees.

CLASSIFICATION OF ORGANIZATIONS

Organizations are basically classified on the basis of relationships. There are two types of organizations formed on the basis of relationships in an organization

1. **Formal Organization:** This is one which refers to a structure of well defined jobs each bearing a measure of authority and responsibility. It is a conscious determination by which people accomplish goals by adhering to the norms laid down by the structure. This kind of organization is an arbitrary set up in which each person is responsible for his performance. Formal organization has a formal set up to achieve pre- determined goals.

2. **Informal Organization:** It refers to a network of personal and social relationships which spontaneously originates within the formal set up. Informal organizations develop relationships which are built on likes, dislikes, feelings and emotions. Therefore, the network of social groups based on friendships can be called as informal organizations. There is no conscious effort made to have informal organization. It emerges from the formal organization and it is not based on any rules and regulations as in case of formal organization.

DEPARTMENTALIZATION

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When two or more people work together to achieve a group result, it is an organization. After the objectives of an organization are established, the functions that must be performed are determined. Personnel requirements are assessed and the physical resources needed to accomplish the objectives determined. These elements must then be coordinated into a structural design that will help achieve the objectives. Finally, appropriate responsibilities are assigned. Determining the functions to be performed involves consideration of division of labor; this is usually accomplished by a process of departmentalization.

Grouping related functions into manageable units to achieve the objectives of the enterprise in the most efficient and effective manner is departmentalization. A variety of means can be utilized for this purpose. The primary forms of departmentalization are by function, process, product, market, customer, geographic area, and even matrix (also called project organization). In many organizations, a combination of these forms is used.

Function

Perhaps the oldest and most common method of grouping related functions is by specialized function, such as marketing, finance, and production (or operations). Sometimes this form of departmentalization may create problems if individuals with specialized functions become more concerned with their own specialized area than with the overall business. An example of departmentalization by function appears in Figure below.

DELEGATION

As shown earlier, the process of managing begins with the establishment of objectives. Once the objectives have been established, the functions that must be accomplished are considered. Then the work to be performed or the responsibilities to be assigned are determined. This means it is necessary to know the personnel and physical resources needed to accomplish the objectives of the enterprise. Thus, when the functions, personnel, and other resources are grouped together by some means of departmentalization into a logical framework or organizational structure, the process of delegation begins. Delegation is the process that makes management possible.

CENTRALIZATION VERSUS DECENTRALIZATION

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The issues of centralization and decentralization involve the principle of delegation of authority. When limited amount of authority is delegated in an organization, it is usually characterized as centralized. When a significant amount of authority is delegated to lower levels in the organization, the business is characterized as decentralized. Centralization and decentralization are opposites, and there are different degrees of each. In a highly centralized organization, employees at lower levels have a limited range of decision-making authority. The scope of authority to make decisions in decentralized organizations, by way of contrast, is very broad for lower level employees.

One cannot classify all forms of centralization as effective or ineffective. The same applies to decentralization. Each form has its advantages and disadvantages and is affected by a number of factors. For example, the size and complexity of the enterprise can affect the delegation of authority. If an organization is very large and diversified, the limitations of expertise will generally lead to decentralization of authority to the heads of these different businesses. if speed and adaptability to change are characteristic of the business, it tends toward decentralization. Geographic dispersion also favors decentralization of authority. On the other hand, some organizations have excellent and speedy communications systems that tend to favor the centralization of authority. In situations in which adequate personnel are unavailable, the organization tends to centralized authority.

ADVANTAGES OF CENTRALIZATION

1. Closer control of operations
2. Uniformity of policies, practices, and procedures
3. Better use of centralized, specialized experts

ADVANTAGES OF DECENTRALIZATION

1. Faster decision-making without resort to higher level consultation
2. Excellent training experience for promotion to higher level management
3. Decisions better adapted to local conditions

ORGANIZATIONAL STRUCTURES

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The primary formal relationships for organizing, as discussed earlier, are responsibility, authority, and accountability. They enable us to bring together functions, people, and other resources for the purpose of achieving objectives. The framework for organizing these formal relationships is known as the organizational structure. It provides the means for clarifying and communicating the lines of responsibility, authority, and accountability.

DEVELOPMENT ADMINISTRATION

Development administration is concerned with plans, policies, programmes and projects which focuses on nation building and socio-economic development. It aims to achieve socio-economic goals through the talents and expertise of bureaucrats.

Development administration focuses on the results to be achieved rather than the traditionalist view of strict adherence to rules and hierarchy. Strict adherence to rules creates rigidness, delay and procrastination.

- Development is oriented towards change in a destined direction. Thus, development administration is change oriented and rejects status quo.

- Every development functions have a goal to be achieved. i.e Economic Development has the goal to improve the quality of life such as better literacy rate, life expectancy and reduction in poverty rates.

- For the goals to be achieved, to relate the means to ends, planning and temporal dimension is a salient feature. Planning aids in deciding the resource required for the goal, the time in which it needs to achieve.

- Development administration has an innovative dimension; it is flexible enough to design new methods, procedures, policies which would save time, increase effectiveness and quality.

- Development is ultimately aimed to the people, hence it should accord primary to the public the
  administration should be client oriented.

- For the development functions to be effective and for it to be people oriented, participation of people is emphasized in formulating plans, implementation and sharing the benefits derived.

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Thus Development administration should focus on "planning with people" rather than "planning for people".

Development administration has two concepts administration of development and administrative development. Administrative development is increasing and improving the capabilities of administrative system. It involves modernization of administrative structure, capabilities of personnel, attitudinal and behavioral changes among the administrators.

SCOPE

- Rural Development
- Urban Development
- Community Development
- Special Area Development

PROJECT MANAGEMENT

- Capacity Building
- Infrastructural Development
- Human Resource Development

SIGNIFICANCE

- As a Discipline of Study and Research
- For Balanced Regional Development
- For Building Administrative Capabilities
- Stress on Rural Urban Development
- Effective Policy Implementation Significance
- Timely Completion of Projects
- People's Participation in Developmental Activities
- Brings Cost-Economy
- Boosts Innovation and Reform
- Suggests Future Improvement

CONCEPT OF DEVELOPMENT ADMINISTRATION

Development is one of the major concerns of our times. Whether one is a politician or a political scientist, an administrator or administration theorist, a planner or an economist, a

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sociologist or social scientist, almost everybody talks of development. But the concept of development as such or its goals and strategies have grown and evolved over the years. In its initial stage development was primarily concerned with economic growth and was often measured in terms of changes in Gross National Product (GNP). A country was said to be developing if its GNP was increasing.

But now this concept of development has acquired a broader and more comprehensive connotation. It has come to mean broad human development which includes not only physical but also socio-economic and civil - political development. Social Development embraces provision of social services like education, health and recreation and provision of justice for the socially deprived groups such as scheduled castes, backward classes and women. Civil Development implies provision of civil liberties and political rights. This is evident from the emerging human rights perspective on development.

The concept has further grown embracing two new conceptions of development, namely "Sustainable Development" and "Ethno-Development" The concept of sustainable development gained currency in the 1980s following the emphasis put on it by the world commission on Environment and Development . Broadly speaking sustainable development refers to "such development as is not damaging to ecology and destructive of environment."

The concept of 'Ethno-development' which has emerged out of a pragmatic study of development issues and problems states that development of a country cannot be divorced from the socio-cultural realities and ethos of its society. Ethno-development emphasizes on an indigenous mode of development which is compatible with the sociocultural ethos of a society.

While the U.N. initiative for sustainable development has created awareness for reformulation and restructuring economic development policy in terms of protecting the environment and ecology for the present and future generation.

What is marked now is that under this policy, state is retreating more and more from the socialistic and welfaristic ideology leaving social service sectors like health and education etc to private sector. India, as we know has adopted this new policy of globalization, liberalization and privatization since 1991.

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Keeping in view this new turn in India's policy of development, it has been rightly said: "These kinds of changes call for debureaucratisation of our development administration. What we need today is a machinery of development administration which is flexible, responsive and above all committed to the cause of improving the lot of socially deprived economically under- privileged and politically oppressed sections by our society".

PERSONNEL ADMINISTRATION

The scope of personnel administration is quite wide. It includes all activities which help the management in getting the work done by the labour force in the best manner possible to accomplish the organizational objectives. The main objective in any organization is the optimum utilization of available resources. Personnel administration is primarily concerned with the organization of men; therefore, the main objective may be summarized as to utilize the available human resources in a a way so as to get the work done effectively to the maximum satisfaction of the individual worker to seek their cooperation in accomplishing the general goals of the organization.

The objectives of personnel administration can be classified into General objectives and specific objectives.

General objectives

Maximum individual development –

The employer should always be careful in developing the personality of each individual. If an act of the employer can adversely affect the personality of the individual, he should avoid it. Employer should establish and support such human values that may have social recognition and importance. They should always be regarded as partners and given due importance. The objective of Personnel administration as a bridge between the management and the employees is to keep the management apprised of positive accomplishments and warning signals in the personnel practices. If the human assets of an organization are being misused in the process of profit maximization, it is definitely a short term achievement, because in the long run, the adverse effects felt by the work force will translate into lesser profits for the organization.

Desirable working relationship between employer and employee –

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It is the major objective of personnel administration to achieve a desirable working relationship between the employer and the employees so that they may cooperate with the management. Both of them must rely on each other. The personnel administrator should get it realized to the top management that personnel should be given fair and equitable treatment and on the other hand, convey to the workers that they should cooperate in achieving the goals of the management. The basic responsibility for the personnel lies with the supervisors although the administrator supplies tools such as policy, record keeping, control and advice. His objective is therefore to ensure that the line supervisor is aware of his personnel responsibilities and carries them out responsibly. Simultaneously he should also ensure ethical conduct amongst all personnel and on the part of each supervisor towards each employee for whom he is responsible.

Specialized services –

The administrator provides the tools such as record keeping, policy making, controlling and advising. Although not directly responsible for the personnel, who lie with the line supervisor, he may examine causes for non-efficiency or non-effectiveness, suggest remedial measure, perform research into proposed personnel procedures, handle negotiations with a government agency, etc. The basic objective here is to provide assistance to the line supervisor whilst simultaneously ensuring that the line supervisor meets his responsibilities to the personnel.

Molding of human resources –

Human beings is the most important resource and the only active factor which engages all other factors of production. Therefore, the administrator should emphasize the effective utilization of human resources as compared to physical resources so that production and productivity is optimized. Other factors of production will be ineffective without effective molding of human resources.

Specific objectives

• Selection of the right type and number of persons

• Proper orientation and introduction of new employees to their jobs

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- Organization of suitable training facilities
- Provision of better working conditions and facilities.
-. Provision of sound, fair and effective wage and salary administration and incentives.
- Good industrial relations with representative trade unions
- Personnel research

Duties of Personnel Staff

In a dynamic working environment, the boundaries of any role cannot be clearly defined. However, the duties of Personnel staff may be described as under:-

As a Service Provider –

Providing information on market statistics of personnel availability, pay rates, etc. Interpret the complex laws and legislations. Employment and placement programs, employee compensation programs, training and development programs, labour relations could be stated to be the duty as a service provider. It must be noted that there will often be an overlap between the different roles that a Personnel staff may assume

As a facilitator –

Advises the supervisors on employee problems, facilitates training and development, and when performance appraisals are done. One of the responsibilities of Personnel staff is also to ensure that other managers who undertake such activities are well equipped to do so.

As a consultant –

To help the supervisors resolve problems due to lack of motivation, lack of training, grievances, etc.

As an auditor –

To ensure that all members of the management perform their respective roles to determine whether personnel policies and procedures are being administered uniformly by supervisors.

FINANCIAL ADMINISTRATION

Financial administration is one of the most important aspects of public Administration. Financial administration involving the machinery and method by which funds required for the public services are raised, spent and accounted for, is at the very core of modern government.

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Finance is the fuel for the engine of Public administration. Mr. Lloyd George is reported to have once remarked that Government is finance. According to Kautilya, "All undertakings depend upon finance. Hence, foremost attention shall be paid to the treasury." Financial administration consists of those operations the object of which is to make funds available for the Governmental activities, and to ensure the lawful and efficient use of these funds. These operations are performed by the following agencies:

- The Executive, which needs funds;
- The Legislature, which alone can grant funds;
- The Finance Ministry which controls the expenditure; and
- The Audit which sits in judgment over the way in which the funds have been spent.

Financial-administration is a dynamic process, which falls into five well defined divisions namely:

(1) Preparation of the budget, i.e., of the estimates of the revenue and expenditure for the ensuing financial year,

(2) Getting these estimates passed by the Legislature called 'Legislation of the Budget',

(3) Execution of the budget, i.e., regulation of the expenditure and rising of revenue according to it,

(4) Treasury management, i.e., safe custody of the funds raised, and due arrangement for the necessary payments to meet the liabilities; and

(5) Rendering of the accounts by the executive and the audit of these accounts. According to L.D. White, "Fiscal management includes, as its principle sub-divisions, budget making followed by the formal act of appropriation, executive supervision of expenditure (budget execution), the control of the accounting and reporting system, treasury management and revenue collection and audit." So far, the best known machinery for fiscal management is the budget system.

BUDGET

Indian constitution defines Budget as "The annual statement containing an estimate of all anticipated revenue and expenditure of the government for the coming financial year." In the

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hands of administration, the Budget is a record of the past performance, a method of current control, and a projection of future plans.

"Budget is a financial document of the government as presented to the Legislature and sanctioned by the Legislature." According to Dimock - "A Budget is a financial plan, summarizing the financial experience of the past, stating a current plan and projecting it over a specified period of time in future."

Tayler says, "Budget is a financial plan of government for a definite period."

The Budget is a statement of expected revenue and proposed expenditure for a year. It sets forth the procedure and manner in which the revenue is to be collected and the administration of expenditure is to be carried out.

Dimock - "A budget is a financial plan summarizing the financial experience of the past stating current plan and projecting it over a specified period of time in future." Munro - "A plan of financing for the incoming fiscal year. This involves an itemized estimate of all revenues on the one hand and all expenditures, on the other."

According to W.F. Willough, a budget comprises of three components:

(a) A statement of the sums required for the due conduct of public affairs during the period to which such estimate relates;

(b) An estimate of the probable income from revenue and loans on the basis of existing provisions of law regarding public dues and credit operations;

(c) A statement showing conditions of treasury in terms of assets and liabilities. So, it is very clear that the budget is the cornerstone of financial administration and the various operations in the field of public finance are correlated through the instrument of budget.

Budgeting involves:

• Preparation of the estimates,

• Collection and custody of funds,

• Disbursement and control of expenditure,

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• Recording of all the transactions whose legality and regularity are duly verified and reported to the Legislature by an independent audit. Budgeting serves as a powerful tool of coordination, and, negatively an effective device of eliminating duplication and wastage.

These ends are served by devices, such as, justification of estimates, super-vision of the use of appropriated funds, timing of the rate of expenditures, and the like. It inculcates, or should inculcate, cost-consciousness and this feeling should permeate all levels of administration including the operating level.

Budgeting presents an opportunity for evaluating programmes and policies, thereby identifying obsolete or unnecessary activities and giving a call for their discontinuance. It is, in this sense, pre-audit. Harold D. Smith sets out eight budgetary principles to accomplish the all tasks.

FORMULATION OF THE BUDGET

There is no single budget for the entire country; States have their own budgets, the Constitution being federal. Even at the Union level, there are two budgets - (i) the General Budget and (ii) the Railway Budget. The Railway budget was separated from the General budget in 1921. The advantages of this arrangement are, first, that a business approach to the railway policy is facilitated, and, secondly, the railways after paying a fixed annual contribution to the general revenue of the country, can keep their profit for their own development. Formulation of the budget involves, in India, the following operations which follow in the order given below :

(1) Preparation of the preliminary estimates by the heads of offices.

(2) The scrutiny and review of those estimates by the controlling officers.

(3) Scrutiny and review of the revised estimates by the Accountant-General and the administrative department.

(4) Scrutiny and review of the revised estimates by the Finance Ministry.

(5) The final consideration of the consolidated estimates by the Cabinet.

ENACTMENT OF THE BUDGET

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The budget is formally presented by the Finance Minister but it requires to be recommended by the President before it is presented to Parliament for legislative authorization. In fact, it is an important step in the completion of the budget, as a control instrument of financial administration. It is a cardinal principle that no taxation can be levied and no expenditure incurred without the prior approval of Parliament in all parliamentary democracies. The role of the Legislature in budgeting is shaped by several co-ordinated influences. These are as follows:

- Influence from the executive: The executive authority proposes the programmes that the Legislature must review, modify and adopt.

- Influence from the internal organization of legislative body: It determines the importance attached to the budgetary actions and relationship between budgeting and other legislations.

- Influence from the legislators themselves: The legislators themselves determine their individual and collective interests and abilities in fiscal affairs.

In Parliament, the budget goes through the following five stages:

1) Introduction in the Legislature

2) The general discussion

3) The voting of the demands for grants

4) The consideration and passing of the Appropriation Bill, and

5) The consideration and passing of the taxation proposals, i.e., the Finance Bill.

ROLE AND FUNCTION OF LOCAL GOVERNMENT

Maintaining the best interest of a community is much easier if there's a decision-making body to oversee all town/city hall operations and all of the municipal services that benefit residents. As with Congress and state legislatures, local governing bodies such as city councils or town boards are made up of representatives elected by the people. But with local government, the representatives in town or city hall are more easily identified as friends, neighbors and co-workers and should be more approachable and easier to reach.

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The range of mandatory tasks undertaken by local authorities in New Zealand is relatively small, with activities such as policing, health, education and social welfare largely the domain of central government.

- **Finances**

  Local governments may have an appointed budget officer or a team of people who draft annual spending plans, but the plan's adoption is up to the elected officials. Councilors also vote on budget amendments or transfers after a spending plan is adopted and decide on purchases and expenses that weren't budgeted. The local governing body also looks for new revenue sources, such as fees or parking fines. The council or town board also sets property tax rates, which as based on assessed property value and provides a large share of the local revenue.

- **Constituent Service**

  In the purest form of local government, a town or city resident should be able to call the elected official that represents their district if a street light is out, or if they think a stop sign is needed at a busy intersection. The councilor is expected to be the resident's connection to the appropriate municipal department that could fix the problem. If the problem can't be resolved quickly, the councilor is expected to bring it up before the full board at a public meeting.

  Sponsored Links

- **Daily Operations**

  According to Connexions direct, it's the role of local government to deliver taxpayer-funded services in the most "efficient, economic and effective" way possible. The police chief, fire chief and other department heads may report to a mayor or town supervisor, but the local governing body also has a say in their operations. It's very common for councilors to get monthly department boards in their meeting packets, so issues such as overtime spending or road reconstruction projects can be discussed publicly by the legislative and executive branches of government. The council might also vote on new hires after candidates have been screened by department heads or the personnel director.

- **Quality of Life and Liability**

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When political candidates seek public office, they state their intentions of improving the community they would serve. Once elected, they have a chance to make or break campaign promises. The local government would have the most power for building a new park, bringing bus service to a community or rezoning a part of town to accommodate a proposed shopping mall. Councilors can also authorize demolition of structure that pose a threat to public safety, and they can close public parks that are a liability.

- **Liason to State and Federal Government**

Residents in a community can try to call their state or federal representatives, but they're likely to reach an aide or staff member who promises to relay the message upward. Elected officials have a better chance of communicating an issue to the next level of government, especially if the board passes a resolution. Local governments also apply for state or federal grants that can benefit individual homeowners, merchants or nonprofit organizations.

- **Finance**

Finance is the study of how investors allocate their assets over time under conditions of certainty and uncertainty. A key point in finance, which affects decisions, is the time value of money, which states that a unit of currency today is worth more than the same unit of currency tomorrow. Finance aims to price assets based on their risk level, and expected rate of return. Finance can be broken into three different sub categories:

- Public finance,

- Corporate finance and

- Personal finance.

PUBLIC POLICY

In any society, governmental entities enact laws, make policies, and allocate resources. This is true at all levels. Public policy can be generally defined as a system of laws, regulatory measures, courses of action, and funding priorities concerning a given topic promulgated by a governmental entity or its representatives.

Public policy as government action is generally the principle guide to action taken by the administrative or executive branches of the state with regard to a class of issues in a

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manner consistent with law and institutional customs. In general, the foundation is the pertinent national and substantial 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 result of policies, but 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

Public policy declared State objectives relating to the health, morals, and well being of the citizenry. In the interest of public policy, legislatures and courts seek to nullify any action, contract, or trust that goes counter to these objectives even if there is no statute that expressly declares it void.

Public Policy is basically a set of rules and regulations set forth that the public is expected to adhere to. Public laws are a classic example of public policy in the legality sense, while the laws of society are those that are unwritten but are still expected to be followed in public. Not running down the street naked in public would be a good example of the latter.

Individuals and groups often attempt to shape public policy through education, advocacy, or mobilization of interest groups. Shaping public policy is obviously different in Western-style democracies than in other forms of government. But it is reasonable to assume that the process always involves efforts by competing interest groups to influence policy makers in their favor.

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A major aspect of public policy is law. In a general sense, the law includes specific legislation and more broadly defined provisions of constitutional or international law. There are many ways that the law can influence how survivors of violence against women are treated and the types of services they receive. Likewise, legislation identifies areas in which research grants can be funded and often determines the amount of funding allocated. Thus, it is not surprising that public policy debates occur over proposed legislation and funding.

In this context, advocacy can be defined as attempting to influence public policy through education, lobbying, or political pressure. Advocacy groups often attempt to educate the general public as well as public policy makers about the nature of problems, what legislation is needed to address problems, and the funding required providing services or conducting research. Although advocacy is viewed as unseemly by some in the professional and research community, it is clear that public policy priorities are influenced by advocacy. Sound research data can be used to educate the public as well as policy makers, thereby improving the public policy process.

Government actions

Shaping public policy is a complex and multifaceted process that involves the interplay of numerous individuals and interest groups competing and collaborating to influence policymakers to act in a particular way. These individuals and groups use a variety of tactics and tools to advance their aims, including advocating their positions publicly, attempting to educate supporters and opponents, and mobilizing allies on a particular issue

TYPES OF PUBLIC POLICIES

Distributive policies

Distributive policies extend goods and services to members of an organization, as well as distributing the costs of the goods/services amongst the members of the organization. Examples include government policies that impact spending for welfare, public education, highways, and public safety, or a professional organization's benefit plan.

Regulatory policies

Regulatory policies, or mandates, limit the discretion of individuals and agencies, or otherwise compel certain types of behavior. These policies are generally thought to be best

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applied when good behavior can be easily defined and bad behavior can be easily regulated and punished through fines or sanctions. An example of a fairly successful public regulatory policy is that of a speed limit.

Constituent policies

Constituent policies create executive power entities, or deal with laws. Constituent policies also deal with Fiscal Policy in some circumstances.

Miscellaneous policies

Miscellaneous policies are dynamic; they are not just static lists of goals or laws. Policy blueprints have to be implemented, often with unexpected results. Social policies are what happens 'on the ground' when they are implemented, as well as what happens at the decision making or legislative stage.

When the term policy is used, it may also refer to:

- Official government policy (legislation or guidelines that govern how laws should be put into operation)
- Broad ideas and goals in political manifestos and pamphlets
- A company or organization's policy on a particular topic. For example, the equal opportunity policy of a company shows that the company aims to treat its entire staff equally.

The actions the organization actually takes may often vary significantly from stated policy. This difference is sometimes caused by political compromise over policy, while in other situations it is caused by lack of policy implementation and enforcement. Implementing policy may have unexpected results, stemming from a policy whose reach extends further than the problem it was originally crafted to address. Additionally, unpredictable results may arise from selective or idiosyncratic enforcement of policy

Redistributive policies

The government taxes one group of people to provide benefits to another.

Types of redistributive policy

1. Income stabilization (unemployment, retirement)

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2.   Welfare (head start, tang, food, stamps, school lunch programs)

3.   Health care (Medicare for the aged, Medicare for the indigent)

4.   Housing (section 8, fair housing)

5.   Income distribution (tax code)

Redistributive agencies operate under legislation that anticipates environment changes and automatically adjusts agency action to the changes.

The importance of public policy

Public Policy is the execution framework under which governmental and non-governmental organizations work to resolve one or more social, economic or political issues of a society. It defines the roles and responsibilities of various agents in the system and the allocation & distribution of resources to resolve the issues. It is important because its consequences propagate through the entire cross section of the society directly or indirectly. The policies take the form of providing incentives that encourage certain behavior over another or disincentives to discourage particular actions. The importance of public policy can also be emphasized in terms of the scale and cost of its execution which makes any changes to be made in the latter stage highly expensive and hence it is vital to provide maximum effort and resource in its design.

INDIAN FEDERALISM AND CENTER STATE RELATIONS

The Constitution provides a federal system of government in the country even though it describes India as 'a Union of States'. The term implies that firstly, the Indian federation is not the result of an agreement between independent units, and secondly, the units of Indian federation cannot leave the federation. The Indian Constitution contains federal and non-federal features.

Federal Features

The federal features of the Constitution include:

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(1)   A written constitution which defines the structure, organization and powers of the central as well as state governments

(2)   A rigid constitution which can be amended only with the consent of the states

(3)   An independent judiciary which acts as the guardian of the constitution.

(4)   A clear division of powers between the Center and the States through three lists- Union list, State list and Concurrent list

(5)   The creation of an Upper House (Rajya Sabha) which gives representation to the states, etc.

Non - Federal Features

The Constitution also contains a number of unitary features:

(1)   The creation of a very strong centre

(2)   The absence of separate constitutions for the states

(3)   The right of Parliament to amend major portions of the constitution by itself

(4)   A single citizenship for all

(5)   Unequal representation to the states in the Rajya Sabha

(6)   The right of Parliament to change the name, territory or boundary of states without their consent

(7)   The presence of All- India Services which hold key positions in the Centre as well as the States appointment of the Governor by the President

(8)   The granting of extensive powers to the President to deal with various kinds of emergencies

(9)   The right of Parliament to legislate on state subjects on the recommendation of the Rajya Sabha

(10)   The presence of a single judiciary with the Supreme Court of India at the apex

(11)   The residuary powers under the Indian Constitution are assigned to the Union and not to the States.

(12)   The exclusive right of Parliament to propose amendments to the Constitution.

(13)   On account of the presence of a large number of non- federal features in the Indian Constitution India is often described as a 'quasi-federal' country.

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CENTRE - STATE RELATIONS

Relations between the Union and States can be studied under the following heads

(a) **Legislative Relations -** The Constitution divides legislative authority between the Union and the States in three lists- the Union List, the State List and the Concurrent List. The Union list consists of 99 items. The Union Parliament has exclusive authority to frame laws on subjects enumerated in the list. These include foreign affairs, defense, armed forces, communications, posts and telegraph, foreign trade etc. The State list consists of 61 subjects on which ordinarily the States alone can make laws. These include public order, police, administration of justice, prison, local governments, agriculture etc.

The Concurrent list comprises of 52 items including criminal and civil procedure, marriage and divorce, economic and special planning trade unions, electricity, newspapers, books, education, population control and family planning etc. Both the Parliament and the State legislatures can make laws on subjects given in the Concurrent list, but the Centre has a prior and supreme claim to legislate on current subjects. In case of conflict between the law of the State and Union law on a subject in the Concurrent list, the law of the Parliament prevails. Residuary powers rest with the Union government. Parliament can also legislate on subjects in the State list if the Rajya Sabha passes a resolution by two-third majority that it is necessary to do so in the national interest.

During times of emergency, Parliament can make laws on subjects in the State List. Under Article 356 relating to the failure of constitutional machinery in the state, Parliament can take over the legislative authority of the state. Likewise, for the implementation of international treaties or agreements, Parliament can legislate on state subjects. Finally, Parliament can make laws on subjects in the State list if two or more states make a joint request to it to do so. Thus, the Centre enjoys more extensive powers than the states.

(b) **Administrative relations-** The Indian Constitution is based on the principle that the executive power is co-extensive with legislative power, which means that the Union executive/the state executive can deal with all matters on which Parliament/state legislature can legislate. The executive power over subjects in the Concurrent list is also exercised by

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the states unless the Union government decides to do so. The Centre can issue directives to the state to ensure compliance with the laws made by Parliament for construction and maintenance of the means of communications declared to be of national or military importance, on the measures to be adopted for protection of the railways, for the welfare of the scheduled tribes and for providing facilities for instruction in mother tongue at primary stage to linguistic minorities.

The Centre acquires control over states through All India Services, grants- in- aid and the fact that the Parliament can alone adjudicate in inter- state river disputes. During a proclamation of national emergency as well as emergency due to the failure of constitutional machinery in a state the Union government assumes all the executive powers of the state.

(c) **Financial Relations -** Both the Union government and the states have been provided with independent sources of revenue by the Constitution. Parliament can levy taxes on the subjects included in the Union list. The states can levy taxes on the subjects in the state list. Ordinarily, there are no taxes on the subjects in the Concurrent List. In the financial sphere also the States are greatly dependent on the Centre for finances. The Centre can exercise control over state finances through the Comptroller and Auditor General of India and grants. But during financial emergency the President has the power to suspend the provision regarding division of taxes between the centre and the states.

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