



# **ALAGAPPA UNIVERSITY**

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(A State University Established by the Government of Tamil Nadu)

**KARAIKUDI – 630 003**



## **Directorate of Distance Education**

**MA [Education]**

**II - Semester**

**348 24**

## **PRINCIPLES OF EDUCATIONAL MANAGEMENT**

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## INTRODUCTION

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### NOTES

Many scholars consider education to be the driving force behind economic development and social advancement in a country. For an educational institution to function effectively, a competent management and administration system needs to be created. Educational management ensures the smooth operation of an educational system by managing its day-to-day activities.

Planning is another strong component of educational management and it proves to be conducive in removing any issue which may develop in the foreseeable future. It has been observed that by the twenty-first century, the major theories of management and administration were developed in accordance to the educational system. Many theories were adapted from the industry sector so that specific educational requirements could be met. Hence, it can be said that educational management and planning first started out as a field of study which depended on other settings and eventually became an established field with its own ideas and theories. These ideas and theories later progressed to alternative models which were gained through observation and experience of various educational institutions.

The book, *Principles of Educational Management*, is divided into 14 units. It has been designed keeping in mind the self-instructional mode or SIM format, wherein each unit begins with an 'Introduction' to the topic and is followed by an outline of the 'Objectives'. The detailed content is then presented in a simple and structured form, interspersed with 'Check Your Progress' questions to test the student's understanding. A 'Summary' of the content, along with a list of 'Key Words' and a set of 'Self-Assessment Questions and Exercises' is provided at the end of each unit for effective recapitulation.

## BLOCK - I

### EDUCATIONAL PLANNING MANAGEMENT AND FUNCTION OF MANAGEMENT THEORIES

#### NOTES

## UNIT 1 EDUCATION MANAGEMENT

### Structure

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### 1.0 INTRODUCTION

Although proper definitions of management have only recently come into being, the act of 'management' has existed since time immemorial.

'Management' as a term refers to a range of activities undertaken in order to successfully complete a task. Simply put, management is all about getting things done. It refers to the process used to achieve a certain target or fulfil a specific goal. No wonder it is said to be an art as well as a science. Organizations across the world, irrespective of whether they are political, cultural, social or business, thrive on their management strategies or skills.

This book will deal with various aspects of management and organizational behaviour. This particular unit will explain the definitions, importance, nature and scope of management. It will also introduce you to the relationship between management and administration. You will be able to judge for yourself whether

management is a science or an art. In addition, you will be taught about the various management levels and their functioning in detail.

## NOTES

### 1.1 OBJECTIVES

After going through this unit, you will be able to:

- Discuss the meaning, need, importance and characteristics of education management
- Explain management as an art or science or profession
- Describe the functions and operatives of management
- Differentiate education administration from education management
- Examine the theory of education management
- Discuss the principles of education administration

### 1.2 MANAGEMENT: AN OVERVIEW

Management in some form or another is an integral part of living and is essential wherever human efforts are to be undertaken to achieve desired objectives. The basic ingredients of management are always at play whether we manage our lives or our business.

**Example:** Let us look at how a housewife uses managerial ingredients in managing the home. First of all, she appraises her household and its needs. She forecasts the needs of the household for the period of a week or a month or longer. She takes stock of her resources and any constraints on them. She plans and organizes her resources to obtain the maximum benefits out of these resources. She monitors and controls the household budget and expenses and other activities. In a large household, she divides the work among other members and coordinates their activities. She encourages and motivates them to do their best in completing their activities. She works towards improving goals, resources and the means to attain these goals. These tasks, generally, are the basic functions of management.

Management, as a system, is not only an essential element of an organized society but also an integral part of life when we talk about managing our lives. Managing life is similar to managing an organization. This 'art' of management has been with us from time immemorial. Just as a well-managed life is much better organized, goal oriented and successful, 'good' management of an organization makes the difference between the success and the failure of an organization. Perhaps, the importance of management was highlighted by the late President of the United States, John F. Kennedy when he said that, the role of management in our society is critical to human progress. It serves to identify a great need of our time: to improve standards of living for all people through effective utilization of human and material resources.



A manager's job is highly crucial to the success of any organization. The more complex the organization, the more crucial is the manager's role in it. A good manager makes things happen.

### 1.2.1 Meaning

Many management thinkers have defined management in their own ways. For example, Van Fleet and Peterson define management, 'as a set of activities directed at the efficient and effective utilization of resources in the pursuit of one or more goals.' Figure 1.1 shows the components of management.

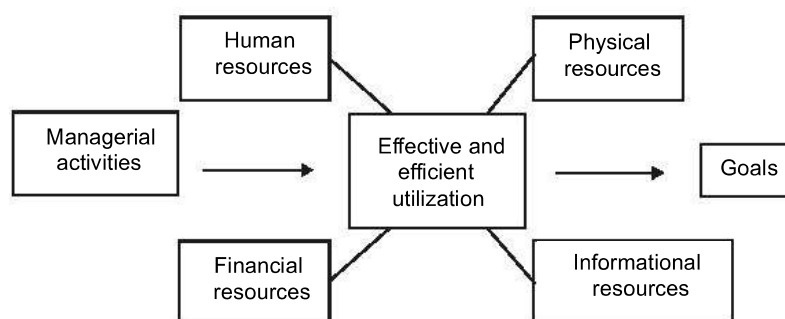


**Fig. 1.1** Components of Management

Meggison, Mosley and Pietri define management as 'working with human, financial and physical resources to achieve organizational objectives by performing the planning, organizing, leading and controlling functions'. Figure 1.2 represents this definition of management.

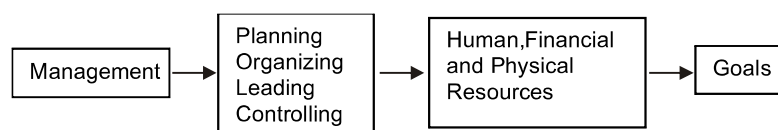


**Fig. 1.2** Meggison, Mosley and Pietri's Management Definition

Kreitner considers management as a problem solving process. In his book, *Management: A Problem Solving Process* (Houghton Mifflin, 1980), R. Kreitner, defines management as follows:

'Management is a problem solving process of effectively achieving organizational objectives through the efficient use of scarce resources in a changing environment.'

Some of the integral elements of this definition can be separated and briefly explained as follows:

- 1. Problem solving process:** One of the most important functions of a manager is to make decisions and solve problems. Some of the major problems that management must continually face include unpredictable economic trends, changing governmental regulations, resource shortages and a severe competition for these resources, employee demands, technical

### NOTES

## NOTES

problems, technological developments and so on. There are other problems that are comparatively routine in nature and can be solved by some tried and tested mechanisms. **Example:** A change in production quality can be easily tackled by close supervision.

- 2. Organizational objectives:** All organizations have a mission that is the very basic reason for their existence and certain goals and objectives. While the goals are long range and more general in nature, objectives are more specific, tangible and most often quantifiable. **Example:** The mission of a college may be high-quality education, its goal may be to primarily serve the educational needs of the surrounding community and its objective may be to increase the number of new students entering the college by ten per cent in two years. The primary objective of most organizations is to provide a service for the public. Of course, such service has to be profitable for the organization in monetary terms, for that is the essence of a capitalist economy. Accordingly, management must plan its activities along these lines. Additionally, it is also the management's responsibility to integrate the personal objectives of the employees into organizational objectives. The personal objectives of employees may include higher remuneration, more challenging tasks and responsibilities and participation in the decision-making process.
- 3. Efficiency:** Efficiency, along with effectiveness, is the most common way of measuring organizational performance. Efficiency is the ability to 'get things done correctly.' An efficient manager achieves a higher output with given resources of time, talents and capital so that these resources are fully utilized without waste. Similarly, effectiveness means 'doing the right things in the right way at the right time.' Accordingly, successful managers would not only be effective in terms of selecting the right things to do and the right methods for getting them done, but they would also be efficient in fully utilizing the resources.
- 4. Scarce resources:** The resources of people, time, capital and raw materials are all finite and limited. They are all scarce in nature and not expandable. Additionally, there is a fierce competition for acquiring these resources. Management, basically, is a 'trusteeship' of these resources and hence must make conscious efforts to make the most of these resources.
- 5. Changing environment:** The dynamics of the environment is influenced by the changes that have taken place in all areas in the last few years. The advent of computers and telecommunications technology has changed the ways in which the assessment of the environment is carried out for decision-making purposes. Accordingly, management must be prepared to predict these changes and formulate ways to meet these new challenges more effectively.

### 1.2.2 Characteristics of Management

No doubt management, as an academic body of knowledge has come a long way in the last few years. It has grown and gained acceptance all over the world. Yet, the term 'management' continues to be the most misunderstood and misused. A study of the process of management reveals the following points about the nature of management:

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#### **Management is a universal process**

Where there is human activity, whether individual or joint, there is management. The process of management can be noticed in all spheres of life. The basic nature of management activity remains same in all arenas, whether the organization to be managed is a family, a club, a trade union, a trust, a municipality, a business concern or the government. Slight variations in approach and style may be there from organization to organization, but the management activity is basically the same everywhere.

#### **Management is a factor of production**

Management is regarded as a factor of production. Just as land, labour and capital have to be brought together and put to effective use for the production and distribution of goods and services, similarly managerial skills have also to be acquired and effectively used for the purpose.

In the modern industrial set-up, qualified and efficient managers are essential to reap the fruits of huge investment in business where the pattern of production has become capital-intensive. In fact, in this scenario, more important would be the role of management.

#### **Management is goal oriented**

The most important goal of all management activity is to accomplish the objectives of an enterprise. These objectives may be economic, socio-economic, social and human and thereby management at different levels seeks to achieve these in different ways. But at all times, management has definite objectives to pursue and it employs all the resources as it commands – men, money, materials, machines and methods in the pursuit of the objectives.

#### **Management is supreme in thought and action**

Determination of the objectives of an enterprise tests the collective wisdom and sense of imagination of its management. The objectives should be neither too high sounding or difficult to achieve, nor too low pitched to rob the workers of their sense of achievement. But, mere setting of objectives will be of no avail, if there is no vigorous action to achieve them.

Managers set realizable objectives and then mastermind action on all fronts to accomplish them. Managers belong to that rare breed of men who are not only

aware of what is to be achieved and how, but also possess the capability and courage to accept the challenges of doing it.

### **Management is a group activity**

#### **NOTES**

An enterprise will not be able to achieve its objectives if only one or a few individuals or departments are efficient and the rest are inefficient. The calibre of each individual and each department needs to be efficient in order to make a project successful.

**Example:** A marketing manager is responsible for increasing the sales of the products of any organization, human resources manager is responsible for recruiting new people, developing organizational policies for the employees etc.

### **Management is a dynamic function**

Management is a dynamic function of a collective enterprise, which is constantly engaged in casting and recasting the enterprise in the world of an ever-changing business environment. Not only this, it sometimes also initiates moves that reform and alter the business environment. If an enterprise is well equipped to face the changes in business environment brought about by economic, social, political, technological or human factors, it can soon adapt itself to a changed environment or make innovation to attune itself to it.

### **Management is a social science**

Management means getting the tasks done by different people with different qualities. This involves dealing with individuals each one of whom has a different level of sensitivity, understanding and dynamism. In fact, no definite principles or rules can be laid down with respect to human behaviour. These principles change from individual to individual and from situation to situation. No doubt, a manager may seek guidelines from established principles and rules but he cannot base his decisions on them.

### **Management is an important organ of society**

Management shares a direct relationship with society. While the society influences the managerial actions, managerial actions also influence society. By their decisions, management of large undertakings influence the economic, social, political, religious, moral and institutional behaviour of the members of society. This creates an impact on the social and moral obligations of business management which cannot be easily ignored.

### **Management is a system of authority**

It is the job of management to bring about a harmonious arrangement and pattern among the different resources employed in an undertaking. In fact, management's role as a factor of production forces itself to be methodical in plans and procedures and on the other hand systematic and regular in their implementation. For this, it is necessary that the authority vested in the management is to be exercised properly

and correctly. Therefore, this calls for well-defined lines of command and delegation of suitable authority and responsibility at all levels of decision making.

*Education Management*

### **Management is a profession**

Management makes judicious use of all available means to accomplish certain predetermined ends. To achieve this successfully, managers need to possess managerial knowledge and training. Moreover, they have to conform to a recognized code of conduct and remain conscious of their social and human obligations. Managers are well paid and well provided by the organization for their work. Moreover, they enjoy considerable social prestige too.

### **Management as a process**

Management is an activity consisting of a distinct process, which is known as the management process. This process is primarily concerned with the important task of goal achievement. No business enterprise can achieve its objectives until and unless all the members of the unit make an integrated and planned effort under the directions of a central coordination agency. In management terminology, this central coordinating agency is technically known as 'Management'. The methodology of getting things done is known as 'Management process'. The process, in general, is defined as a series of actions or operations conducted to achieve a goal. The functions that are performed by a manager and the sequence in which they are performed are together called the 'Management process'.

Ordinarily there are two main functions of each manager—decision-making and implementation of the decisions. Collectively, these two fall under the management process. The processes such as planning, organizing and actuating involved in the achievement of business goals together form the management process.

### **1.2.3 Objectives and Scope of Management**

Although it is difficult to precisely define the scope of management, yet the following areas are included in it:

- 1. Subject-matter of management:** Planning, organizing, directing, coordinating and controlling are the activities included in the subject matter of management.
- 2. Functional areas of management:** These areas are as follows:
  - Financial management (Including accounting, budgetary control, quality control, financial planning and managing the overall finances of an organization).
  - Personnel management (Including recruitment, training, transfer promotion, demotion, retirement, termination, labour-welfare and social security in industrial relations).

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- Purchasing management (Including inviting tenders for raw materials, placing orders, entering into contracts and materials control).
- Production management (Includes production planning, production control techniques, quality control and inspection, time and motion studies).
- Maintenance management (Involving proper care and maintenance of the buildings, plant and machinery).
- Transport management (Including packing, warehousing and transportation by rail, road and air).
- Distribution management (Including marketing, market research, price-determination, taking market-risk and advertising, publicity and sales promotion).
- Office management (Includes activities to properly manage the layout, staffing and equipment of the office).
- Development management (Involving experimentation and research of production techniques, markets etc).

**3. Inter-disciplinary approach.** For the correct implementation of management, it is important to have knowledge of commerce, economics, sociology, psychology and mathematics.

**4. Universal application:** The principles of management can be applied to all types of organizations irrespective of the nature of tasks that they perform.

**5. Essentials of management:** Management should consider a scientific method, human relations as well as relevant quantitative technique.

**6. Agent of change:** Modern management techniques can be modified by proper research and development to improve the performance of an organization.

#### 1.2.4 Importance and Need of Management

Management is an essential component of all social organizations and is to be found everywhere as a distinct, separate and dominant activity. The importance of management cannot be over, emphasized. The significance of 'Management' may be outlined in the following paragraphs:

- 1. Meeting the challenges of change:** In recent years, the challenge of change has become intense and critical. Only scientific management can overcome the complexities of modern business.
- 2. Effective utilization of the Seven Ms:** There are seven Ms in business: men, materials, money, machines, methods, markets and management. Management stands at the top of all these Ms. It determines and controls all other factors of business.

3. **Development of resources:** Good management procures good business by creating vital dynamic and life-giving force in the organization.
4. **Providing management directs the organization:** Just as the mind directs and controls the body to fulfil its desires, management directs and controls the organizations to achieve the desired goal.
5. **Integrate various interests:** There are various interest groups that put pressure over other groups for maximum share in the total output. Management balances these pressures and integrates the various interests.
6. **Management provides stability:** In the modern society, management provides stability by changing and modifying the resources in accordance with the changing environment of the society.
7. **Management provides innovation:** Management provides new ideas, imaginations and visions to the organization and necessary life for better and greater performance.
8. **Management provides coordination and establishes team spirit:** Management co-ordinates the activities of the different departments in an enterprise and establishes team spirit amongst the personnel.
9. **To tackle business problems:** Good management serves as a friend, philosopher and guide in tackling business problems. It provides a tool for doing a task in the best possible manner.
10. **A tool of personality development:** Management is necessary not only for productivity, but also for improvement in the efficiency of mankind. Management helps improve the personality of people and therefore attempts to raise their efficiency and productivity.

### 1.2.5 Management and Administration

According to Dalton E McFarland who subscribes to the classical or traditional approach, administration in business organizations is concerned with the higher level where policies are determined. Very rarely are first-line supervisors considered as administrators in such an approach. They are considered to be managers. However, in the field of health care and also in certain service organizations, problems such as chronic diseases are managed but programmes such as distribution of vaccines, etc. are administered.

Administration may be defined as 'the guidance, leadership and control of the efforts of a group of individuals towards some common goals'. Often the terms administration and management are used together as administrative management. Administrative Management is different from 'operative management', which is concerned with the operational aspects of a business. Some experts like Oliver and Sheldon distinguished administration from management by suggesting definitions of their own.

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**NOTES****The Definition**

Administration is defined as a function of an organization that is concerned with policy determination, co-ordination of finances, production, distribution and control of the executives required for establishing an organization. Contrary to this, management is the process that is concerned with the execution of the policies within certain limits set by the administration and employment of the organization for the purpose of accomplishing objectives laid down by the administration.

**Essence of Administration**

According to Ordway Tead in his book, *The Art of Administration*, the process of administration can be divided into the following elements: Establishment of the objectives of an organization; formulation of policies for an organization; stimulation of the organization, evaluation of the performance of the organization and planning for the future.

Thus, management actions are directed towards attaining aims and objectives that are laid down by the administration.

It is, therefore, clear that administration is more important at higher levels whereas management is more important at lower levels in the firm's organizational pyramid.

Thus, administration is a top-level function while management is a bottom level function. The fundamental point of distinction between these two aspects is that the former is the process of formulating policies and goals of the organization while latter directs and guides the operational or functional aspects of the organization towards achieving the objectives set by the former. Figure 1.3 shows the administration and management ladder:

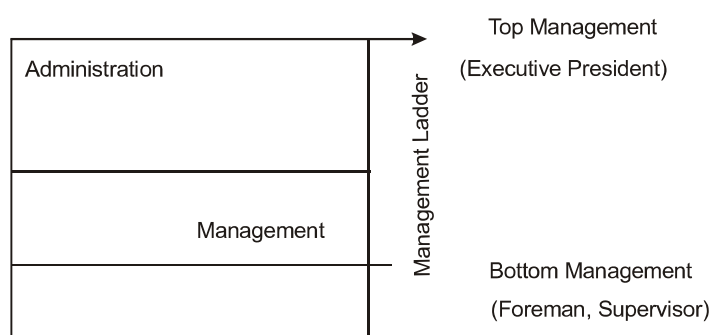


**Fig. 1.3** The Management Ladder

The scope of management is broader than that of administration. It is true that planning is more important and broader at higher levels of organization. Yet, it is equally valid that every level of management, irrespective of its hierarchy in the organizational set-up has to do some sort of planning and policymaking along with their execution. Therefore, management includes both administrative management and operative management.



**Check Your Progress**

1. What does the determination of objectives of an enterprise test?
2. List the seven Ms in business.
3. State the fundamental point of distinction between administration and management.

**NOTES**

### 1.3 MANAGEMENT: AN ART OR SCIENCE OR PROFESSION

A controversy has raged for many years over the concept of management. Is it an art, which depends upon skill or is it a science which depends upon analysis. According to J. Paul Getty, 'Management cannot be systematized, or practiced according to a formula. It is an art, even a creative art.' Others disagree. It is said that, 'The management is the oldest of arts and the youngest of sciences.'

**(a) Management as an art:** It has been propounded that just like leaders, the managers are also born and not made. It is an inherent trait and it cannot be learned through formal training or knowledge of certain techniques. It is similar to being a painter or a poet. You cannot be trained to become a poet. There have been a number of cases in which some people have become successful managers and entrepreneurs without having, been specifically educated for this profession. They have depended upon intuition and experience rather than any formal preparatory education.

According to Jucius and Schlender, management was considered a pure art in the United States in the last century.

A manager was born or was made so in the hot crucible of experience. He thus relied upon intuitive guidance when faced with a decision. So in a sense, he learned nothing from the previous generations and could pass nothing on to succeeding generations as far as management skills were concerned.

The contention of management being an art was rejected by scientific management pioneers like Fredrick J W. Taylor, Henry Gantt, Henry Fayol, Frank and Lilian Gilbreths who believed that the management process could be translated into a set of methodologies and techniques which could be learned and communicated. However, the management may be a combination of both art and science elements. The science and the art of it may not be mutually exclusive. In the opinion of a Russian management expert. D. Gvishiani, 'the managerial activity will always remain a creative field, a field of art, even though it is becoming more and more scientific.'

**(b) Management as a science:** Science is a systematic knowledge which explains the cause and effect phenomenon with underlying principles which

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have universal application. In this regard, management has developed certain principles, laws and generalizations which are universal in nature and can be applied under similar circumstances of business environment. According to Luther Gulick,

Management is already a field of knowledge, and is becoming a science, because the inter-relationships being involved are being explained systematically and the emerging theories are being tested and improved by logic and the facts of life.

Both scientific management, which is the scientific study of management principles and management science which is based upon sophisticated quantitative decision making models has common approach, that subjectivity and intuition should be replaced by objectivity and scientific methodology and rule-of-thumb, hunches, guess-work, and trial-and-error approach be replaced with exact knowledge and deductive decisions.

Can the management, however, be an exact science where the same sets of rules apply under similar situations? Do similar causes result in similar effects in the area of management? Hardly so, management cannot be all exact science because it deals with human beings and because their psychological make-up is highly complex and unpredictable. Additionally, the business environment is highly dynamic and ever-changing. Accordingly, the same rules may not always apply because the situations are never similar.

Management may not be an exact science but the application of scientific methods to management problems have proved to be effective. Objectives are defined, hypothesis formulated, necessary data collected, analysed and interpreted, conclusions tested, solutions arrived at and implemented. Mathematical techniques have been successfully applied in problems involving inventories, service facilities, assignment of jobs to machines for optimal results, optimal allocation of scarce and limited resources to different projects etc. More important than the scientific methodology is the scientific mind and scientific attitude of the manager. The scientific mind is always accepting challenges, is always investigating and reaching objective conclusions. The scientific attitude is selective, objective, and discriminating and it implies creativity.

### **Management as a Profession**

In addition to the continuing debate on whether management is an art or a science or an amalgam of both, another unresolved issue is whether management can be categorized as a profession. What is a profession? The dictionary defines profession as, 'calling in which one professes to have acquired a specialized knowledge which is used either in instructing, guiding, or advising others.' Does management fit closely with this definition? Is the manager in the same category of a profession as 'a medical doctor, a lawyer or a mechanical engineer? Mary Parker Follet expressed her views in conclusion of her paper, 'Management as a profession'.

What does all this imply in regard to the profession of business management? It means that men must prepare themselves as seriously for this profession as for any other. They must realize that they, as professional men, are assuming grave responsibilities, that they are to take a creative part in one of the large functions of society, a part of which, I believe, only trained and disciplined men can, in the future, hope to take with success.

The basic element in the definition of management is the ‘specialized knowledge’, acquired by education. You cannot become a doctor without this education. Same thing goes for an engineer or an accountant. Is the manager required to obtain this education? Is the management knowledge a ‘specialized knowledge’?

On the contrary, there have been many cases in which successful managers and successful entrepreneurs never went to college and sometimes not even to high school. Then how do we reconcile this background with the knowledge and education necessary for a profession.

Perhaps, then, management is not fully developed as a profession. According to Hodge and Johnson, ‘Management does not at present meet the requirements and is not properly classified as a profession.’

However, in the last decade or so, the field of management is becoming more specialized, requiring formal educational courses as foundation for successful managers. The degree of professionalism in management can be measured against some of the elements or characteristics that are basic ingredients for defining professionalism. These common elements are:

- The first element is the core of a skill, a specialized education in which a professional must be proficient.
- This skill must be based on a well-defined formal body of knowledge, which must be transferable and achieved through formal learning, training and experience. These learning techniques must be intellectual in nature so that simply learning a vocational skill is not enough to make it a profession.
- A profession is a continuous discipline of study so that through proper research and investigation, new techniques are acquired to improve and enhance the profession.
- A professional must possess certain personal qualifications as far as maturity, sophistication, patience and analytical ability is concerned. He must be ‘professional’ in his behaviour.
- There must be a well-accepted authority like an institution or association which certifies the professional on the basis of his skill and knowledge and has the right to admit or reject admission into the profession. An example of such an association would be ‘American Medical Association.’
- A profession has a recognized status in society, and hence must have a code of professional conduct which is homogeneous in nature and applicable to all members of the same profession.

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- A professional must operate with a professional spirit and mission which is in tune with the aims and objectives of the society. He must be willing to give unselfish service to the community and respond positively to the growing needs of the society in his area.

Does management as a profession meet all or at least most of these basic, characteristics necessary for professionalism? The American Management Association (AMA) thinks so.

The American Management Association in supporting a paper written by Ray A. Killian, stated in 1963:

Management is rapidly evolving as a true profession with definable principles and with a body of reference points strong enough to differentiate managers from non-managers and to correlate basic goals for its members, regardless of the nature of their business, their 'geographical location or the activity with which they are affiliated.

Furthermore, the American Management Association had contended that management as a profession meets the following basic but specific characteristics:

- It has a body of knowledge that is transferable. There are basic principles of management which can be identified, mastered and practised. This body of knowledge is being constantly enlarged and enriched from the experiences of successful managers as well as from the research findings of sociologists and scientists in related areas.
- It follows a scientific approach. There are prescribed patterns for managerial operations.
- It requires specific skills and tools that are used in the performance of managerial duties and responsibilities.
- It adheres to a code of ethics. A professional manager is conscientious in his role and is honest in his attitude and philosophy.
- It has a required discipline. As in the case of other professional careers, managing requires a discipline for effective performance.

However, in spite of AMA's assertion of management as a profession, it falls short of strict disciplinary standards of some other accepted standards. Some of these shortcomings are enumerated by Amrine, Ritchey, and Hutley. These are:

- **Skills not fully developed:** Even though there are some principles of management that are fully established and universal in nature, it still has not evolved a complete set of techniques and skills that are universally applicable.
- **The ethical codes are not as strict as desirable:** Unlike medical profession and the legal profession which has very strict ethical standards for performance, the managers still use high-pressure tactics and unfair competition to increase the market share of their product.
- **No uniform method of entry into the field of management:** Anybody can proclaim to be a manager. While doctors and engineers have to go

through a required course of study and need a licence from a professional body to practice, no such licence is required to practice as a manager. Accordingly, some managers may have a master's degree in business administration, and others may not have any degree at all and still be able to practice as managers.

- **The objective is monetary rather than service:** Service to society and humanity is the basic function of a professional and the monetary reward is only secondary. For example, a doctor's objective is to save lives. Management as a profession lacks that service objective.

Notwithstanding these shortcomings in management as a profession, the fact that managers at local, regional, and global levels have their associations for cross-fertilization of ideas and exchange of experiences, demonstrates beyond doubt their professional attitudes. In fact, their desire to compare experiences with counterparts is a very significant hallmark of a profession.

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### 1.4 MANAGEMENT: FUNCTIONS AND OPERATIVE

In this section, you will learn about the operative and functions of management.

#### Management Functions

There are basically five primary functions of management. These are:

- (i) Planning
- (ii) Organizing
- (iii) Staffing
- (iv) Directing
- (v) Controlling

The controlling function comprises coordinating, reporting and budgeting. Hence, this function may be further subdivided into three separate functions coordinating, reporting and budgeting. Based upon these seven functions, Luther Guelick coined the word POSDCORB, which generally represents the initials of these seven functions. All the primary functions are explained and discussed as follows.

#### Planning

Planning is future oriented and determines an organization's direction. It is a rational and systematic way of making decisions today that will affect the future of the company. It is a kind of organized foresight as well as corrective hindsight. It involves predicting the future as well as attempting to control the events. It involves the ability to foresee the effects of current actions in the long run in future. **Example:**

Business planning, project planning, strategic planning (vision, mission) etc. communications plans, research design planning etc.

### Organizing

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Organizing requires a formal structure of authority and the direction and flow of such authority through which work sub-divisions are defined, arranged and coordinated so that each part relates to the other part in a united and coherent manner so as to attain the prescribed objectives. Thus, the function of organizing involves determining the activities that needs to be done in order to reach the company goals, assigning these activities to the proper personnel and delegating the necessary authority to carry out these activities in a coordinated and cohesive manner. It follows, therefore, that the function of organizing is concerned with:

- Identifying the tasks that must be performed and grouping them whenever necessary
- Assigning these tasks to the personnel while defining their authority and responsibility
- Delegating the authority to these employees
- Establishing a relationship between authority and responsibility
- Coordinating these activities

**Example:** When a new project begins, the manager identifies the groups best suited to handle the project. He then breaks down the activity into small parts and assigns each part to the person most suitable to handle it. He lets these 'leaders' know that they are responsible for getting these tasks done and gives them the authority to do all that is necessary to complete the task. He assigns them deadlines and takes an update from these 'leaders' every morning to get an idea of the progress of the project.

### Staffing

Staffing is the function of hiring and retaining a suitable workforce for the enterprise both at managerial as well as non-managerial levels. It involves the process of recruiting, training, developing, compensating and evaluating employees, and maintaining this workforce with proper incentives and motivations. Since the human element is the most vital factor in the process of management, it is important to recruit the right personnel. This function is even more critically important since people differ in their intelligence, knowledge, skills, experience, physical condition, age and attitude, and this complicates the function. Hence, management must understand, in addition to the technical and operational competence, the sociological and psychological structure of the workforce.

## Directing

The directing function is concerned with leadership, communication, motivation and supervision so that the employees perform their activities in the most efficient manner possible, in order to achieve the desired goals. The leadership element involves issuing the instructions and guiding the subordinates about procedures and methods. The communication must be open both ways so that the information can be passed on to the subordinates and the feedback received from them. Motivation is very important, since highly motivated people show excellent performance with less direction from superiors. Supervising subordinates would give continuous progress reports as well as assure the superiors that the directions are being properly carried out.

## Controlling

The controlling function consists of those activities that are undertaken to ensure that the events do not deviate from the prearranged plans. The activities consist of establishing standards for work performance, measuring performance and comparing it to these set standards and taking corrective actions as and when needed, to correct any deviations. All these five functions of management are closely interrelated. However, these functions are highly indistinguishable and virtually unrecognizable in a job. It is necessary, though, to put each function separately into focus and deal with it.

### Check Your Progress

4. What is the common approach followed by both scientific management and management science?
5. What is involved in the function of organizing?

## 1.5 EDUCATION ADMINISTRATION VS EDUCATION MANAGEMENT

If we compare educational management, administration and organization, we find that educational management is a broader term, in comparison to educational administration and organization. The word management is being used as a complete whole, which means that all aspects of maintaining and administering the system and developing a well-equipped organization fall under the purview of the management of the system. Management of institutes caters to aspects such as: material and human management, financial and cost benefit analysis, legal and ethical practices, identifying the presence of specific abilities of human resources and managing it, developing the value of individual worth and contributing to the system. A good management always energizes the human and material resources with controlling and directing for different purposes.

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**NOTES**

For understanding management, administration and organization, let us see this example:

We can take the example of a photocopier machine. The machine itself is an example of an organization. The functional part of the machine, i.e., papers and photocopies providing better result and quality photocopies with speed may be the administrative part of that organization. So administration is the practical aspect of the organization where an organization is a complete system. Accordingly, we can explain management as that which takes cares of the whole system and fixes the goals under which the total system performs.

**Meaning**

As the term says, educational management is the operation of management functions in educational institutes. Educational management has no specific definition since its growth and advancement are completely dependent on a variety of disciplines like economics, political science and sociology. The majority of the definitions of educational management that have been developed are not complete since they are only focused on the specific logic of their authors.

**Nature**

Educational management is the hypothesis and regular process of organizing and administrating running educational organizations and setups. Management involves a methodical technique of planning. It explains in functional terms all that needs to be done, the manner in which it is to be done and understanding indications that show that it has been done. Management has no air of mystery. It is a technique to operate. Educational management should have the purpose of bringing together education and society in an organized way.

**Scope**

Educational management covers all that is related to the education of a child, right from the school level to higher education.

- Setup, develop and run library, museum, hostel, etc.
- Maintain academic records
- Appraise the achievements of students
- Supply material tackle, such as building, furnishings, laboratories, reading rooms, museum, art gallery, etc.
- Prepare timetable
- Keep up discipline
- Work in synchronization with authorities of different departments and put into operation the instructions from senior educational authorities
- Systematize direction
- Prepare syllabus for the various classes



- Organize a logical co-curricular programme
- Administer school work
- Coordinate exhibitions and presentations
- Coordinate the work of home, school and community
- Provide a variety of supplementary services like mid-day meals, school uniform, textbooks, etc.
- Manage health and physical education
- Funding and budget

Management may be used as:

- A field of study
- As a team or class of people
- As a process

When we talk about the management of some organization, we refer to a group of people or a mass. In another way, when we talk about management for pursuing an academic programme like Master of Business Administration (MBA), Bachelor of Business Administration (BBA), or Master of Education (M.Ed.), then we define management as a field of study. Further, when the concept of management is used for functions like; planning, organizing, coordinating, monitoring, executing, implementing, directing, supervising, staffing and controlling, it refers to management as a process.

In India, the structure of educational management is:

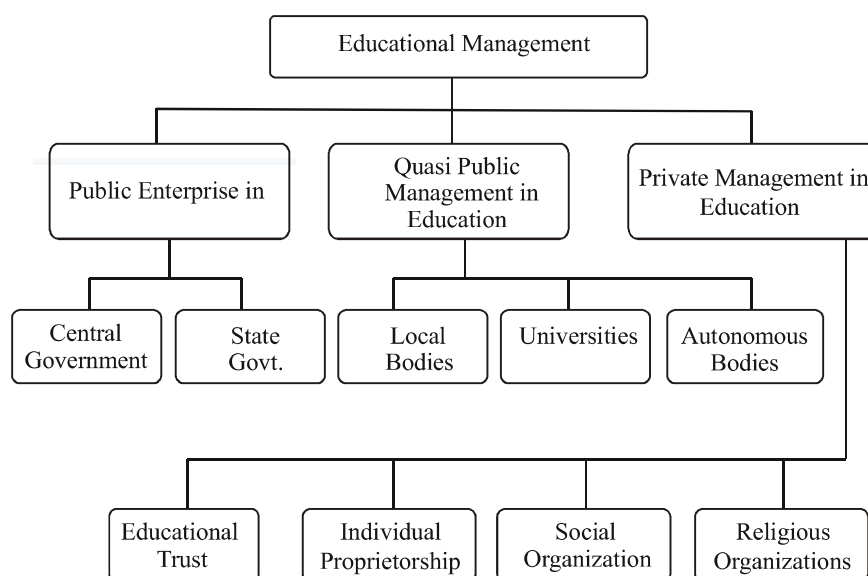


**Fig 1.4** Structure of Educational Management

(Source: Tyagi, 2009, p.7)

## NOTES

**Administration****NOTES**

Administration is the comprehensive effort to direct, guide and integrate associated human strivings which are focused toward some specific ends or aims ..... administration is conceived as the necessary activities of those individuals in an organization who are charged with ordering, forwarding and facilitating the associated efforts of a group of individuals brought together to Realize certain defined purposes” i.e. educational administration is direction, control and management of all matters concerning the educational institution’s affairs.

(*Source:* Ordway Tead, Rfrom Rumki Basu, 2004, p.10)

According to the US Bureau of Labour Statistics, educational administration refers to the management of educational institutions such as: pre schools, elementary schools, secondary schools or colleges/universities. Educational administrators have the responsibility of overseeing curriculum, programs, staffs, students, educational progress and much more.

Educational administration is generally input oriented and considers input as an indicator of progress while management is output oriented; it is concerned with the results (Sapre, 2001). Educational administrators are held accountable for ensuring that students receive quality education and instruction. In addition, administrators are responsible for monitoring the educational progress of students and making necessary adjustments to the learning process when needed. All the educational and support inputs are the work of better administration. It also includes non-teaching support such as: admissions, providing library and other facilities, organizing NCC and various co-curricular activities, personality development campaign of students, faculty development programmes, academic and non-academic support to the staffs and supporting staffs. We can conclude by saying that administration is included in management, and it is a sub system of the total system.

The main objectives of educational administration are to:

- Execute plans and procedure
- Direct to take action in implementation of the plan and procedure;
- Supervise the work conducted in identified field;
- Advice to conduct the work in proper ways;
- Stimulate the workers for their motivation and work efficiency;
- Explore new ideas and vision to develop a better plan for institutional administration and
- Be committed to the smooth functioning of the organization.

**Organization**

Organization is a complete system. As discussed earlier, if a photocopier machine is an organization, its functional aspects like taking paper, producing effective result,

are the examples of administration and the complete system which is taken care of, is the example of a management. In brief we can say that an organization is a system. For better functioning of the system, a definite plan and procedure works better in terms of management and administration.

We can understand it better by taking an example of a school as an organization (any institute is an organization). No organization is complete in itself, for its functioning there is need of management and of course, effective administration makes the system productive and efficient to carry on the work. The institute is the organization and management is the concrete concept say; government or private management (an educational institute may be government managed or privately managed) and in each form of management there is need for administration. Here, administration means the official functionary of a school like the principal, headmaster, office in-charge, teachers and other heads in different wings of the school functions. All the three concepts are interlinked with each other.

In the absence of one element, the system is paralysed. Better output of the system depends upon its nature of administration and leadership quality of the administrators. Again, better administration depends on the nature of management like; government or private management or how it thinks for the improvement of the whole system. Lastly, the organization, say the educational institute, prepares plans and procedures and implements it for better functioning and to get standard products.

An educational institute is an organization. Similarly, a school is also an organization. The term organization has originated from the word organ and organs are living things. All organs perform well-defined tasks. A healthy living body has all its organs working properly. A hale and hearty society has all its organizations functioning in good condition, in synchronization with each other. Societies establish organizations for performing specific tasks. Therefore, an organization is the outcome of the alignment of work and allotment of duties, responsibilities and authorities to attain precise goals.

In the specific context, school as an organization has to discharge its responsibilities by the management and administrators, to satisfy purposes such as:

- **Objectives of the organization:** philosophy, values, mission of the school.
- **Functions of the organization:** What the organization is supposed to do in order to achieve the goals, strategies, tactics and operations.
- **Responsibilities and duties:** People at different levels of hierarchy in organizations have to carry out these. The functions decide upon these responsibilities and duties: responsibilities would include broad statements of the job; whereas duties are the day-to-day jobs arising from the responsibilities.
- **Tasks:** These are certain activities within a duty.

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## NOTES

- **Targets:** These are the amount and quality of teaching which the school aims at over a given time. For instance, a school that can enrol 105 students in Grade 1 can anticipate to have at least 90 of those pupils completing ten years of primary education.

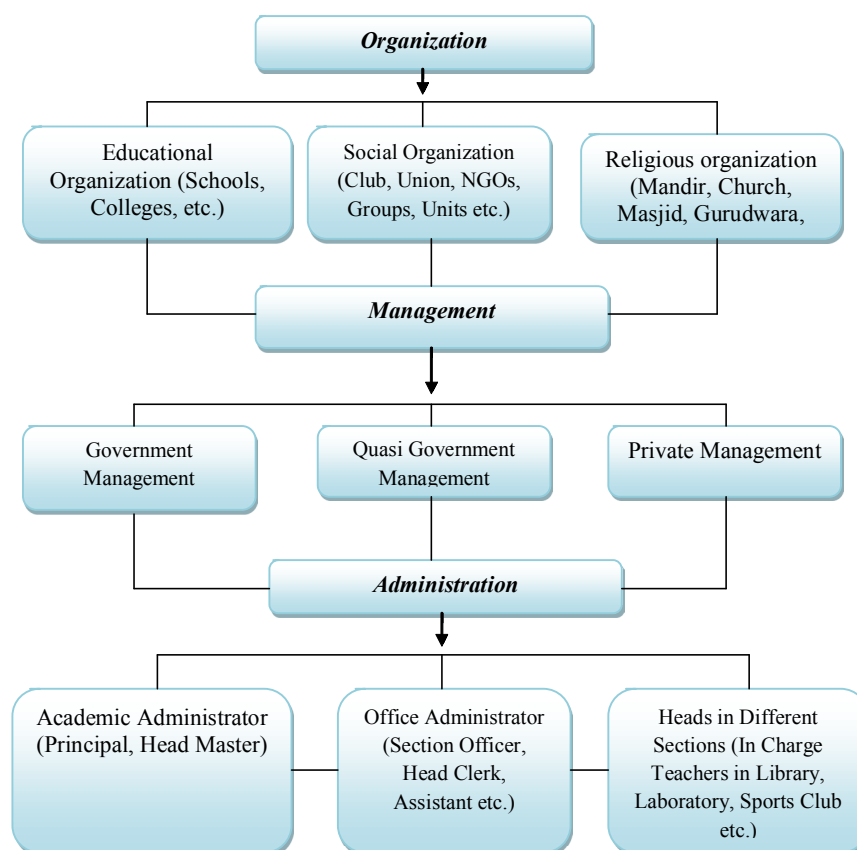


**Fig 1.5** Educational Organization, Management and Administration

(Source: MES 004, IGNOU, <http://www.egyankosh.ac.in/handle/123456789/33264>)

So far, we have learnt the meaning, nature and scope of organization, management and administration of a system. To make it more understandable, we can say that the scope of organization is vast. It is a wider space, starting from local setting to global sectors. As an example in educational local set up, we can say that, District Institute of Education and Training (DIET) is an educational organization, where, elementary teachers get training to teach students. In a national setup, we can say that, National Council for Teacher Education (NCTE) is also an organization that controls all teacher education programmes in India. More widely, we can say that Commonwealth of Learning (COL), United Nations Scientific and Cultural Organization (UNESCO), etc., are the examples of the organizations.

The scope of management is also wide in nature; it may be limited or extended. For example, management may be government or private, autonomous

or quasi government. It may also be a Non-Government Organization (NGO). The nature of functioning of the organization depends up on the management to whom it belongs.

Administration is always a system within the organization and management. It is internal to the organization and the management. For example; in running a school, its administration is only confined to the school functioning, it is the suitable internal arrangement of the management to provide all sorts of experiences to students for expecting a better result and output.

The scope of educational administration is widespread. It includes all activities carried on in the school complex. It includes both, the material and human management of the resources. The main motto for operating effective administration in the school system is to provide adequate facilities to the students and to empower them with teaching-learning processes, make them well-acquainted with the content discussed in the class and give them orientation about their future perspectives. That is why the scope of educational administration extends through the entire activities conducted in institutes, starting from suitable planning. Under the scope of educational administration, three things become most crucial; such as:

- Planning
- Budgeting
- Organizing

We all know that planning is the first and foremost aspect in any work, be it educational administration or other industrial administration. It is rightly said that, 'If you plan for a year, plant a grain, if you plan for 10 years, plant a tree and if you plan for 100 years, plant men'. This is true in the context of planning; is it for achieving short-term or long-term objectives. Accordingly, our nature of planning is constructed. Planning is not an independent activity. Rather, it precedes the other systems of institutional management. In India, educational planning done at various levels, such as: central level, state level, district level, local level and the school level. At the central level, the Government of India plans various educational projects and implements it throughout the country with the help of state governments and local bodies. Accordingly, state governments also plan different educational programmes and launch them all over the state by taking the help of District Board and local bodies. Educational administration also carries on at the district, local and school levels. It is like a hierarchy of administration. All administrative objectives are never satisfied in a single stage. The hierarchy makes it clear that the competent authority at various stages administers the whole system of education.

Budgeting is also within the scope of educational administration. It is also done at various stages like; central, state and school levels. Sometimes careful budgeting is done jointly by the Central and state governments, for projects by sharing per cent of contribution and many a time independent budgeting is done to administer the project. Cost benefit analysis is also a part of budgeting. The annual

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earning and expenditures are being taken into consideration for preparing the budget at the school level.

Besides planning and budgeting, organizing is also another important aspect of educational administration. It deals with systematic arrangements of better school functioning so that the rationale of whole programme can be accomplished. Largely, organizations are concerned with two main aspects like:

- Material equipment; and
- Human equipment.

Under the above two aspects, the following administrative works are being undertaken:

- Developing curriculum for various classes as per the needs of the children specifically based on their diverse abilities and aptitudes and interests.
- Preparing appropriate time table both content and annual.
- Organizing various activities to assess scholastic and co-scholastic abilities of the students.
- Sound distribution of work among the staff and other co-faculties to carry on the work according to the specialization and expertise.
- Establishing laboratories, libraries other electronic facilities in the school.
- Organizing a good physical plant and student-friendly school environment.
- Providing and administering residential facilities to the staff and hostel facilities to students with suitable edible facilities.
- Organizing admission schedule, in-house examinations and term-end examinations.
- Organizing guidance and counselling, and placement cells within the institutions to provide guidance services to the students and to provide placement services in case technical and professional courses.
- Programs to set up a relationship between school and society, school and parents and school and government.
- After implementation of Right to Education Act 2009, it becomes an important administrative responsibility of the school headmaster or principal to prepare better school development plans with coordinating to the School Management Committee and also to organize Parent Teacher Meeting regularly.
- Providing various other services to students such as: mid-day meals, school uniforms, textbooks and other necessary accessories.
- Administration of a better financial management, keeping in view the cost benefit analysis of the institute and preparation of suitable plans for further developmental.

At the end, we can conclude by saying that the relationship of organization, management and administration is like that between a tree and a human being. It has a shape like an organization. A system is functioning within it to grow and the various parts of the complete system work together coordinating each other. In case one part of the system is weak, the whole arrangement gets unstable. All three are cohesively connected with each other and work in unison. Both expect better results by neglecting even single elements of the whole system.

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### Check Your Progress

6. What aspects are catered to in the management of institutes?
7. State the main motto for operating effective administration in the school system.
8. What is included in the non-teaching support in better administration?

## 1.6 THEORY OF EDUCATION MANAGEMENT

Management is a series of actions and tasks relevant to highly well-organized and effectual application of resources within the organization in order to attain organizational objectives (Sapre, 2002, p.102) and educational management may be regarded as a discipline with respect to the management of educational organizations (Bush, 2011, p.1). From another perspective, Bolam (1999) believed that educational management is a function of execution for fulfilling decided policies and made a distinction between educational management and educational leadership. However, there should be a main link between goals and aims of education and actions of educational management (Bush, 2011, p.1) and thus, the process of determining goals of organizations is fundamental to educational management (Bush, 2011, p.3). The label used to describe this field of study has altered over time from educational administration to educational management and finally to educational leadership (Gunter, 2004).

Theories and models of educational management have been categorized by different scholars:

Cuthbert (1984) classified educational management theories to five groups including:

- analytic-rational,
- pragmatic-rational,
- political,
- phenomenological and
- interactionist models

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Bush (2011, p.34-35) based on four element including the level of agreement about objectives, the concept of structure, the level of environmental influences and the most appropriate strategies within the educational organizations has categorized the models of educational management into six clusters which are formal, collegial, political, subjective, ambiguity and cultural models and finally has linked these six models with nine different leadership styles in the context of educational organizations. These nine leadership styles are managerial, participative, transformational, distributed, transactional, postmodern, emotional, contingency and moral. It is notable that since the concentration of instructional or learning-centered leadership is mostly on learning and teaching (direction of influence rather than the essence and origin of influence), it has not been linked with any of the six models of management (Bush, 2011, p.17-18). Let's discuss these concepts in detail here:

**(i) Cluster-I: Formal Model of Educational Management**

Structural systems, bureaucratic, rational and hierarchical models constitute the formal models of educational management (Bush, 2011, p.40-42). These models assume that the structure of the organizations is hierarchical and predefined objectives are pursued based on a rational method. The authority and power of heads is the product of their formal positions and also these managers are responsible and accountable to sponsoring bodies for the operation and execution of agreed policies in their institutions. Formal models of educational management are linked with the managerial leadership style (Bush, 2011, p.60). This style of leadership has some assumptions such as concentration on execution of actions, tasks and activities proficiently as a means of facilitation of other organizational members activities, high degree of rationality in the behaviour of organizational members and allocation of authority and influence to formal positions based on the status of the positions within the organizational chart (Leithwood, Jantzi & Steinbach 1999, p.14). Moreover, managerial leadership, unlike most of the leadership styles, does not encompass vision as a core concept since it is concentrated on successfully management of existing activities rather than dreaming a better future for the educational organization (Bush, 2011, p.61).

**(ii) Cluster II- Collegial Model of Educational Management**

Major assumptions of these models are policy determination and formulation, decision making based on a process of discussions, agreements and consensus and sharing the power among some or all of the members of the organization who are considered to have a common perception of the organizational objectives (Bush, 2011, p. 72). Collegial models are linked with three leadership styles which are transformational leadership, participative leadership and distributed leadership (Bush, 2011, p.84-91).

The core assumptions of transformational leadership are concentration on commitments and competences of organizational members and the fact that the higher level of personal commitments to organizational objectives as well as greater



capacities for goal attainment would contribute to the productivity of the organization (Leithwood et al., 1999, p. 9). Additionally, Leithwood (1994) has conceptualized the transformational leadership in education sector based on eight dimensions as building school vision, setting school objectives, intellectual stimulation provision, offering individualized patronage, best practices and core organizational values modeling, high performance anticipations display, productive culture creation within schools and finally encouraging participation in school decision making process by developing required structures.

Participative leadership which sometimes is described as shared, collaborative or collegial leadership is the second approach pertinent to collegial models of educational management. It has been defined as the opportunities for the organizational members to be engaged in the decision-making process within the organization (Hoyle & Wallace, 2005, p.124) and this engagement is a vital action that needs to be taken (Leithwood et al., 1999, p.12). As a normative theory, participative leadership is premised on three criteria which are an increase in school efficiency due to applying participative approach, justification of participation by democratic principles and availability of leadership to any lawful stakeholders in the framework or context of site-based management (Bush, 2011, p.87).

The third leadership style related to collegial models is distributed leadership which has been at the center of attention of scholars in the 21st century (Gronn, 2010, p.70). Harris (2010, p. 55) also mentioned that this leadership style is one of the most significant approaches within the context of educational leadership in the past decade. This kind of leadership is detached from the positional authority and is based on the competencies and skills of members in the organizational chart. In this way, Harris (2003) stated that distributed leadership focuses on seeking and utilization of expertise wherever it exists in the organization regardless of the organizational positions of the skilled members. In summary and in the context of educational institutions, distributed leadership is a leadership approach in which collaborative working is undertaken between individuals who trust and respect each other's contribution and happens most effectively when people at all levels engage in action, accepting leadership in their particular areas of expertise and finally require resources that support and enable collaborative environments.

### **(iii) Cluster III-Political Model of Educational Management**

The third model of educational management is the political model (Bush, 2011, p.99) which assumes that educational policies and decisions in the institutions stem from a complicated process of bargaining and negotiation over the goals of subunits and specific policy objectives are pursued by interest groups through formation of alliances. Also, conflict is a natural phenomenon based on this model and power accrues to coalitions with higher level of dominance instead of being the preserve of the formal leader in the organization. The practice of this model in educational settings has been called Micropolitics by Ball (1987) and Hoyle

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(1999) as well. Baldrige (1971, pp. 23-24) has developed one of the classical political models. In his model, he suggested five stages in the policy process which are social structure, interest articulation, legislative transformation, formulation of policy and finally execution of policy. Power as one of the factors representing which sub group would have victory over other sub groups in any conflicts in educational settings encompasses positional power, personal power, authority of expertise, control of rewards, coercive power and control of resources (Bush, 2011, pp. 109- 111). In addition, Bolman and Deal (1991), Handy (1993) and Morgan (1997) posited some other power sources such as physical power, power of developing alliances and networks, power with regard to access to and control of agendas, power of controlling meaning and symbols, power of controlling boundaries and lastly power of gender relations management. Transactional leadership is deemed as the most relevant leadership style to political model of educational management (Bush, 2011, p.119). According to Miller and Miller (2001), transactional leadership is a process of exchange and Judge and Piccolo (2004, p.755) suggested that transactional leaders concentrate on appropriate exchange process of resources. They identified three dimensions of transactional leadership as contingent reward, which is a degree to which constructive exchange process is built between the leader and the followers; active mode of management by exception, which implies monitoring members by the leader, problems prediction and taking corrective actions; and finally passive mode of management by exception which implies the behaviour of passive leaders in facing problems. These passive leaders wait until some problems caused by the behaviour of members happen and then take any required actions. It is notable that based on the concept of transactional leadership, exchange process is viewed by the members of the organization as a reputable political strategy.

#### (iv) Cluster IV-Subjective Model of Educational Management

This model mainly stresses the aims and perceptions of individual members in the organization rather than subgroups, units or the whole organization and thus the concept of organizational objectives is rejected based on this perspective. Hence, organizations are depicted as complicated entities reflecting interpretations and understandings of its members derived from their backgrounds, beliefs, values, and experiences and are formed based on the interaction of perceptions of these organizational members rather than something unchanging, stable or preset. In other words, organizations have different meanings for their members and finally, based on subjective model, relationships with external environments are considered subservient and therefore, little attention is paid to these interactions from subjective perspective. With respect to related leadership styles to subjective model of educational management, it may be noted that postmodern and emotional leadership are aligned with subjective model (Bush, 2011, pp.138-140). Emotional leadership as the second leadership style associated with subjective model is concerned with emotions and feelings. Emotion implies individual motivation and meaning of events

rather than a fixed and stable concept or fact and appreciation of emotions of leadership is central to high performance and long-term sustainability in leadership (Crawford, 2009).

#### **(v) Cluster V-Ambiguity Model of Educational Management**

Bush (2011, pp.147-154) presented ambiguity model as the fifth educational management model in his classification which stresses on turbulence, confusion, instability and complexity of organizational life, loose coupling within the groups, uncertainty and unpredictability, sensitivity to the signals emanated from the external environment, emphasis on decentralization, lack of clarity of organizational objectives and low level of appreciation of processes due to the problematic technology utilized within the organization and a fluid participation of members in decision making process. Based on an empirical study by Cohen and March (1986) in the context of higher education institutions in the US, it was suggested that ambiguity is the main feature of universities and the garbage can as the most popular perspectives of ambiguity was developed which rejected the rational process of decision making introduced in formal models. Based on this concept, the decision-making process and choice opportunities within it is considered as a fundamental ambiguous activity similar to a garbage can into which different types of problems and solutions are dumped. These scholars argued that on the premise of the garbage can, the decisions would be made based on the four fairly independent streams and interaction between them which are problems, solutions, participants in the process of decision making and the choice opportunities. While the participation of leaders in policy making process or forsaking direct involvement in that process are regarded as two leadership strategies to deal with ambiguous situations (Bush, 2011, p.164), the most appropriate leadership style aligned to ambiguity model of educational management would be the contingency model of leadership. This leadership style primarily stresses the advantages of adapting leadership styles to the specific situations by assessing the situations as well as reacting appropriately to them rather than applying one style to diverse situations. Yukl (2002, p.234) in support of exerting contingent approach to setting and situations argued that the managerial jobs are so complicated, instable and unpredictable to be dependent on predefined standardized responses to events and effectual leaders are permanently analysing situation for evaluating how to change their behaviours based on them.

#### **(vi) Cluster –VI Cultural Model of Educational Management**

The sixth model of educational management is cultural model (Bush, 2011, p.170). Based on this model, some concepts such as ideas, beliefs, norms, values, attitudes, symbols, rituals, traditions and ideologies are considered as central to organizations and the members behave and assess the behaviour of other members based on them. Moreover, it focuses on how understanding and viewpoints of members are integrated into common organizational meanings. The most relevant leadership

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style to be aligned with cultural models of educational management is moral leadership which stresses in the values, beliefs and ethics of leaders in the organization (Bush, 2011, p.184). Some other terms have also been used by scholars to define moral or values-based leadership including ethical leadership (Starratt, 2004; Begley, 2007), authentic leadership (Begley, 2007), spiritual leadership (Woods, 2007), and poetic leadership (Deal, 2005).

**An Integrative Model**

Later on, Enderud (1980) reflected on the inadequacies of each of the theories described, and developed an integrative model as an attempt at synthesis the models of educational management and incorporated ambiguity, political, formal and collegial perspectives as a sequence into his integrative model based on time management of a successful decision making process. Another synthesis has been done by Theodossin (1983, p.88) linking subjective model with formal model. Hybrid model of Gronn (2010) is also another synthesis linking singular and distributed leadership.

It is obvious that the environment of educational institutions is completely opaque and turmoil and there has been always a need for adaptation to the environment as well as reorientation in policy making in this sector. In fact, charting change and transformation programs is a must for educational institutions to be successful and survive. Based on this, although the typology provided by Bush (2011, p.36) has been a great contribution to the field of educational management, however change-oriented leadership style, which is pertinent in turbulent environments (Ekvall and Arvonen, 1991; Yukl, 1999), has not been linked with any educational models. Change oriented leadership seeks to improve the entire education system of a country or a school organization which has been afflicted with hindrances, conflicts, and turmoil that have prevented it from progressing forward and becoming better. Any model or theory on leadership becomes irrelevant if it does not bring improvement. Change for the better is difficult to do. Resistance to change by individuals in an organization, or divisions in a bureaucratic system, is a common phenomenon, because change causes revamping of habits, values, and ways of doing things. Individuals first want to know what they can get from a change. Other than that, change requires resources, retraining, management, and commitment. It is proposed here that change-oriented leadership must involve the following steps:

- Trend analysis
- Organizational development thinking, i.e. diagnosis of problems and necessary changes to be made
- Values to be acquired
- Outcomes and benefits to be attained

- Plan and strategies for change
- Resources for change

### 1.6.1 Theories of Educational Administration

Working in teams, rather than as individuals, is foundational to learning within modern organizations (Senge, 1990). Within the context of schools, teams may take many forms. For example:

- Leadership teams share decision making,
- Interdisciplinary teams create integrated learning experiences, and
- Collaborative teaching teams

These teams differentiate instruction for individual learners. Collaborative professional learning and decision making or a promising model for transformational change within schools, but it is a complex endeavour presenting multiple challenges. Collaborative inquiry and decision making require individual teachers to take risks as their successes and failures are shared publicly within the group. Deriving interpretations of data and varying perspectives on appropriate courses of action naturally lead to conflict which, if not managed, can result in a diminished sense of efficacy or, worse, complete group paralysis (Emihovich & Battaglia, 2000). Principals and other school administrators who lead from below the surface (Creighton, 2005) understand that authentic collaboration may yield opposing ideas which, in turn, may produce heightened anxiety.

Change theorists such as Fullan (2001) advocate that school leaders must be equipped to manage the inevitable intense emotions that arise from authentic collaboration and changes in practice.

Palmer proposed a new taxonomy that included a dimension associated with leadership: Interpersonal Management, referring to the ability of someone to manage his own emotions and manage the emotions of others. The addition of the management dimension to previous conceptualizations of emotional intelligence further established the role that emotional intelligence plays in effective leadership.

### Culturally Responsive Leadership

Culturally responsive leadership may provide some guidance in leading schools. The term culturally relevant pedagogy was used by Ladson-Billings in her classic book, *The Dreamkeepers* (1994). She called for a redesign of learning environments that would respond to the educational needs of diverse learners, in part, by incorporating students' cultural backgrounds into their instruction. Culturally responsive teaching today continues to focus upon race, but also, more broadly, upon ethnicity and language diverse students (King et al., 2009). Culturally responsive teaching requires culturally responsive leadership. Farmer and Higham (2007) proposed a design for university graduate programs that produce culturally

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responsive leaders. In support of the need for such programs they stated personal conditioning and bias, coupled with firmly established institutional traditions, limit the development of culturally responsive leaders. They suggested changes to admission requirements, program design and curricular content. They argued that program curricula be infused with elements that require participants to examine culture in order to breakdown ethnocentric cultural bias. School principals lead instruction, model behaviour, guide faculty conversations, and have great influence over school climate and culture (Darling-Hammond, LaPointe, Meyerson, Orr, and Cohen, 2007; Leithwood, Louis, Anderson and Wahlstrom, 2004).

**Implications for School Leaders**

Educational leaders must regularly examine their practices and the practices of others in their school to ensure that students are served equitably and that student' home cultures are understood and valued (Johnson et al., 2009). Leaders must be deliberate in their efforts to get to know their schools' communities including the people, places, and practices that make each community unique. This will require spending time outside the school and in the community. Educational leadership program leaders must be willing to redesign programs in order to include more stringent admission procedures and curricula that address cultural responsiveness and social justice (Farmer & Higham, 2007; McKensie et al., 2008; Johnson et al., 2009).

**Spirituality and Ethical Leadership**

Spirituality in leadership is being discussed in different disciplines. Sergiovanni (1992) looked at the spirituality in educational venues. He said that leaders build communities of learners and cultivate the leadership potential of followers. He stated that beliefs and values inform the theories and reflections, which, in turn, affect the decisions and actions of leaders. Leaders' actions ultimately are derived from leaders' interior values and visions. Sergiovanni (1992) makes a point about authenticity. Leaders are the same person at home and at work. Leaders must be in touch with basic values and base decisions and actions on those values. Leaders who are authentic people are more effective in leading communities of followers to see that they are interconnected with each other. Being led by the meaning of the work, the followers will be led by intrinsic values rather than by rewards. Sergiovanni (1992) noted that an important aspect of leadership is being a servant. True leaders put their own interests behind those of others. Only secure leaders can give power to others. They do not put their position ahead of the people (Maxwell, 1999).

The idea of servant leadership is missing from most theories of leadership (Sergiovanni, 1992). A servant leader may appear weak. It takes a secure leader to serve others. Peter Vaill (Vaill, 1998), a thinker in the business world, writes that the boundary between the secular and the sacred needs to be redefined. He discusses the idea of managerial leadership. This discussion describes leaders

who work within the systems they are changing. Managerial leaders are interested in values and community. Vaill (1998) reports that for the past 30 years there has been a battle in the academic world between the idea of a managerial leader as a pragmatist and the idea that such a leader is reflective. On one side the academicians argue for the emphasis to be put on the action and results of a leader. The other side emphasizes the wisdom, perception, and the complexity of the leader. Managerial leaders have an interior life which affects their actions. They reflect deeply on experiences, examine consequences, and dialogue with stakeholders. This entails a search for meaning. Vaill calls for leaders and followers to discover their interconnectedness. Houston and Sokolow (2006) examined eight principles that shape effective leadership. These are principles that are used by enlightened leaders who are in touch with their spirituality. Leaders' intention is where the plan of action starts. Intention attracts people, aligns actions, and focuses energy. Attention to thought also focuses energy. Leaders pay attention to their thoughts, others, situations, and issues. Attention greatly helps to reduce distractions. Enlightened leaders realize that all have gifts and talents. Leaders discover their own gifts and lead others towards their gifts. They celebrate the uniqueness of each individual. Gratitude is the fourth key principle. Leaders are aware of life's blessings and see goodness in obstacles and adversaries. They are grateful for opportunities to help others. Unique life's lessons help leaders to see experiences as part of human development and spiritual growth. Each ending is a new beginning. The connectedness of all things illustrates a holistic perspective. Small changes create large effects.

### **Implications for School Leaders**

The basic tenets of spiritual and ethical leadership styles demand a change in the way principals are trained. The training that stresses the principal as the instructional leader and the manager of a school will have to have as its foundation the elements of community, meaning, and integrity. This has to come before the specific training needed in the job. The reason for this is because leaders have to be spiritual people who act with a sense of integrity before they can take on the training for a specific leadership position. While it may not be possible to create a spiritual person through a series of principal preparation programs, the program should teach the spiritual practices that will help the principal candidate move in that direction. Practices such as reflective journaling, meditation, reading, self-examinations will be part of the curriculum. School leaders make decisions quickly and often. All decisions must be grounded in the ethical system that the school leaders have adopted. These decisions must be consistent with the mission of the school, which speaks to the issue of integrity and meaning or purpose. Principals have to have a good understanding of their personal ethical systems and know how these systems can be put into action. The theme of community comes into play as well because decisions have ramifications that may help or hurt the school

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community, or the wider community. The feeling of community needs to be created by the school leaders. School spirit is not a new concept for school leaders. The spiritual sense of community is a wider concept for spiritual leaders. The school spirit which includes things like cheering on one's team and wearing school colours is only the beginning of community in the spiritual sense. School leaders will lead their followers, staff and students, into a realization that they are an integral part of the community of the school, the community of their region, the community of the environment, and even a part of the community of the universe. While this may seem bizarre, there is great need to see where one fits into the universe to understand the importance of one's actions and their ramifications. The spiritual aspect of community points to the importance of relationships. Community is not only a concept; it is a real entity and it involves people relating to other people. These relationships are healthy interactions that will lead to a building up of the other. Even a damaged relationship, if handled correctly by the leader, will lead to a stronger bond once resolved. The give and take, the comings and goings of members, the friendships in an organization are reflections of how the world works and how the environment works. The knowledge of the staff and students that the school community is in sync with the natural world is comforting and gives deeper understanding of the meaningfulness of the work.

**Synergistic Leadership Theory**

Synergistic Leadership Theory (SLT) is a 21st century leadership theory that provides a framework to examine and reflect on the feminine voice in educational leadership (Irby, Brown, & Yang, 2009). This theory gives consideration to the necessity of the alignment and harmony of four interconnected elements of leadership. These elements include: (a) organizational structure, (b) leadership behaviours, (c) external forces, and (d) beliefs, attitudes and values. SLT's four equal and interactive factors are identified by four stellar points with six interaction pairs. This model can be rotated on any apex and still maintain its shape, thereby indicating no structural hierarchy or linear connotation, rather, suggesting that each factor equally affects the success of the leader in context, as well as the organization (Irby et al.). Being a holistic leadership theory, SLT integrates these external forces which lend to the perception of a leader's success and effectiveness. It is unique from other leadership theories because it is gender inclusive and acknowledges that women bring leadership behaviours differing from traditional male leadership behaviours (Irby, Brown, Duy, & Trautman, 2002). Additionally, acknowledging the presence of external forces that drive educational leaders to collaborate and strategize makes SLT unique from other leadership theories. According to SLT, organizational structure includes promoting nurturing and caring, rewarding professional development, and valuing members of the organization (Irby, Brown, Yang, 2009). Dispersing power within an organization is a portion of the SLT model and has been the focus of studies on women in leadership. The holistic culture of organizations to communicate, problem solve and collaborate has led to a progression of a gender inclusive approach to leadership.



## Implications for School Leaders

*Education Management*

Successful leaders demonstrate leadership behaviours ranging from autocratic decision making to collaborative practices within the organization. Implications for school leaders include the recognition that effective leadership in public schools in the 21st century must include the balance of external forces, leadership behaviour, organizational structure, and attitudes, and values and beliefs of organization. Educational leaders of the past have been able to operate within the connects of their own organizational structure using traditional leadership approaches. Successful leaders of today, such as Michelle Rhee, are exemplifying a holistic approach to leading within their organizations. SLT provides a gender inclusive theoretical framework for leaders to develop and cultivate effective 21st century leadership within our schools. Leading complex educational organizations that produce students ready to compete in a global market requires the expertise of many. Using SLT as a lens to view modernist leadership theory enables one to understand that women can lead effectively without having to behave aggressively or in a masculine manner to be successful.

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### Transformational Leadership

Over the last twenty-five to thirty years, arrays of conceptual models have been employed in research of educational leadership. The 1990s brought leadership models that included shared leadership, site-based management, empowerment, and organizational learning (Hallinger, 2003). Transformational leadership has arguably been a predominant major approach and the backbone or base of these models. Within the area of education, Phillip Hallinger gives his reflection of transformational leadership in the following statement (2003): Transformational leadership focuses on developing the organization's capacity to innovate. Rather than focusing specifically on direct coordination, control, and supervision of curriculum and instruction, transformational leadership seeks to build the organization's capacity to select its purposes and to support the development of changes to practices of teaching and learning. Transformational leadership may be viewed as distributed in that it focuses on developing a shared vision and shared commitment to school change.

### Servant Leadership

In the essay that was first published in 1970, *The Servant as Leader*, Robert K. Greenleaf coined the phrase Servant Leadership. In that essay, he said (1970): The servant-leader is servant first. It begins with the natural feeling that one wants to serve, to serve first. Then conscious choice brings one to aspire to lead. That person is sharply different from one who is leader first, perhaps because of the need to assuage an unusual power drive or to acquire material possessions. The

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leader-first and the servant-first are two extreme types. Between them there are shadings and blends that are part of the infinite variety of human nature. The difference manifests itself in the care taken by the servant-first to make sure that other people's highest priority needs are being served.

Robert F. Russell, and Kathleen Peterson (2003): The principal difference between transformational leadership and servant leadership is the focus of the leader. While transformational leaders and servant leaders both show concern for their followers, the overriding focus of the servant leader is upon service to their followers. The transformational leader has a greater concern for getting followers to engage in and support organizational objectives. Given the information presented, it appears that both leadership styles have advantages and can bring real change in organizations. The world has become more complicated, and dynamic times require dynamic driven leaders (Williams 1998). The potential impact on a school which is led by someone who practices one of the theories mentioned could be powerful. The servant leadership model for leaders can have a far-reaching impact, which could affect the leader, the staff, and the entire school. In today's schools this type of leadership is vital because the school leader has to have an eye on many different aspects of the building. An assertive leader will get more out of the faculty instead of a dictator. This has turned more than job for both faculty and administrators. (Brown, 2009). The fact is that the faculty wants their voice to be heard and servant leadership could be powerful force in a school when used correctly.

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## 1.7 PRINCIPLES OF EDUCATION ADMINISTRATION

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The principles of education administration is a set of principles, which determines the existence and functioning of education administration. There is not one principle of education administration, there are many. The particular principles depend upon the leadership, administrative, or organizational theories that one utilizes in addition to reviews of literature, case studies, and other written works.

Various principles of education administration include: (i) Structural Democracy, (ii) Operational Democracy (iii) Justice (iv) Equality of Opportunity (v) Prudence (vi) Adaptability, Flexibility and Stability.

- **Structural Democracy:** Being the first principle of educational administration in the modern era it puts stress on democracy in structural perspective. It implies "the exercise of control" in democracy. The meaning of exercise of control in this light should be such that, it helps the students as future citizens in fulfilling their needs and requirements tending to their self-realization, safeguard the democratic government and welfare of people at local, state and national levels. This exercise of control refers to the meaning of democracy by treating each human being as, 'a living, growing and

potentially flowering organism.’ Hence as per this principle the educational administration has to practice the principles of democracy both in structural and functional form. In this regard and educational administrator will be the fittest one who can manage autocracy as and when necessary to achieve the goals of an educational programme. For actualizing it, he has to perform his duty as democratically as possible.

- **Operational Democracy:** This principle of educational administration gives priority on the practical aspect of democracy as a way of life and form of governance. To this, the essence of democracy is to give importance on the dignity of every individual and assisting him to understand his self in this context this principle considers democracy as a matter of spirit, way of life and a mode of behaviour. Keeping this in view it is the task and responsibility of an educational administrator to focus on day to day happenings in relation to democratic society in educational perspective that are relevant in wider extent. For example, a school or an educational institution is regarded as the society in miniature or a small society. It means the entire picture of the society has been reflected in the school. The same situation lies in case of a democratic society like ours where people expect the school or an educational institution will do a lot for actualizing democracy as a matter of spirit, way of life and a mode of behaviour practically. In this light, it should be the function of the educational administrator to achieve it for which he may take the view of the students, consult with the staffs, specialists, experts and community members before taking any decision. This will result in the emergence of a good and effective social order by the school or educational institution as an agency of education.
- **Justice:** Generally speaking, justice refers to provide every individual his due in the society by honouring his individuality. This meaning of justice is the essence of democracy. As justice is one of the basic hallmarks of democratic administration, it is regarded as an essential principle of educational administration which is democratic in form and practice. For practicing justice in educational administration there is the need and essentiality of giving due reward and share to every individual for his efforts and achievements. Besides, every individual is to be given task or assignment in accordance with his needs, requirements, abilities, aptitudes etc. Hence for practicing justice as one of the principles of educational administration, the administrators must be judicious while dealing with employees, students and public. But in practice it is not happening as the educational administrators very often arbitrarily exercise discretionary powers and too narrowly apply uniform rules in one point.

And uniformity of rules in educational administration does not provide equality which is necessary to safeguard the individuals in another point. This nature

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of the educational administrator goes against the very essence of justice as it is to be free from such bias nature of them. Hence the educational administrators have to reduce this tendency to minimum for making justice beneficial, healthy and impartial in nature and approach as a principle of modern educational administration.

- **Equality of Opportunity:** One of the important social objectives of education is to equalize opportunity or facility for enabling the backward or under privileged classes and individuals to use education as a means for improvement of their condition. In order to keep equality of opportunity in concrete shape in the field of education, educational administration plays a vital role. For this, greater emphasis should be given on equality of educational opportunity for the sake of accelerating the process for building up of an egalitarian human society in which the age-old social exploitation will be reduced to minimum. The principle of uniformity is not to be practiced and maintained in the field of educational administration as equality does not refer to uniformity. The cause is that opportunity means to provide adequate facility or scope to every individual for his development. In this context, the reasons for existence of inequalities of educational opportunities cited by the Education Commission (1964-66) can be highlighted which must be stressed in the field of educational administration.

These are:

- (a) In equal distribution of educational institutions throughout the country.
- (b) Poverty of a large Section of the population and relative affluence of a small minority.
- (c) Disparity between the education of boys and girls at all stages and in all sectors of education.
- (d) Disparity of educational development between the advanced classes and the backward classes.

Every society that values social justice and anxious to improve a lot of common man and cultivate all available talents, must ensure progressive equality of educational opportunity to all sections of the population. In this context it should be the task of educational administration to make special efforts for equalizing educational opportunities by reducing the above cited problems of it. As a result, equality of opportunity in educational process will be practiced by educational administration as one of its principles.

- **Prudence:** Prudence refers to thinking or planning or showing thought for future. Being contextual in approach it can be said that the futuristic outlook, vision and forward looking must be incorporated in the field of administration. Like general administration educational administration has to practice the exercise of foresight skill and vision with respect to matters concerning practical living and utility of the system of administration in future by the

educational administrator. This principle 'Prudence' is closely related to intelligent economy which implies quality control. In order to ensure quality control in the field of education, educational administration has to make expenditure on education by accepting it as an investment on human.

Besides an educational administrator in order to prudential in nature and work must have simplicity, understanding capacity democratic spirit and effective communication ability with him as attributes.

- **Adaptability, Flexibility and Stability:** An institution must be able to adjust with changing situations by fulfilling the developing needs and by improving its day-to-day dealings with persons or agencies involved. This characteristic of an institution is called adaptability. In the process of achieving its educational objectives, it has to deal differently with different human beings like teachers, parents and the public at large, who are affected in one way or other by the process or its products. This tendency is called flexibility.

The educational institution however must be able to achieve adaptability without creating any dislocation or disruption in its process and achievements. This property is named as stability. An institution must have these three characteristics in order to be able to achieve its objectives adequately and to give due regard to all persons concerned in some way or other.

These three characteristics are dynamic, adaptability and flexibility are especially so. Stability, however, is called as prudential check on the change which retains good in the old and gives up bad in the new. Hence, careful evaluation of the old as well as the new is an essential feature of stability. Adaptability is concerned with acts of change and flexibility to a great extent to counteract with uniformity and stability is mainly the counterweight to adaptability. Thus on the whole, adaptability is the capacity of an enterprise to change, to develop and to improve. Flexibility is the capacity of an institution to react in variance with persons and situations affected and to warn against the dangers of uniformity. Stability on the other hand is the capacity of an organization to safeguard the merits of the old while it is in the process of change. Hence, all these three qualities of adaptability, flexibility and stability are complementary to each other.

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### Check Your Progress

9. What are the nine leadership styles as per Bush?
10. State the main stress of the subjective model of educational management.
11. 'Practices such as reflective journaling, meditation, reading, self-examinations' come under which type of leadership?
12. What is operational democracy?

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## 1.8 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

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1. Determination of the objectives of an enterprise tests the collective wisdom and sense of imagination of its management.
2. There are seven Ms in business: men, materials, money, machines, methods, markets and management. Management stands at the top of all these Ms.
3. Administration is a top-level function while management is a bottom level function. The fundamental point of distinction between these two aspects is that the former is the process of formulating policies and goals of the organization while latter directs and guides the operational or functional aspects of the organization towards achieving the objectives set by the former.
4. Both scientific management, which is the scientific study of management principles and management science which is based upon sophisticated quantitative decision making models has common approach, that subjectivity and intuition should be replaced by objectivity and scientific methodology and rule-of-thumb, hunches, guess-work, and trial-and-error approach be replaced with exact knowledge and deductive decisions.
5. The function of organizing involves determining the activities that needs to be done in order to reach the company goals, assigning these activities to the proper personnel and delegating the necessary authority to carry out these activities in a coordinated and cohesive manner.
6. Management of institutes caters to aspects such as: material and human management, financial and cost benefit analysis, legal and ethical practices, identifying the presence of specific abilities of human resources and managing it, developing the value of individual worth and contributing to the system.
7. The main motto for operating effective administration in the school system is to provide adequate facilities to the students and to empower them with teaching-learning processes, make them well-acquainted with the content discussed in the class and give them orientation about their future perspectives.
8. All the educational and support inputs are the work of better administration. It also includes non-teaching support such as: admissions, providing library and other facilities, organizing NCC and various co-curricular activities, personality development campaign of students, faculty development programmes, academic and non-academic support to the staffs and supporting staffs.
9. Nine leadership styles as per Bush are managerial, participative, transformational, distributed, transactional, postmodern, emotional, contingency and moral.

10. Subjective Model of Educational Management mainly stresses the aims and perceptions of individual members in the organization rather than subgroups, units or the whole organization and thus the concept of organizational objectives is rejected based on this perspective.
11. Practices such as reflective journaling, meditation, reading, self-examinations come under the Spirituality and Ethical Leadership.
12. Operational Democracy: This principle of educational administration gives priority on the practical aspect of democracy as a way of life and form of governance.

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### 1.9 SUMMARY

- Management in some form or another is an integral part of living and is essential wherever human efforts are to be undertaken to achieve desired objectives. The basic ingredients of management are always at play whether we manage our lives or our business.
- The various aspects of the nature of management are that management is a universal process, management is a factor of production, management is goal oriented, etc.
- Scope of management includes the subject-matter of management and functional areas of management such as financial management, personnel management, purchasing management, etc.
- Management is an essential component of all social organizations and is to be found everywhere as a distinct, separate and dominant activity.
- The terms 'management' and 'administration' are often used synonymously.
- Administration may be defined as 'the guidance, leadership and control of the efforts of a group of individuals towards some common goals'.
- The various management levels found in any organization are top-level management, middle-level management, first-level management and individual contributors.
- It has been propounded that just like leaders, the managers are also born and not made. It is an inherent trait and it cannot be learned through formal training or knowledge of certain techniques. It is similar to being a painter or a poet.
- Both scientific management, which is the scientific study of management principles and management science which is based upon sophisticated quantitative decision making models has common approach, that subjectivity and intuition should be replaced by objectivity and scientific methodology

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and rule-of-thumb, hunches, guess-work, and trial-and-error approach be replaced with exact knowledge and deductive decisions.

- The basic element in the definition of management is the ‘specialized knowledge’, acquired by education. You cannot become a doctor without this education. Same thing goes for an engineer or an accountant. Is the manager required to obtain this education? Is the management knowledge a ‘specialized knowledge’?
- On the contrary, there have been many cases in which successful managers and successful entrepreneurs never went to college and sometimes not even to high school. Then how do we reconcile this background with the knowledge and education necessary for a profession.
- There are basically five primary functions of management. These are:
  - o Planning
  - o Organizing
  - o Staffing
  - o Directing
  - o Controlling
- If we compare educational management, administration and organization, we find that educational management is a broader term, in comparison to educational administration and organization. The word management is being used as a complete whole, which means that all aspects of maintaining and administering the system and developing a well-equipped organization fall under the purview of the management of the system.
- Any educational organization that functions does not necessarily mean that it is successful. It may experience the opposite, many a time, if the very principles have not been practiced by management. The ways the institute functions and carries on its works determine the principles and values and it reflects in its practice.
- Bush (2011, p.34-35) based on four elements including the level of agreement about objectives, the concept of structure, the level of environmental influences and the most appropriate strategies within the educational organizations has categorized the models of educational management into six clusters which are formal, collegial, political, subjective, ambiguity and cultural models and finally has linked these six models with nine different leadership styles in the context of educational organizations.
- Various principles of education administration include: (i) Structural Democracy, (ii) Operational Democracy (iii) Justice (iv) Equality of Opportunity (v) Prudence (vi) Adaptability, Flexibility and Stability.



## 1.10 KEY WORDS

- **Management:** It is a problem-solving process of effectively achieving organizational objectives through the efficient use of scarce resources in a changing environment
- **Administration:** It is defined as a function of an organization that is concerned with policy determination, co-ordination of finances, production, distribution and control of the executives required for establishing an organization.
- **Educational management:** It is the operation of management functions in educational institutes.

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## 1.11 SELF ASSESSMENT QUESTIONS AND EXERCISES

### Short Answer Questions

1. What are the integral elements in the definition of the term 'management'?
2. List the objectives and scope of management.
3. Write a short note on the importance and need of management.
4. What are the functions of management?
5. Briefly explain the administrative works undertaken as a part of organizing in educational management.

### Long Answer Questions

1. Discuss the characteristics of management.
2. Describe management as an art, science or profession.
3. Differentiate education administration and education management.
4. Examine the basic principles of educational management.
5. Assess the six models of educational management as per Bush.
6. What are the different theories of educational administration? Discuss.
7. Examine the principles of education administration.

## 1.12 FURTHER READINGS

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## UNIT 2 EDUCATION PLANNING

### Structure

- 2.0 Introduction
- 2.1 Objectives
- 2.2 Educational Planning: Meaning and Rationale
- 2.3 Types of Education Plans
  - 2.3.1 Perspective vs Institutional Planning
- 2.4 Approaches to Education Planning
- 2.5 Education Planning Process and its Steps
- 2.6 MBO in Education
- 2.7 Decision-Making
  - 2.7.1 Types
  - 2.7.2 Decision-Making Process
- 2.8 Answers to Check Your Progress Questions
- 2.9 Summary
- 2.10 Key Words
- 2.11 Self Assessment Questions and Exercises
- 2.12 Further Readings

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### 2.0 INTRODUCTION

Education is a major concern in today's world. Since the 1950s, there has emerged an era of intense global economic activity. The new nations were faced with the challenges of nation building and economic reconstruction. All major world powers held that national reconstruction was only possible by achieving high levels of economic growth. As the investment in education seemed to be in transit, it formulated the concept of 'educational planning.' Educational planning involves the balancing of resources (both physical and human) available to the education sector with the educational needs in such ways that they facilitate the realization of educational goals set by the society or nation. Educational planning became necessary primarily due to scarcity of resources, both physical and human. Before 1950, the term was scarcely known in most parts of the world. However, its popularity has soared greatly since then. Many pertinent questions about educational planning are being raised at different platforms and across all the sections of society. Educational planning is related to the future of education as it learns from past experiences. It is the springboard for future decisions and actions but is far more than a mere blueprint. In this unit, we will discuss meaning, rationale and types of educational planning along with the steps in the educational planning process and the concept of MBO and decision-making in education.

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**2.1 OBJECTIVES**

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After going through this unit, you will be able to:

- Explain the meaning and rationale of educational planning
- Describe the types of education plans
- Discuss the approaches to education planning
- Explain the education planning process and its steps
- Examine MBO in education
- Discuss the types and process of decision-making

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**2.2 EDUCATIONAL PLANNING: MEANING AND RATIONALE**

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According to Marx and Musaazi, planning is ‘a rational process of preparing a set of decisions for future actions directed at achieving goals and objectives by optional means.’ We can decipher planning as a futuristic, goal-oriented activity from this definition. Planning requires there to be specific goals and objectives as it cannot take place in a vacuum. The process of planning is not only concerned with objectives; it is concerned with the means of achieving these objectives as well. Thus, we can say that planning is concerned with the implementation of these objectives. According to Ovwigho (1991), ‘planning is a process that involves the selection of facts and assumptions that are related to the future with the aim of visualizing and formulating the desired outcomes to be attained.’ Planning may seem to be simple to understand; however educational planning is still a mystery to many. Further, the modern conception of educational planning has attracted specialists from many disciplines. Each of them tends to see planning rather differently. Given below are some of the most popular and accepted definitions of educational planning.

Anderson and Bowman (1967) defined educational planning as ‘the process of preparing a set of decisions for future action pertaining to education’.

Williams (1971) defined educational planning simply as ‘Planning in education, as in anything else consist essentially of deciding, in advance, what you want, to do and how you are going to do it’.

Bernardo M. Reyes (1974) – ‘Educational planning is an instrument for providing the needed coordination and direction of the different components of an educational system and ensures that widely accepted long-term goals, such as universal primary education, are approached more objectively. It provides realistic appraisals of the country’s resources (material, human, and institutional) which is an important factor I the successful implementation of the plan.’

Coombs in a UNESCO Publication titled ‘What is Educational Planning?’, says that ‘Educational Planning, in its broadest generic sense, is the application of rational systematic analysis to the process of educational development with the aim of making education more effective and efficient in responding to the needs and goals of its students and society.’

UNESCO – ‘Educational Planning is the application to education itself of a rational, scientific approach to examining one’s alternatives, choosing wisely among them, then proceeding systematically to implement the choices thus made.’

Seen from the UNESCO point of view, the concept of educational planning involves a succession of interdependent actions, namely:

- (i) Clarification of educational objectives
- (ii) Diagnosis of present conditions and recent trends
- (iii) Assessment of alternatives
- (iv) Translation of plans into action
- (v) Evaluation and adjustment

Webster International Dictionary (1981) defines planning as an act or process or making or carrying out of plans. The process of planning witnesses the visualization of future needs and sorting out the specific equipment to achieve desired goals. In simple terms, educational planning can be defined as applying systematic analysis with logical reasoning to educational development in order to make education more effective and efficient in terms of the needs and goals of students in tandem with society. Educational planning involves a consideration of unforeseen obstacles simultaneously making provision for possible ways of overcoming them. This implies that educational planning calls for a constant evaluation and modification until the anticipated goals are achieved. Generally, educational planning focuses on the needs, aspirations and prospects of the students and the society. Specifically, educational planning focuses the mind of educational planner or administrator on major issues pertaining to human, material and financial resources of the educational system.

Overall, the educational planning is a set of related activities, which sets specific goals of educational development for a certain period of time that is limited. These activities take place during the planning process for the overall development within the framework of the possibilities identified, by financial resources, and economic, human, and through a set of constraints.

## 2.3 TYPES OF EDUCATION PLANS

Planning is the formal process of making decisions for the future of individuals and organizations. Planning involves dealing on aims and objectives, selecting to correct strategies and program to achieve the aims, determining and allocating the resources required and ensuring that plans are communicated to all concerned. Plans are

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statement of things to be done and the sequence and timing in which they should be done in order to achieve a given end.

Every plan begins by ensuring that the basic needs of every child are met at home, school and in the community. If these needs are met, a student will be in the 'just right' place to learn throughout every phase of formal education. The plan should connect learning to life-long education. This type of education enables kids to solve all kinds of life challenges to create inspired futures for themselves and others. Only if the kids are placed at the center of an education strategy can we build this type of education system. Their relationships with family, teachers, other kids, their community, higher education and the future all need to be nurtured in realistic yet ambitious way.

**Planning to Plan**

Have you ever heard the saying 'Those who fail to plan, plan to fail'? The first and foremost need of any facet of life is 'to plan'.

There are three main types of plans include:

- Operational
- Tactical and
- Strategic

The synergistic relationship of above-mentioned types of plans prove to be a stepping stone in the achievement of organizational goals. Operational plans are necessary to attain tactical plans and tactical plans lead to the achievement of strategic plans.

**Strategic Plans**

Strategic plans are designed with the entire organization in mind and begin with an organization's mission. Top-level organizers of the institution will design and execute strategic plans to paint a picture of the desired future and long-term goals of the organization. Essentially, strategic plans look ahead to where the organization wants to be in three, five, even ten years. Strategic plans, provided by top-level managers, serve as the framework for lower-level planning.

**Tactical Plans**

Now that you have a general idea for how organizational planning evolves, let's look at the next level of planning, known as tactical planning. Tactical plans support strategic plans by translating them into specific plans relevant to a distinct area of the organization. Tactical plans are concerned with the responsibility and functionality of lower-level departments to fulfil their obligations of the strategic plan.

**Operational Plans**

Operational plans sit at the bottom of the totem pole; they are plans which are made by frontline, or low-level managers. All operational plans are focused on the

specific procedures and processes that occur within the lowest levels of the organization. Managers must plan the routine tasks of the department using a high level of detail.

Operational plans can be either single-use or ongoing plans. Single-use plans are those plans that are intended to be used only once. They include activities that would not be repeated and often have an expiration.

### Types of Planning

**Macro Planning:** Macro planning deals with broad entities having such large magnitude, aggregates, and averages as national income, per capita income, national expenditure on consumption and income; balance of trade and balance of payment, national population, total enrolment, enrolment ratios, age structure etc. Thus, macro-planning deals with broad plans not taking note of breakdowns between skills or scheme implementation at grass root level.

**Micro-Planning:** Micro-planning in education starts from grass root level. For instance, the head of an institution has to plan how best he/she should bring all the children to school in his/her area. Here planning at the village level has to be done. How best individual schools can bring and retain all the children in schools; how schools in individual habitations can be provided; and whether eligible students are getting their scholarships on time.

**Decentralized Planning:** Decentralization implies distribution of administrative powers and functions among local constituents. Decentralized planning means to confer the authority of planning for the local development. The 73rd and 74th constitutional amendments have placed the primary education under the control of Panchayati Raj Institutions. Under the decentralized planning model, all local units prepare their plans after due consultations with their people and analysis of the strengths and weaknesses of the planning area. These local level plans are then coordinated and summated to make the district plan by taking into account the availability of the physical and financial resources. Apart from this, in India the Government have also delegated financial and administrative powers to the heads of educational institutions to which budget is also allocated for being spent by them according to their requirements. Such financial delegations are available in the general Financial Rules. The administrative powers are delegated according to the provisions contained in the state Education Code of each state. Many times, decentralization is viewed as something opposite to centralization. In the socialist countries, the concept of centralized planning was practiced as the central authority did all planning. These plans were then passed on to the grassroots for implementation.

**Rolling Plan:** A long-term plan that is revised regularly and each revision is projected forward again for the same period as the original plan. Thus, a three-year rolling plan might be revised each year so that at the end of year one the plan is revised, and fresh projections made to the end of the year four.

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**Contingency Planning:** A planning technique, which determines actions to be taken by individuals and groups at specific places and times if abnormal threats or opportunities arise.

**Manpower Planning:** A generic term for those techniques used to arrive at a specification of any aspect of future manpower requirement, deployment or development needs. Manpower planning has been an important feature of centralized planning in socialist countries. The Government of India has established a specialized institute to undertake manpower planning exercises in the Indian context.

**Process Planning:** Determining how the product or part should be manufactured by referring to the component and assembly drawings and drafting an operation sequence for each component; deciding the machines or hand tools to be used; drawing up the manufacturing layout for each component and sub-assembly, the departments and type of labour to perform the operations and specifying the tools, fixtures and gauges to be used. In the education sector, this refers to the manner in which educational objectives are to be achieved from the syllabus formulation till result improvements.

**Indicative Planning:** Indicative Planning is planning by agreement and indication of desirable targets rather than by compulsion or decree. It is also known as Participative Planning.

### 2.3.1 Perspective vs Institutional Planning

Educational planning implies taking of decisions for further actions with a view to achieving predetermined goals and objectives through the best possible use of limited resources. Perspective planning and institutional planning is a part of educational planning. Perspective planning is a planning for next fifteen years or so, keeping in mind the present as well as incoming scenario of overall development and changes in all the concerned areas. Institutional planning is restricted to a specific institution and its working keeping in mind the goals of that particular institution. It is a planning at the grassroots level. It ensures better and more productive use of the resources which the institution may have. It is the institution that knows best about its needs, requirements and problems that have to be solved. Thus, it is institutional planning that can best plan for the welfare and development of an institute.

A perspective plan entails a manuscript that is supported by illustration which contains general programmes, developmental policies as well as strategies formulated by the authority. Since this perspective plan is for a long period, its primary function is offering a policy framework for further instructions. It facilitates the authority to formulate a future developmental plan. This plan is prepared keeping in mind the idea of best possible allocation of potential and reachable resources in order to enhance the individual standard of living, which further enhances the country's development. Optimum allocation along with effective and efficient utilization of resources can be met only by the adequate and appropriate provision



of infrastructural facilities. Hence, the whole exercise for the preparation of a perspective plan mainly concentrates on formulating long-term strategies which helps to allocate the resources in the best possible way and provide ample and appropriate infrastructure essential for this envisaged development. These long-term strategies make an effort to systematically include all the physical, social, economic and institutional dimensions. The objective of any perspective plan is to guide in the direction of success to lead a human life of improved quality. This planning initiative will endeavour to offer a sustainable and effective framework for appropriate policies formulation, decision-making, strategies and priorities for proper planning of resources to achieve the desired objective.

The preparation of the perspective plan in many ways reflects the increasing confidence of the country in its future. The plan is more than just a projection into the remote future; it is, in fact, a realistic promotable statement of the goals to be achieved. It gives a sense of direction to the current socio-economic policies. A perspective plan establishes targets of substantial improvement to be brought about in living standards of the human beings of nation by mobilizing the resources and energies. But it is also important to note that from time to time, there should be revaluation and reassessment of the priorities attached with the various objectives of the perspective plan; preferences may change as social changes are brought about over a long period of time. Even when the long-term objectives remain unchanged, it may become necessary to change some of the basic assumptions of the long-term model as more experience is accumulated in the process of growth.

Moreover, since all future projections are uncertain and conditions can change quite rapidly, it is clear that a perspective plan can never be a document which retains its value for longer than five years at most. It will be necessary, therefore, to present a revised perspective plan with each five year plan.

### **Objectives of Perspective Planning**

As the national objectives forms the basis of educational objectives or goals. The perspective planning in education involves a planning for which the first step is to frame the educational objectives. On the basis of different futuristic scenarios long-term perspective plans should be prepared for educational development at various levels such as district, state and national levels. These plans form a background and facilitate a foundation for short-term and mid-term plans. The educational objectives of the Perspective Plan have actually not only the view that improvement in education system is a benefit to the whole society but are also preferred for their economical impact.

The resource materials whether human and financial are available and could be availed for an extended period of time for the achievement of the desired objectives throughout perspective planning. During the tenure of perspective plan the efforts should be made to raise the resources. If, due to various constraints the efforts fall short to move up the desirable resources, the objectives should be reformulated.

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The objectives of educational plans, which were incorporated in national development plans, of developing countries mainly focused on managing the growth and development of educational systems.

The prime objective of educational planning is that it served as a foundation for setting objectives, goals and priorities, implementing educational policies, and maximizing the use of limited resources.

The significant impacts of educational planning in developing countries as enumerated by Singh (1990) are as follows:

- (a) The growth and development of educational systems;
- (b) Development of educational administration and the setting up of planning organizations within the educational system; and
- (c) Enhanced perception on the problem of efficiency in the educational system.

### **Institutional Planning**

To improve the quality of education from its very base the Ministry of Education in its Fifth Five Year Plan gave special attention to institutional planning. Dr. V. K. Rao had also emphasized the importance of institutional planning for qualitative improvement of school. He remarked, 'Each institution will have to learn to plan its development on its own individual lines within the broad framework of national policy on education'. At the national seminar on institutional planning held at Bhopal in November 1968 Prof. M.B. Buch, while defining institutional planning, remarked that 'A programme of development and improvement prepared by an educational institution on the basis of its felt needs and the resources available or likely to be available with a view to improving the school programmes and school practices, constitutes a plan for an institution. It is based on the principle of optimum utilization of the resources available in the school and the community. The plan may be for a longer duration or a shorter duration'.

The planning undertaken by an institution with regards to its aims, objectives, ideals, values and existing or possible resources for executing its day to day functions effectively and moving towards the pathway of success, improvement and development is known as Institutional Planning. Institutional Planning deals with preparation of plan or programme of action at the institutional level and to enable the institution to accomplish their goals by mobilizing, channelizing and utilising resources to the optimum level and in the desired direction. It aims at improving an institution's standards and practices so that the institution can achieve its goals and the best results that it is capable of attaining. A comprehensive wide spread and long-term outlook of the education which is based on an apparent assessment and understanding of existing activities has been allowed by institutional planning. This point of view is helpful for leadership, both at the level of institutions and at each individual level of units, who make decisions to allocate resources in such a way by which the desired goals could be met at their best.

## Need and Importance of Institutional Planning

Education Planning

The importance of institutional planning is emphasized by the Education Commission in the following words; 'No comprehensive programme of educational development can ever be put across unless it involves every educational institution and all the factors connected with it, its teachers, students and the local community and unless it provides the necessary inducements to make their best efforts.' The importance of institutional planning is as follows:

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- 1. For Improvement of Institution:** All institutions have some plans of their own. All teachers make plan and each heads of institutions also make plans. In fact, each headmaster and teacher does plan but this planning may not be systematic enough and clear in terms of attainment of objectives. Planning may mostly be a routine planning of the lesson or content to be taught, curriculum, time table examination and process of evaluation etc. but it may be repeated from session to session without much thinking and may not exist in a definite or standard form.
- 2. To Give Direction to Educational Objectives:** Institutional planning gives right direction to the educational planning of the country, i.e., the upward direction from bottom to top. But the normal trend followed today for the direction of planning is from top authorities to bottom employs. Institutional planning helps in the identification of the roles of various concerned personals such as, administrators, teachers, parents, students, educationists and social reformers in the process of planning of education of the country.
- 3. For Maximum Utilization of Resources:** As a nation we face a great shortage of resources with increasing needs and demands from every quarter. Institutional planning leads to optimum use of the existing resources. Thus, we must plan for maximum utilization of scarce resource.
- 4. For National Development:** Educational planning must fit into the overall national planning for developmental purposes. So it gets importance from the need for collective efforts of the people. B.D. Nag Chaudhari states, 'Since the implementation of plans and programmes is as important and vital as plan formulation. Institutional planning has a special contribution to make in national development.'
- 5. To Encourage Initiative of Individual Teacher:** Institutional plan encourages teacher to take initiative with freedom and this innovation and creativity of the teacher makes the individual teacher effective. It motivates the teachers to make every effort at their best for achievement of excellence. It draws out the best of the teachers.
- 6. Democratic Approach to Planning:** Institutional planning democratizes the process of planning because it takes into confidence all the members of educational fraternity, i.e., the Principals, the head of the institution, the teachers, the students, the parents and the administrators. Sh. J. P. Naik says, 'A major reform, I propose, therefore is that the planning that resembles

an inverted pyramid should be broad-based and decentralized by introducing the system of institutional plans.' A fine blend of the centralized and decentralized systems of educational planning in our country has been strongly recommended by him.

## NOTES

### Objectives of Institutional Planning

The institutional planning should be based on certain predetermined objectives. All activities planned should help directly or indirectly to achieve these ends. The general objectives of institutional planning are to provide periodic analysis and obtained information to support the process of decision-making, planning, formulation of policies and other administrative and educational processes of the concerned institution. Depending upon the situations and conditions and needs of the school, the objectives formulated may be for short term and/or long term. Sh. J.P. Naik, Education Advisor, Government of India, has listed the following four objectives of institutional planning:

- Giving freedom to the teacher.
- Making the good teacher effective.
- Involving every teacher in the formulation and implementation of plans.
- Emphasizing what can be done here and now by mobilizing our existing resources.

### Check Your Progress

1. Mention the interdependence actions involved in educational planning as per the UNESCO.
2. Name the type of plan which supports strategic plans by translating them into specific plans relevant to a distinct area of the organization.
3. List the general objectives of institutional planning.

## 2.4 APPROACHES TO EDUCATION PLANNING

Resources in the best of environments can be adequate but rarely surplus. And when it comes to a nation like India, resources are limited when compared to the demographic needs. Educational planning comes handy in such settings because it is concerned with the problems of how to make the best use of limited resources allocated to education in view of the priorities given to different stages of education or different sector of education and the need of the economy. According to Adesina (1982), there are three rival approaches to educational planning. The three rival approaches are:

- The social demand approach
- The manpower requirement approach
- The cost benefit analysis

However, there are other approaches which have been proposed later by eminent people in this field, which have been discussed in brief, later in this section. At the outset, it is made clear here that none of this approach is suitable for all situations. Depending on circumstances and needs, the approach would find its applicability.

### **The Social Demand Approach**

Education is regarded as a consumer good that should be available to all, as rapidly as possible. Thus, this approach depends upon the number of students getting in to the particular stream of education or the aspiration of parents for the type of education for their children. This involves a calculation to determine the situation, in terms of costs, supply of teachers, plant and resources and output of the outgoing student at the end of a specified planning period, if the existing school provision remains more or less as it is. Further, it also includes a calculation of what the situation would be and what would be required if various kinds of social demands were acceded to (Thompson 1981). The calculations provide a baseline for projecting desirable changes in the system, notably the scale. In other words, when the planners, at the time of educational planning, take in to account the social demands for short or long term goals, it is considered as a social demand approach of educational planning. This approach is usually favoured by politicians and educationists. When following this approach, the educational planners cannot afford to give due respect to the aggregate popular demand for education while drawing up educational plans because the popular demand must receive the top priority in the allocation of scarce sources. However, there can be situations when the social demands are unrealistic. In this case, if the planners satisfy the social demands, that may lead to poor quality and wastage of public resources.

### **Advantages of the Social Demand Approach**

- It is a suitable supporting political tool to meet the need to satisfy the demands of the general public.
- The approach provides the planners with most appropriate number of places where educational facilities have to be provided.
- This kind of planning techniques are most suitable where resources are acutely limited, and such kinds and quantities of education are planned which will offer the greatest good to the greatest number.

### **Limitations of the Approach**

- The approach, in no way, has a command over factors like price of education.
- The approach has no power to manage the absorption of trained personnel in the economy.
- The approach is poor in the sense that it does not in any way lay claim to whether the resources expended are economically prearranged.

## **NOTES**

- The approach does not provide any kind of guidance as to how best to meet the identified needs.

## NOTES

### The Manpower Approach or Human Resource Development Approach

The manpower approach deals with human resource development. Thus, the focus is on forecasting the manpower needs of the economy of a particular country, or at global level, depending on the context. This approach assumes that manpower is variable and may be modified with technical, economic and social development of the society. Manpower is the most active and forceful function of any educational system. In other words, this approach is based on the conception that the education system is primarily called upon to supply the economic system with qualified personnel, required at all levels. Thereby, this approach focuses on making education more vocal and other ideas like multiple educational course and skill-based education, which leads to the satisfaction of manpower needs of the country. Based on manpower needs of the country, this approach calculates the kinds and levels of education necessary to meet these requirements.

### Advantages of the Manpower Approach

- The manpower planning approach assumes that education has a place in the economy of the country and positively contributes to the nation's growth, thus emphasizing the importance of education.
- The manpower approach does not need sophisticated statistical studies and can easily point out extreme gaps and disparities in education output pattern that need necessary antidotes.
- Since the approach focuses on manpower needs of a country, it effectively guides educators and policy makers on how roughly educational qualifications of the labour force ought to be developed in the future.

### Limitations of the Approach

- Manpower approach may overemphasize the notion of unemployment and underemployment, which may become a challenge to move towards the right kind of education. This, in turn, may be development-oriented and thereby create its job.
- Educational planners, in this approach get limited guidance in the sense that it does not clearly indicate what can be actually achieved at every level of education, e.g., primary, secondary, etc.
- Since primary education, the first step of education is not considered to be work-connected; manpower approach suggests the curbing of the expansion of primary education, until the nation is rich enough to expand it. This is not a healthy sign for any country because it is primary education which lays the foundation of a developing nation.

- This approach gives a biased view of manpower needs, which are mostly focused on the urban settings. Thus, the planner may not give due attention to the educational requirements of semi-skilled and unskilled workers in the cities and the vast majority of workers that live in rural areas.
- It is nearly impossible to make a fairly reliable forecast of manpower requirements, far ahead of time because of many economic, technological and other uncertainties which are involved, especially in a rapidly changing world.

## NOTES

### Rate of Return Approach

This is also known as Cost-Benefit Analysis or Cost Effectiveness Approach. Rate of Return Approach or Cost Benefit Approach stresses, 'investment in education should be based on the returns that are expected from that investment'. In words of Adesina (1981), the Cost-Benefit Approach looks at each level of education as investment in human beings with the purpose that the returns will help to improve the whole economy. This approach is favoured by a group of economists. Maureen Macdhall, an economist, defines Cost-Benefit Analysis as a systematic comparison of the magnitude of the costs and benefits of some form of investment (in case of education it is investment in human capital). Cost benefit analysis provides a means of appraising future benefits in the light of the costs that must be incurred in the present. The proponent of this approach assumes that the expenditure of education be thought of as a form of national investment or input that would come back or return in the form of higher productivity and greater earnings of the educated ones. Thus, education is related to economic development. The approach takes a middle approach, where planning emphasizes that changes in the educational system should be so that both, individual citizens and the nation are benefited by the education of the people of the country.

### Advantages of Rate of Return Approach

- It is possible to measure or quantify the increase in productivity of an educated person, using this approach, by looking at the age earnings structure of the educated person.
- It shows the connection between the cost of gaining more education and the increase in imbursement, which results from additional education.
- The analysis can show or propose directions in which the education system of a society should expand, so as to maximize the earning competence of its citizens.

### Limitations of Rate of Return Approach

- At times, 'salaries reflect productivity', may be a wrong assumption.
- It is difficult to measure the benefits, which derive from investing in any type of education.

**NOTES**

- In developing countries, differentials in the earnings of workers cannot be attributed to the acquired additional education, but to other things such as habits, customs, family background, primordial factor, etc.
- There are studies that show that primary education gives the highest return to society, on the basis of calculation of the social rates of return for all levels of education. However, this approach does not agree to the same.
- There are certain complexities in this type of planning as it requires working out of the amounts of educational investments and measurements of return in the form of benefits to individuals as well as to the society, which is very difficult.

**Intra-Educational Extrapolation Approach**

This approach consists of estimating the quantitative implications for the system as a whole. It means setting targets for one particular characteristic, or feature, or aspect of the educational system. Thus, if the target was to achieve universal primary education up to a certain grade level by a certain year, the education planners would 'extrapolate' from the datum, ways in which the supply of teachers, construction of new buildings, production of new textbooks and ensure that the target will be reached. This kind of analysis requires flow statistics of various kinds, as an important tool. For example, the Indian Constitution gives free and compulsory education to children between 6-14 years of age. To realize this amendment in a time bound manner, i.e., for achievement of Universalization of Elementary Education (UEE), the Sarv Shiksha Abhiyan was launched. Through this programme, the government seeks to open new schools in areas that do not have schooling facilities and strengthen existing school infrastructure through provision of additional class rooms, toilets, drinking water, maintenance grant and school improvement grants. The educational planners extrapolated ways in which these basic educational infrastructure and facilities have to be provided to achieve that target.

**Demographic Projection Model**

Even the most limited intra-educational projection is dependent on some rough indication of size and age composition of a given population, at a future point in time. However, the estimation of demographic developments has become a source of the planning criteria in its own right. Demographic projection models describe the development of population, over a time period, in terms of events. The projection process includes development, production and distribution. Thus, in every approach of planning, the demographic projection is used, as this provides essential information about the population, for which planning is to be done. They provide the most basic parameters for estimating the population that a future educational system is to serve. The estimation of size of the age cohort to be served by a certain level of the educational system, as a specific future point in time, serves as criteria for educational planning. In most societies, the size of age cohort is rather reliably known at least five or six years before it enters the first year of formal



schooling and many more years before secondary and tertiary institutions are attended. The major sources of errors in this approach to educational planning have to do with points in the educational system, where members of an age group can and do make choices between different educational options (e.g., between more vocational or more academic form of schooling).

### **Social Justice Approach**

This approach is also known as social planning or planning for social development. It holds that the education system of a country shapes its social or national goals. The national policies and constitution of a nation broadly describes these goals and social development. Many of the goals thus set, are largely dependent on education. Hence, it becomes essential that educational system should contribute to the achievement of these goals. Hence, educational planning inevitably takes these expected goals of social development into consideration, to be achieved through education. To achieve the goal of social development, social justice has to be achieved first. Making provision for achieving this goal would amount the social justice approach of educational planning. Social justice means providing facilities and equal opportunities for development to all people of a country. For example, Article 45 of the Indian constitution urges the State to provide for free and compulsory education to all children up to the age of fourteen. In the same purview, special provisions for the education of children from economically and socially backward communities would be an attempt to provide justice to this section of the society. The adoption of the Social Justice Approach is evidenced by making such considerations at the time of educational planning.

### **Factors Affecting Educational Planning and Administration**

Major factors that affect educational planning and administration are:

- Excessive population
- Development of science and technology
- Social and cultural factors
- Religious and social ideals
- Education recognition
- Social divisions
- National mindset
- Traditions and custom
- Social mobility
- Aspects related to politics

It is important to seriously consider the factors that affect educational planning and administration. Irrespective of whether these factors are good or bad, they play an important role in planning and policy-making.

## **NOTES**

## 2.5 EDUCATION PLANNING PROCESS AND ITS STEPS

### NOTES

Educational planning process refers to the steps or stages through which the administrators or managers arrive at an educational plan. Different researchers have suggested different steps for the planning process. The general gist of the steps involved in educational planning are:

- Diagnosis of the current/present educational situation
- Setting targets or objectives
- Predetermining intervention strategies and activities
- Calculating the logistics including costing and budget preparation
- Setting an implementation and monitoring mechanism
- And lastly negotiations, appraisal and approval

You have previously learnt about the concept of perspective and institutional planning. Let's bring the latter into focus here to understand the steps involved in the educational planning process.

### Procedure and Techniques of Institutional Planning

- Analysis of the present situation according to the needs of the institution
- Survey of the existing resources
- Preparation for the improvement of school programme
- Implementation
- Evaluation

#### 1. Analysis

Analysis of the Institution's present situation in terms of current and future needs is carried out. This analysis involves:

- School building in terms of space
- Basic infrastructure and furniture whether adequate or not
- Laboratory and library equipment
- Programmes which require change
- Requirement of teachers and office staff
- Additional infrastructure like hostel, staff quarters, school bus, cafeteria and play-grounds.
- Examination system and process of evaluation
- Admission procedures
- Recognition of such areas which needs to be improvised, but can be done without supplementary resources is also analysed

## 2. Survey

Based on the results of carried analysis, a survey of the existing resources as well those expected to be available in the future is to be carried out. The survey must include statistical data, facts and figures specifically regarding to the following points;

- Process of enrolment of students
- Appointment of teachers and other staff
- Equipments available and required in laboratories
- Books present in libraries and needed in future
- Process of evaluation and assessment of students

The resources to be surveyed fall under the following categories:

- (a) Resources available in the school, like building, library and laboratory
- (b) Resources available in the community like public library, parks and play grounds, hospitals, banks, factories and workshops
- (c) Resources that could be easily available through the School Education Board and Government bodies

## 3. Improvement

A list of improvement programmes should be prepared by each and every institution, along with particulars of each programme. The programmes can be short-term or long-term in nature. Each programme of improvement must be specific in terms of the following:

- Objectives of the program must be formulated and stated in clear terms
- Usefulness of the program for the institution
- Economical implications of the programme
- Each programme should be clearly outlined in terms of tasks
- Each task must be specified in terms of:
  - (a) Resources required in completing the task
  - (b) Stipulated time period for each task
  - (c) Expected outcome from the task

## 4. Implementation

Improvement programmes should be implemented according to the given guidelines;

- Available material and human resources should be utilized
- There should be cooperation among all staff members
- The Principal should be the overall in-charge of the improvement program and different staff members should be given charge for specific projects
- The tasks should be properly divided among all members who are involved in a particular project

## NOTES

**NOTES**

- Committees may be appointed in order to ensure smooth execution of the programmes
- A time schedule should be prepared for every project, specifying amount of work to be finished in stipulated time

**5. Evaluation**

An improvement programme must be assessed qualitatively and quantitatively at the end of implementation, to evaluate the success of planning.

- The evaluation must check whether the pre-planned objectives have been fulfilled or not and to what extent
- From all stakeholders and beneficiaries of the programme necessary feedback must be obtained
- Financial status and cost should be measured in terms of the output achieved

**Check Your Progress**

4. Which approach of educational planning is usually favoured by politicians and educationists?
5. What do demographic projection models describe?
6. Which type of resources are surveyed in the institutional planning in education?

**2.6 MBO IN EDUCATION**

Management by Objectives (MBO) was first outlined by Peter Drucker in 1954 in his book *The Practice of Management*. MBO is a systematic and organized approach that allows management to focus on achievable goals and to attain the best possible results from available resources. It aims to increase performance by aligning goals and subordinate objectives throughout the organization. Ideally, employees get strong input to identify their objectives, time lines for completion, etc. MBO includes ongoing tracking and feedback in the process to reach objectives.

MBO is a personnel management technique where managers and employees work together to set, record and monitor goals for a specific period of time. Organizational goals and planning flow top-down through the organization and are translated into personal goals for organizational members. It helps in implementing goal-oriented management. It can be applied in various areas of organization such as performance appraisal, organizational development, long range planning, and integration of individual and organizational objectives and so on. Its appeal lies in its focus on employees working to accomplish goals they have had a hand in determining.

The main features of MBO are:

- Management by objectives is a philosophy or a system, and not merely technique.
- It emphasizes participative goal setting.
- It clearly defines each individual responsibility in terms of results.
- It focuses attention on what must be accomplished goals rather than on how it is to be accomplished.
- It converts objective needs into personal goals at every level in the organization.
- It establishes standards or yardsticks (goals) as operation guides and also as basis of performance evaluation.
- It is a system intentionally directed toward effective and efficient attainment of organizational and personal goals.

## NOTES

### Steps in MBO Process

Peter Drucker outlined the five-step process for MBO shown in figure below. Each stage has particular challenges that need to be addressed for the whole system to work effectively.

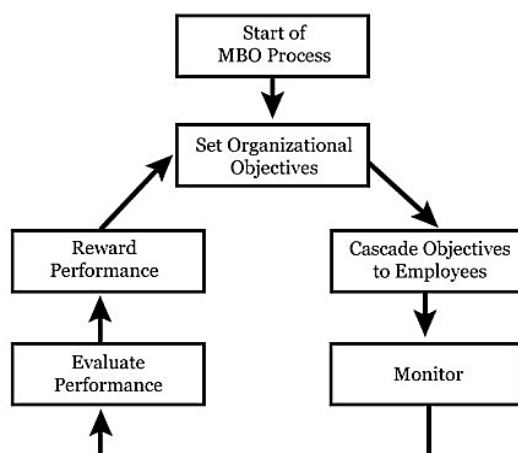


*Fig. 2.1 Five Step MBO Process*

These steps are explained below:

#### (i) Set or Review Organizational Objectives

MBO starts with clearly defined strategic organizational objectives. If the organization isn't clear where it's going, no one working there will be either.

#### (ii) Cascading Objectives Down to Employees

To support the mission, the organization needs to set clear goals and objectives, which then need to cascade down from one organizational level to the next until they reach to everyone.

**NOTES**

To make MBO goal and objective setting more effective, Drucker used the SMART acronym to set goals that were attainable and to which people felt accountable. He said that goals and objectives must be:

- Specific
- Measurable
- Agreed (relating to the participative management principle)
- Realistic
- Time related

For each objective, you need to establish clear targets and performance standards. It's by using these that you can monitor progress throughout the organization. These are also important for communicating results, and for evaluating the suitability of the goals that have been set.

**Encourage Participation in Goal Setting**

Everyone needs to understand how their personal goals fit with the objectives of the organization. This is best done when goals and objectives at each level are shared and discussed, so that everyone understands 'why' things are being done, and then sets their own goals to align with these.

This increases people's ownership of their objectives. Rather than blindly following orders, managers, supervisors, and employees in an MBO system know what needs to be done and thus don't need to be ordered around. By pushing decision-making and responsibility down through the organization, you motivate people to solve the problems they face intelligently and give them the information they need to adapt flexibly to changing circumstances.

Through a participative process, every person in the organization will set his or her own goals, which support the overall objectives of the team, which support the objectives of the department, which support the objectives of the business unit, and which support the objectives of the organization.

**(iii) Monitor Progress**

Because the goals and objectives are SMART, they are measurable. They don't measure themselves though, so you have to create a monitoring system that signals when things are off track. This monitoring system has to be timely enough so that issues can be dealt with before they threaten goal achievement. With the cascade effect, no goal is set in isolation, so not meeting targets in one area will affect targets everywhere.

Set up a specific plan for monitoring goal performance. Badly-implemented MBO tends to stress the goal setting without the goal monitoring. Here is where you take control of performance and demand accountability.

Think about all the goals you have set and didn't achieve. Having good intentions isn't enough; you need a clear path marked by accountability checkpoints. Each goal should have mini-goals and a method for keeping on top of each one.

**(iv) Evaluate Performance**

MBO is designed to improve performance at all levels of the organization. To ensure this happens, you need to put a comprehensive evaluation system in place.

As goals have been defined in a specific, measurable and time-based way, the evaluation aspect of MBO is relatively straightforward. Employees are evaluated on their performance with respect to goal achievement, allowing appropriately for changes in the environment. All that is left to do is to tie goal achievement to reward, and perhaps compensation and provide the appropriate feedback.

Employees should be given feedback on their own goals as well as the organization goals. Make sure you remember the participative principle: When you present organization-wide results you have another opportunity to link individual groups' performances to corporate performance. Ultimately this is what MBO is all about and why, when done right, it can spur organization-wide performance and productivity.

**(v) Reward Performance**

When you reward goal achievers you send a clear message to everyone that goal attainment is valued and that the MBO process is not just an exercise but an essential aspect of performance appraisal. The importance of fair and accurate assessment of performance highlights why setting measurable goals and clear performance indicators are essential to the MBO system.

**Repeat the Cycle**

Having gone through the five-stage process, the cycle begins again, with a review of the strategic, corporate goals in the light of performance and environmental monitoring.

At the planning level in education, MBO proves to be an effective and result-oriented approach for meeting the pre-determined efficiency levels. In the educational setting, the upper level of management would involve the National Planning committee, then the state planning heads, the district heads, and then the school heads. Each managerial level would be provided with a set of objectives which would be long and short term. Additionally, there specificity would increase with the level of decentralization in the command change. So, the national level plans would be broad, and the school level pass percentage would very specific. Based on the achievement of these objectives, evaluation, appraisal and changes would be brought it, with the clarity about where it is needed most.

**Check Your Progress**

7. Where was the term Management by Objectives first outlined?
8. What does the SMART acronym mean?

**NOTES**

## 2.7 DECISION-MAKING

### NOTES

Decision-making in simple words can be understood as the cognitive process of deciding on a course of action from among manifold alternatives. Every decision-making concludes in a final choice, which can be in the form of an action or an opinion. Therefore, decision-making is an interpretation, which can be rational or irrational, and can be based on explicit assumptions or tacit assumptions. There are different ways of looking at decision-making.

- **Newman and Sumner** (1961) say that ‘decision-making’ is a synonym of planning.
- **Dorsey** (1957) views the decision-making process as an extension of a series of interrelated communication events.
- **Simon** (1960) conceives of decision-making ‘as though it were synonymous with managing.’
- **Tarter and Hoy’s** (2010) describe decision-making as ‘rational, deliberative, purposeful action, beginning with the development of a decision strategy and moving through implementation and appraisal of results.’

The process of decision-making basically concludes with numerous choices or a sole decision that encourages certain actions. The decision-making process in organizations results in the creation of certain norms, rules and policies that guide the behaviour and attitude of the employees. There are various attributes of decision-making:

- It is related to the contentment and morale of employees
- It seeks to progress and grow
- It is effective within itself
- It has a competitive behaviour pattern with others as it looks for survival
- It tries to protect itself from internal destruction

The purpose of decision-making is to achieve desired objectives and avoid negative unintended consequences. The impact of decisions made will vary depending on the context in which it is being made. Effective administration requires intelligent decision-making. Decisions are intelligent when they are appropriate for accomplishing specific goals. School administrators need to have an understanding of the decision-making process because the school like all formal organizations is basically a decision-making structure.

### Decision-making in Educational Organizations

Decision-making is an important and real aspect of organizational life. Its importance in leadership is widely acknowledged. Simon (1987) sees decision-making as a fundamental element of organizational leadership. Following points would highlight the importance of decision-making in educational organizations:



- All members of organization need to define themselves, their roles and their expectations from each other. This becomes more important for complex settings like those of education because of more human element involvement in it. Decision-making is an important construct for achieving the role definition and role delineation.
- Decision-making is needed to achieve desired objectives and avoid negative inadvertent results. In essence, the power of decision-making gives us a feeling of being in control over what is happening around us and what we are supposed or required to undertake.
- People in organizations tend to ‘think and act in terms of decision-making.’ With clear role definitions and responsibilities, it becomes easier for the staff in the organization to perform their duties and work towards the efficient functioning of their organization.
- Decision-making is characterized as one of the eight key elements of educational leadership (Dimmock and Walker, 2002). Irrespective of the nature of the organization, whether it is a crèche, a primary school, a senior secondary school or college, decision-making forms the backbone of the educational leadership exhibited by the administrators.
- In the present scenario, the educational institutions are witnessing current challenges such as rapid technological change, globalization, hyper-competition, and various other social, cultural and economic developments. Hence, more effective ways of decision-making are viewed as essential. Barrett et al (2005) refer to ‘a paradigm shift in decision-making’ driven by the need to respond to such challenges advocating a greater need for creativity and collaboration in decision-making. In educational leadership now alternative forms of decision-making are promoted which may question the leader’s traditional established role as the ultimate or sole decision maker and perhaps make the leader more of a ‘ratifier’ of decisions arrived at in collaborative contexts (Law and Glover, 2000).

## NOTES

### 2.7.1 Types

Felix M. Lopez defines a ‘decision represents a judgement, a final resolution of a conflict of needs, means or goals; and a commitment to action made in the face of uncertainty and complexity.’ Decisions are often described and understood as conscious deliberate choices made by an individual at the end of a process conventionally assumed to be of a rational nature. However, this assumption of rationality and deliberation is not universal. In a hierarchical system there are variations in the nature of decisions to be made by people occupying different positions. Wider the ambit of impact of decision to be made, greater is the responsibility of decision makers. There are decisions regarding the goals and strategies to achieve the goals and decisions regarding implementing the programme

## NOTES

to achieve the goals. Then, there are decisions regarding the day-to-day activities of the organization. The different kinds of decision made in an organization are discussed here:

- **Strategic Decision:** The decisions which will have long-term impact on the organization, like decisions about which strategies are to be followed are known as strategic decisions. People occupying top positions in an organization will be involved in making such critical decisions.
- **Tactical Decisions:** As the name suggests, tactical decisions are concerned with decisions to be made during implementation. The middle level of management is responsible for making such decisions. These may be regarding the type of resources, their quality and quantity, providing incentive to employees, etc.
- **Operational Decisions:** The decisions which help in smooth operation of activities to be undertaken to achieve the strategies on day-to-day basis are known as operational decisions.
- **Programmed Vs Non-Programmed Decisions:** There are simple routine decisions when the decision maker is aware of both the solution and the outcome such as ordering text books, deciding on which reference books are to be used, what should be the annual raise of an employee, etc. These are termed as programmed decisions. They are made within the framework of organizational policies and rules. On the other hand, there are decisions which need to be made in type of situations where neither the solution nor the outcome is known. Such types of decisions are termed as non-programmed decisions. They are relevant for solving unique and unusual problems. For example, the measures taken by an institution in a disaster situation is a non-programmed decision. Cancelling the examination due to question-paper leakage, postponement of entrance test due to sudden flood and similar type of situations are examples of this type.

### 2.7.2 Decision-Making Process

Decision-making is a daily activity for any human being. There is no exception about that. When it comes to educational organizations, decision-making is a habit and a process as well. Decision-making processes involve a series of complex interactions of events. The making of decisions happen in complex and contingent social systems, ranges from routine administrative work to value-laden dilemmas, is subject to numerous and conflicting demands and is people intensive. Thus, there are number of interactions involved in the process of decision-making. Let us discuss these interactions and their various stages in detail.

**Stage 1: Careful analysis of the existing situation:** A good administrator assesses his environment to identify the problems and their possible solutions. He also has to evaluate his staff on a continuous basis. He needs to be aware regarding

the affairs of his school at all times. Therefore, he needs to have complete knowledge regarding teacher's activities, student's affairs and parents' views of the school. It is necessary that he has specific details regarding students' performance, availability of teaching aids, school discipline, teachers' performance, school catering services as well as school community relations. The administrator needs to be well-acquainted with the situation of the school in order to discover problems and make effective decisions.

**Stage 2: Recognize and define the problem:** The process of decision-making only starts when the problem has been identified. Efforts for solving problems can only be made when the problem has been identified. A good administrator is always on the lookout for actions in the organization that are not good for its healthy functioning. Thus, he needs to be alert at all times in order to identify potential problems and function accordingly to prevent future problems. Thus, it is crucial to identify and assess the problems for effective decision-making. The administrator needs to approach indiscipline with a clear understanding of the problem.

**Stage 3: Examine the detailed make-up of the problem in the existing situation:** In this stage, the problem needs to be classified by the administrator. He has to assess the nature of the problem, whether it is unusual or difficult by nature. Sometimes, the establishment forms a procedure to deal with some problems that can be found in use of the existing school regulations. The administrator has to have complete knowledge about the problem's jurisdiction. For example, if student is expelled from school, will the administrator accept the responsibility for the decision? If the decision does not come under the administrator's jurisdiction, it would be better to abstain from it.

**Stage 4: Decide on the criteria for resolving the problem:** After the process of problem description, analysis and specification is completed, decision-makers have to decide on an acceptable solution for that problem. There are a few questions asked regarding this acceptability of solution. On what factors or variables should the decision be based? What are the criteria for acceptability of the decision? Are the factors acceptable by the staff members? What minimum objectives should be achieved? Decision-makers or administrators are advised to rank their criteria with possible outcomes along a continuum, ranging from minimum to maximum satisfaction. The criteria used for judging decisions need to be in sync with the organizational goals, or in this case, school regulations.

**Stage 5: Develop a plan of action:** In this stage, identification of alternative problem tackling methods, evaluation of the cost and consequences of each alternative as well as the selection of the most appropriate solution. At this stage, the administrator must ask the following questions:

- What is the cost of each solution?
- What are the different options available?
- What is the most likely result?
- Which is the best alternative?

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The plan of action is developed by the administrator based on a simplified picture of reality, selecting the factors regarded by him as most crucial and appropriate.

**Stage 6: Initiate the plan of action:** This stage involves the implementation of the selected plan of action. The implementation of the selected programme, policy or decision, resource allocation and staff motivation are few steps carried out during this stage. A sound decision can fail if implemented poorly. Therefore, it is useful to consider the following suggestions for successful implementation:

- School administrators need to make sure that the alternative is clearly understood.
- School administrators need to encourage acceptance of the alternative as a necessary course of action.
- School administrators need to provide enough resources to make the alternative succeed.
- School administrators need to establish workable timelines.
- School administrators need to assign responsibilities clearly.

The other thing we do in the implementation stage is to establish controls to monitor the performance of the plan, evaluate its degree of achievement and determine the reasons for any deviation from expected consequences. Evaluation is important because decision-making is a continuous, never ending process. Reasons for the success or failure have to be identified. If the decision has been a failure, then corrective action must be taken.

The process of decision-making in its description above may seem to be a simple process. However, it is not when the multiplicity of factors involved in any educational organization are involved in the same. The actual nature and complexity of the decision-making process is individualistic and depends on a number of factors.

### Check Your Progress

9. State the purpose of decision-making.
10. Mention examples of non-programmed decisions in educational planning.

## 2.8 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. Seen from the UNESCO point of view, the concept of educational planning involves a succession of interdependent actions, namely:
  - (i) Clarification of educational objectives

- (ii) Diagnosis of present conditions and recent trends
  - (iii) Assessment of alternatives
  - (iv) Translation of plans into action
  - (v) Evaluation and adjustment
2. Tactical plans support strategic plans by translating them into specific plans relevant to a distinct area of the organization.
  3. The general objectives of institutional planning are to provide periodic analysis and obtained information to support the process of decision-making, planning, formulation of policies and other administrative and educational processes of the concerned institution.
  4. The Social Demand Approach is usually favoured by politicians and educationists.
  5. Demographic projection models describe the development of population, over a time period, in terms of events. The projection process includes development, production and distribution.
  6. The resources to be surveyed in institutional planning fall under the following categories:
    - (a) Resources available in the school, like building, library and laboratory
    - (b) Resources available in the community like public library, parks and play grounds, hospitals, banks, factories and workshops
    - (c) Resources that could be easily available through the School Education Board and Government bodies
  7. Management by Objectives (MBO) was first outlined by Peter Drucker in 1954 in his book *The Practice of Management*.
  8. Drucker used the SMART acronym to set goals that were attainable and to which people felt accountable. He said that goals and objectives must be:
    - Specific
    - Measurable
    - Agreed (relating to the participative management principle)
    - Realistic
    - Time related
  9. The purpose of decision-making is to achieve desired objectives and avoid negative unintended consequences.
  10. Cancelling the examination due to question-paper leakage, postponement of entrance test due to sudden flood and similar type of situations are examples of non-programmed decisions in educational planning.

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## 2.9 SUMMARY

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- Planning requires there to be specific goals and objectives as it cannot take place in a vacuum. The process of planning is not only concerned with objectives; it is concerned with the means of achieving these objectives as well.
- Coombs in a UNESCO Publication titled ‘What is Educational Planning?’, says that ‘Educational Planning, in its broadest generic sense, is the application of rational systematic analysis to the process of educational development with the aim of making education more effective and efficient in responding to the needs and goals of its students and society.’
- The educational planning is a set of related activities, which sets specific goals of educational development for a certain period of time that is limited. These activities take place during the planning process for the overall development within the framework of the possibilities identified, by financial resources, and economic, human, and through a set of constraints.
- There are three main types of plans include:
  - o Operational
  - o Tactical and
  - o Strategic
- Different types of planning include: macro-planning, micro-planning, decentralized planning, rolling planning, contingency planning and process planning.
- Educational planning implies taking of decisions for further actions with a view to achieving predetermined goals and objectives through the best possible use of limited resources. Perspective planning and institutional planning is a part of educational planning.
- Perspective planning is a planning for next fifteen years or so, keeping in mind the present as well as incoming scenario of overall development and changes in all the concerned areas.
- Institutional planning is restricted to a specific institution and its working keeping in mind the goals of that particular institution. It is a planning at the grassroots level. It ensures better and more productive use of the resources which the institution may have. It is the institution that knows best about its needs, requirements and problems that have to be solved.
- According to Adesina (1982), there are three rival approaches to educational planning. The three rival approaches are:
  - o The social demand approach
  - o The manpower requirement approach
  - o The cost benefit analysis

- Intra-Educational Extrapolation approach consists of estimating the quantitative implications for the system as a whole. It means setting targets for one particular characteristic, or feature, or aspect of the educational system.
- Social Justice approach is also known as social planning or planning for social development. It holds that the education system of a country shapes its social or national goals. The national policies and constitution of a nation broadly describes these goals and social development.
- Procedure and Techniques of Institutional Planning include:
  - o Analysis of the present situation according to the needs of the institution
  - o Survey of the existing resources
  - o Preparation for the improvement of school programme
  - o Implementation
  - o Evaluation
- Management by Objectives (MBO) was first outlined by Peter Drucker in 1954 in his book *The Practice of Management*. MBO is a systematic and organized approach that allows management to focus on achievable goals and to attain the best possible results from available resources. It aims to increase performance by aligning goals and subordinate objectives throughout the organization.
- Decision-making in simple words can be understood as the cognitive process of deciding on a course of action from among manifold alternatives. Every decision-making concludes in a final choice, which can be in the form of an action or an opinion. Therefore, decision-making is an interpretation, which can be rational or irrational, and can be based on explicit assumptions or tacit assumptions.
- Decision-making processes involve a series of complex interactions of events. The making of decisions happen in complex and contingent social systems, ranges from routine administrative work to value-laden dilemmas, is subject to numerous and conflicting demands and is people intensive.

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### 2.10 KEY WORDS

- **Educational planning:** It can be defined as applying systematic analysis with logical reasoning to educational development in order to make education more effective and efficient in terms of the needs and goals of students in tandem with society.
- **Perspective planning:** It is a planning for next fifteen years or so, keeping in mind the present as well as incoming scenario of overall development and changes in all the concerned areas.
- **Institutional planning:** It is restricted to a specific institution and its working keeping in mind the goals of that particular institution. It is a planning at the grassroots level.

- **Decision-making:** It can be understood as the cognitive process of deciding on a course of action from among manifold alternatives.

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## 2.11 SELF ASSESSMENT QUESTIONS AND EXERCISES

### Short Answer Questions

1. What is the meaning and rationale of educational planning?
2. List the different types of planning.
3. What are the advantages and disadvantages of rates of return approach?
4. Write short notes on: social justice approach and demographic project model of educational planning.
5. What are the features of MBO?
6. List the attributes of decision-making.
7. Briefly explain the kinds of decision-making in an organization.

### Long Answer Questions

1. Examine the needs and importance of perspective and institutional educational planning.
2. Describe the approaches to education planning.
3. Discuss the procedure and techniques of institutional planning.
4. Explain the steps in the MBO process.
5. Describe the decision-making process.

## 2.12 FURTHER READINGS

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## UNIT 3 ORGANIZATION

### Structure

- 3.0 Introduction
- 3.1 Objectives
- 3.2 Meaning of Organization
  - 3.2.1 Structures
  - 3.2.2 Organization Chart
- 3.3 Organization for Education Administration
  - 3.3.1 Educational Administration at the Central and State Level: Their Roles and Functions
  - 3.3.2 Administrative Organization of Education at State Levels
- 3.4 Delegation vs Decentralization
- 3.5 Organizational Competence
- 3.6 Strategic Alliances
  - 3.6.1 Strategic Alliances in Educational Institutes
- 3.7 Answers to Check Your Progress Questions
- 3.8 Summary
- 3.9 Key Words
- 3.10 Self Assessment Questions and Exercises
- 3.11 Further Readings

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### 3.0 INTRODUCTION

Organizing is the second function of management and involves primarily creating of activities and assigning the suitable workers to complete these activities successfully, efficiently and effectively. Organizational objectives are well defined and the activities are primarily undertaken to achieve these objectives. Activities that are well organized and coordinated result in optimal use of resources and reduce or eliminate waste and idle times of both the machines and the workers. There is a well-structured chain of command and authority that either flows from top to bottom or is properly delegated to the lower levels of the managerial hierarchy. The organizational structure also determines the levels of management. The tendency today is towards fewer levels of management and such organizations are known as lean organizations.

### 3.1 OBJECTIVES

After going through this unit, you will be able to:

- Explain the meaning of organization
- Describe the organizing structures
- Examine the concept of organization chart

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- Discuss organization for education administration and Central and State Government bodies
- Differentiate between delegation Vs decentralization
- Explain the concept of organizational competence and strategic alliances

### 3.2 MEANING OF ORGANIZATION

The word organization is used and understood widely in our daily lives. It has been defined in a number of ways by psychologists, sociologists, management theorists as well as practitioners. A definition of organization suggested by Chester Barnard, a well-known management practitioner, nearly sixty years ago still remains popular among organization and management theorists. According to him, an organization is a system of consciously coordinated activities or efforts of two or more persons. In other words, a formal organization is a cooperative system in which people gather together and formally agree to combine their efforts for a common purpose. It is important to note that the key element in this rather simplistic definition is conscious coordination. and it implies a degree of formal planning, division of labour, leadership and so on. For example, if two individuals agree to push a car out of a ditch, as a one-time effort, then these individuals would not be considered as an organization. However, if these two individuals start a business of pushing cars out of ditches, and then an organization would be created. More recently, Bedeian and Zamnuto have defined organizations as 'social entities that are goal directed, deliberately structured activity systems with a permeable boundary'. There are four key elements in this definition.

- **Social entities:** The word social as a derivative of society, basically means gathering of people as against plants, machines, buildings, even though plants, machines and buildings are necessary contributors to the existence of the organization. Organizations will cease to exist if there were no people to run them, even if other things remain. For example, if everybody resigns from a company and no one is replaced, then it is no longer an organization even though all material assets of the company remain until disposed off. On the other hand, there are organizations such as neighbourhood associations, which have only people in it and without any physical assets. Accordingly, it is the people and their roles that are the building blocks of an organization.
- **Goal directed:** All efforts of an organization are directed towards a common goal. A common goal or purpose gives organization members a rallying point. For example, Ross Perot, Chief Executive Officer (CEO) of Electronic Data Systems (EDS), recommended when he joined General Motors, that GM should strive to become the finest car manufacturer in the world. This became the common goal of all GM employees. While the primary goal of any commercial organization is to generate financial gains for its owners, this goal is interrelated with many other goals, including the goals of individual

members. For example, General Motors may have the commercial goal of producing and selling more cars every year, community goal of reducing air pollution created by its products and the employee goals of earning and success achievement.

- **Deliberately structured activity systems:** By systematically dividing complex tasks into specialised jobs and categories of activities into separate departments, an organization can use its resources more efficiently. Subdivision of activities achieves efficiencies in the work place. The organizations are deliberately structured in such a manner so as to coordinate the activities of separate groups and departments for the achievement of common purpose.
- **Permeable boundary:** All organizations have boundaries that separate them from other organizations. These, boundaries determine as to who and what is inside or outside the organization. Sometimes, these boundaries are vigorously protected. However, the dynamics of the changing world has made these boundaries less rigid and more permeable in terms of sharing information and technology for mutual benefit. For example, IBM joined with both Motorola and Apple Computers in 1993 to bring out a new Power PC chip in the market.

### 3.2.1 Structures

Organizational structure involves arrangement of activities and assignment of personnel to these activities in order to achieve the organizational goals in an efficient manner. It is a way by which various parts of an organization are tied together in a coordinated manner and it illustrates the various relationships among various levels of hierarchy within the organization as well as horizontal relationships among various functions of the organizational operations. A well-planned organizational structure results in better utilisation of resources. In general, “organizational structure” refers to the way individuals and groups are arranged with respect to the tasks they perform, and “organizational design” refers to the process of coordinating these structural elements in the most effective manner.

A good organizational structure is needed so that:

1. Each individual in the organization is assigned a role, responsibility and necessary authority. Each person who is assigned to an activity must know his position, his role and his relationship with others. He is further responsible for efficient execution of his role and his duties and is given the authority to do so.
2. The activities of all individuals are coordinated and integrated into a common pattern in order to achieve the organizational objectives. Organization is needed for the purpose of integration of diverse activities in a cohesive manner.

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3. The optimum use of human skill and efforts is achieved. It is said that half of the work is done when you know what you have to do and how you have to do it. A good organization does that. A good organization assigns the right person to the right job and this avoids misapplication of human resources, thus resulting in optimum utilisation of employee efforts.

### 3.2.2 Organization Chart

The following Figure 3.1 shows organizational chart is hypothetical for a computer manufacturing company, which manufactures hardware as well as develops software. This company uses each of the more common basis for departmentalisation. These are function, product, customers and geography.

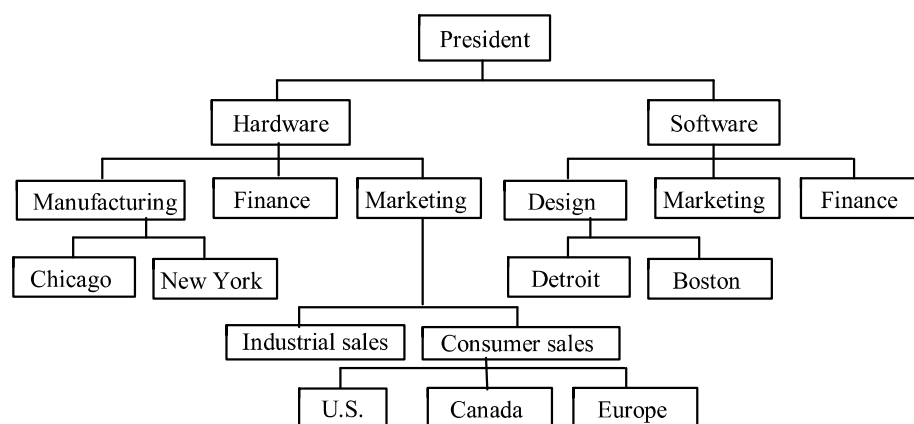


*Fig. 3.1 Organizational chart*

### Check Your Progress

1. What are the key elements of an organization?
2. What is the difference between an organizational structure and organizational design?

## 3.3 ORGANIZATION FOR EDUCATION ADMINISTRATION

The educational administration encompasses all the levels of education in its jurisdiction.

These are:

- Pre-primary or pre-school Education.
- Elementary or primary Education.
- Secondary Education.

- Higher Secondary or Post secondary Education and,
- Higher or tertiary Education.

It is educational administration that determines what should be the nature and system of administration for all the above levels of education.

It covers all forms of education such as:

- Formal Education
- Non-formal Education and Adult Education
- General Education
- Vocational Education
- Special Education
- Teacher Education
- Integrated Education and
- Technical and professional Education including Engineering, Medical, MBA, and Computer Education.

Here the educational administration sets the systems of administration in accordance to the objectives and nature of all the levels of education.

It includes all types and strategies of management that encompasses the following:

- Democratic Administration
- Autocratic Administration
- Nominal Administration
- Real Administration

Educational administration covers the following aspects relating to management in its jurisdiction:

- Planning
- Organizing
- Directing
- Coordinating
- Supervising
- Controlling and
- Evaluating

Educational Administration takes place at various levels such as:

- Central level
- State level
- District level

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- Block level and
- Institutional level

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Out of these above levels, educational administration has its ground reality and importance at the institutional level.

For this, the following activities and programmes come under the scope of educational administration at the institutional level:

- Deciding the purposes of the institution or school.
- Planning for academic or curricular and co-curricular activities.
- Preparing the time table and the time schedules for various activities.
- Assigning duties and responsibilities to the staff members.
- Organizing curricular and co-curricular programmes.
- Directing and motivating the staff of the institution.
- Coordinating by efforts of people to achieve the purpose.
- Exercising control over the staff.
- Conducting periodical reviews about the progress, achievements and failures of the institution.
- Taking measures for staff development.
- Maintaining order and discipline.
- Management of materials.
- Management of finance.
- Maintaining records and registers up to date.
- Maintaining human relationships.
- Supervision of the work of teachers and other employees.
- Giving feedback to the teachers performing well and taking remedial measures for teachers not performing well.

### 3.3.1 Educational Administration at the Central and State Level: Their Roles and Functions

An agency of education refers to an administrative division of a government or international body which is authorized to conduct and promote educational activities for the betterment of society at large in a sustained manner.

#### **Ministry of Human Resource Development (MHRD), Government of India**

The Government of India created the Ministry of Human Resource Development (MHRD) on 26 September 1985 to ensure that all relevant instruments and agencies which contribute to and are responsible for the integrated development of the citizen beginning from childhood and going right through life are assimilated under one apex body.

The Ministry thus has two departments:

- The Department of School Education and Literacy which oversees Elementary Education, Secondary Education and Adult Education and Literacy
- The Department of Higher Education which oversees University and Higher Education, Technical Education, Book Promotion and Copyright, Scholarship, Languages and Minority Education.

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**I. The Department of School Education and Literacy oversees Elementary Education, Secondary Education and Adult Education and Literacy:**

**(a) Elementary Education:** The Sarva Shiksha Abhiyan has been initiated by the Government of India in an effort to universalize elementary education by community-ownership of the school system in response to the demand for basic education all over the country. The Sarva Shiksha Abhiyan thus is:

- A programme with a clear time frame for universal elementary education.
- A response to the demand for quality basic education all over the country.
- An opportunity for promoting social justice through basic education.
- An effort at effectively involving the Panchayati Raj Institutions, School Management Committees, Village and Urban Slum Level Education Committees, Parents' Teachers' Associations, Mother Teacher Associations, Tribal Autonomous Councils and other grass root level structures in the management of elementary schools.
- An expression of political will for universal elementary education across the country.
- A partnership between the Central, State and the Local Governments.
- An opportunity for States to develop their own vision of elementary education.

Further, the Sarva Shiksha Abhiyan realizes the importance of Early Childhood Care and Education and looks at the 0-14 age as a continuum. All efforts to support preschool learning in Integrated Child Development Services (ICDS) centres or special pre-school centres in non ICDS areas are being made to supplement the efforts of the Ministry of Women and Child Development. The emphasis is on mainstreaming out-of-school children through diverse strategies, and on providing eight years of schooling for all children in 6-14 age groups. The thrust is on bridging of gender and social gaps and a total retention of all children in schools. Within this framework it is expected that the education system will be made relevant so that children and parents find the schooling system useful and absorbing according to their natural and social environment. Education of girls, especially those belonging to the scheduled castes and scheduled tribes and minorities, is one of the principal concerns in Sarva Shiksha Abhiyan. Focus is also laid on the inclusion and participation of children from SC/ST, minority

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groups, urban deprived children, children of other disadvantaged groups and children with special needs in the educational process.

**(b) Secondary Education:** The Department of School Education and Literacy administers the following agencies associated with secondary education:

- **National Council of Educational Research and Training (NCERT):** The NCERT is an apex resource organisation which assists and advises the Central and the State governments on academic matters related to school education. It provides academic and technical support for qualitative improvement of school education through its various constituents, viz. the departments of National Institute of Education, New Delhi, Central Institute of Educational Technology, New Delhi, Pandit Sunderlal Sharma Central Institute of Vocational Education, Bhopal, and Regional Institutes of Education located at Ajmer, Bhopal, Bhubaneswar, Mysore and Shillong.
- **Central Board of Secondary Education (CBSE):** The CBSE is an autonomous body working under the aegis of the MHRD. It's the second oldest board of the country having been established in 1929. The main objectives of the CBSE are: i. To affiliate institutions in and outside the country. ii. To conduct annual examinations at the end of class X and XII. iii. To conduct entrance examinations to professional courses for admission into medical and engineering colleges iv. To update and design curricula.
- **Kendriya Vidyalaya Sanghatana (KVS):** The scheme of Kendriya Vidyalayas was approved by the Government of India in November, 1962 to provide uninterrupted education to the wards of transferable Central Government Employees.
- **Navodaya Vidyalaya Samiti (NVS):** Navodaya Vidyalayas are run by the Navodaya Vidyalaya Samiti, an autonomous organisation. Navodaya Vidyalayas are fully residential co-educational institutions providing education up to the senior secondary stage. Education in Navodaya Vidyalayas include boarding and lodging, textbooks, uniforms etc. all of which are free for all students. The scheme started with two experimental schools in 1985-1986 and has now expanded to 540 schools covering as many districts in 34 States and the Union Territories with more than 1.76 lakh students on the roll. More than 30,000 new students are admitted every year. Admissions to Junior Navodaya Vidyalayas is made at the level of class VI through tests conducted in the concerned district in which all children who have passed class V from any of the recognized schools in that district are eligible to appear. The test is designed and conducted by the CBSE.
- **National Institute of Open Schooling (NIOS):** The National Open School was set up by the Government of India in 1989 with a view to



provide education through Open and Distance Learning (ODL) mode to those who cannot attend regular schools. Since its inception, the NIOS has discharged the responsibility of promoting the entire range of school education through the open learning system in the country. It has performed a significant role for defining standards in open schooling, experimenting with innovations, assisting state level organisations with professional resource support and expertise and dissemination of tested innovation, curriculum and materials.

- **National Foundation for Teachers' Welfare (NFTW):** The National Foundation for Teachers Welfare was set up in 1962 under the Charitable Endowments Act, 1890. The main objective of the foundation is to provide financial assistance to teachers who may be in indigent circumstances. The following schemes for the welfare of teachers all over India are being operated by the foundation: i. Financial assistance is given for the construction of Shikshak Sadans. ii. Support is provided for the professional education of children of school teachers. iii. Financial assistance (medical) is provided to teachers suffering from serious ailments. iv. Financial support is made available to teachers for academic activity. The corpus fund of the foundation consists of contributions received from the member States and the Union Territories in addition to the initial contribution made by the Central Government.

(c) **Adult Education and Literacy:** The Prime Minister Dr. Manmohan Singh launched Saakshar Bharat, a centrally sponsored scheme of the Department of School Education and Literacy (DSEL), Ministry of Human Resource Development (MHRD), Government of India (GOI), on International Literacy Day, 8 September 2009.

Aims:

- To promote and strengthen Adult Education, specially of women, by extending educational options to those adults who having lost the opportunity of access to formal education and crossed the standard age for receiving such education, now feel a need for learning of any type, including, literacy, basic education (equivalency to formal education), vocational education (skill development), physical and emotional development, practical arts, applied science, sports, and recreation.
- To impart functional literacy to non-literates in the age group of 15-35 years in a time bound manner.

The National Literacy Mission (NLM) was launched in 1988. However, despite significant accomplishments of the Mission; illiteracy continues to be an area of national concern. Wide gender, social and regional disparities in literacy also continue to persist. Adult education is therefore indispensable

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as it supplements the efforts to enhance and sustain literacy levels through formal education. Meanwhile, the Government announced that literacy would be its key programme and instrument for emancipation and empowerment of women. Efforts of the Government to give impetus to school education, health, nutrition, skill development and women empowerment in general are impeded by the continuance of female illiteracy. However, this is only the instrumental value of female literacy. Its intrinsic value is in emancipating the Indian woman through the creation of critical consciousness to take charge of her environment where she faces multiple deprivations and disabilities on the basis of class, caste and gender. Thus, Saakshar Bharat was devised as the new variant of National Literacy Mission. Saakshar Bharat seeks to cover all adults in the age group of 15 and beyond though its primary focus is on women. Basic Literacy, Post literacy and Continuing Education programmes form a continuum, rather than sequential segments. Besides, the volunteer based mass campaign approach, provision has been made for alternative approaches to adult education. Jan Shiksha Kendras (Adult Education Centres or AECs), have been set up to coordinate and manage all programmes within their territorial jurisdiction. The State Governments, as against the districts in the earlier versions, and Panchyati Raj institutions, along with communities, are valued stakeholders. Vigorous monitoring and evaluation systems have been installed. The budgetary support has also been enhanced substantially. Saakshar Bharat had come into operation from October 01, 2009. With the launch of Saakshar Bharat, the National Literacy Mission and its entire programme and activities were concluded on September 30, 2009.

**Objectives:** The Mission has four broad objectives, namely to:

- (i) Impart functional literacy and numeracy to non-literate and non-numerate adults.
- (ii) Enable the neo-literate adults to continue their learning beyond basic literacy and acquire equivalency to formal educational system.
- (iii) Provide non and neo-literates with relevant skill development programmes to improve their earning and living conditions.
- (iv) Promote a learning society by providing opportunities to neo literate adults for continuing education.

**Target:** The principal target of the mission is to impart functional literacy to 70 million adults in the age group of 15 years and beyond and to cover 1.5 million adults under the basic education programme and an equal number under vocational (skill development) programme.

The Department of School Education and Literacy which oversees Elementary Education, Secondary Education and Adult Education and Literacy also implements the following schemes under the sponsorship of the MHRD: Rashtriya Madhyamik Shiksha Abhiyan Girls Hostel Model

School ICT at schools Inclusive Education for Disabled at Secondary Stage  
Incentives to Girls for Secondary Education National Merit cum Means  
Scholarship Financial Assistance for Appointment of Language Teachers  
Development of Vocational Skills during Secondary Education Adolescence  
Education Programme .

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**II. The Department of Higher Education** oversees University and Higher Education, Technical Education, Book Promotion and Copyright, Scholarship, Languages and Minority Education.

- **University and Higher Education:** India has one of the largest Higher Education systems in the world. The Central Government is responsible for major policies relating to higher education in India. It provides grants to the University Grants Commission (UGC) and establishes central universities in the country. The Central Government is also responsible for declaration of educational institutions as “deemed to be university” on the recommendation of the UGC. State Governments are responsible for the establishment of State Universities and colleges. The coordination and cooperation between the Union and the States is brought about by the Central Advisory Board of Education (CABE). While the UGC is responsible for coordination, determination and maintenance of standards as also the release of grants, Professional Councils are responsible for recognition of courses, promotion of professional institutions and providing grants to undergraduate programmes and various awards. The statutory Professional Councils are: All India Council of Technical Education (AICTE), Medical Council of India (MCI), Indian Council for Agricultural Research (ICAR), National Council for Teacher Education (NCTE), Dental Council of India (DCI), Pharmacy Council of India (PCI), Indian Nursing Council (INC), Bar Council of India (BCI), Central Council of Homeopathy (CCH), Central Council for Indian Medicine (CCIM), Council of Architecture Distance Education Council, Rehabilitation Council of India (RCI) and State Councils of Higher Education
- **Technical Education:** Technical Education plays a vital role in the human resource development of the country by creating skilled manpower, enhancing industrial productivity and improving the quality of life. Technical Education covers courses and programmes in engineering, technology, management, architecture, town planning, pharmacy and applied arts and crafts, hotel management and catering technology. The technical education system in the country can be broadly classified into three categories: Central Government funded institutions, State Government funded institutions, Self-financed institutions. Some of the centrally funded institutions of technical and science education include the Indian Institutes of Technology (IITs), Indian Institutes of Management (IIMs), Indian Institute of Science, Bangalore (IISc).

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- Languages:** Modern India according to the 1961 census has more than 1652 mother tongues genetically belonging to five different language families. Since language has been allocated an important place in the National Policy of Education, the promotion and development of Hindi and the other 22 languages listed in Schedule VIII of the Constitution as also Sanskrit and Urdu along with English and Foreign languages have received due attention from the Department of Higher Education. The language policy of India with reference to usage in administration, education, judiciary, legislature and mass communication is pluralistic in its scope. It is both language-development oriented and language-survival oriented. The policy is accommodative and evolving and is monitored and implemented by the Language Bureau of the Ministry of Human Resource Development, Government of India. This is done by language institutions setup for this purpose, namely, Central Hindi Directorate, Centre for Scientific and Technical Terminology, Central Hindi Institute, Central Institute of Indian Languages, National Council for Promotion of Urdu Language, Central Institute of English and Foreign Languages.
- Education of SCs/ STs and Minorities:** The Indian Constitution is committed to the equality of its citizens. The Directive Principles of the Constitution, Government of India, stress upon the promotion with special care the educational and economic interests of the weaker sections of the people and in particular of the SCs/ STs and minorities. Article 46 of the Constitution states that “the State shall promote with special care the education and economic interests of the weaker sections of the people, and in particular of the Scheduled Castes and the Scheduled Tribes, and shall protect them from social injustice and all forms of social exploitation.” Similarly Article 30 (1) provides for the rights of the minorities to establish and administer educational institutions of their choice. The Department of Higher Education thus makes special provisions for SCs / STs , minorities, e.g. Schedule Caste Sub-plan, Tribal Sub-plan, National Monitoring Committee for Minorities Education, National Commission for Minorities Educational Institutions.
- Distance Learning: Open and Distance Learning (ODL)** system of India consists of National and State Open Universities including correspondence course institutes in conventional dual mode universities. This form of learning is significant for continuing education, skill enhancement of in-service personnel and for quality education of relevance to learners located at educationally disadvantageous locations.

The Department of Education, Government of India thus oversees a wide range of agencies from the elementary to the tertiary level of education in conjunction with autonomous organizations and subordinate offices.

### 3.3.2 Administrative Organization of Education at State Levels

India is a sovereign democratic republic with a parliamentary form of govt., based on universal adult franchise. The forty-second amendment of constitution in 1976 made education a concurrent subject. According to this amendment Central and State governments are equal partners in framing educational policies. However, for school education the state is a major controlling authority. The machinery for educational administration in the state is composed of Department of education headed by a minister who is responsible to the legislature and is appointed by the Chief Minister. In some states he is assisted by a Minister of state or a Deputy Minister. The minister exercises his authority through the officers of the department and other agencies like the universities and is also assisted by the Education Secretary and Director of Education.

The administration of education in any state in the country is usually as per the below mentioned six levels:

**I. The Secretariat of Education-** The secretariat of education is headed by a Secretary of Education. It comprises of a number of other officers of the rank of Deputy Secretary, Under Secretary etc. whose role is to maintain a link between the Executive functions of the Directorate and the policy making functions of legislature.

**II. The Directorate of Education-** The executive of the department of education is the Directorate of education. The Directorate keeps the government in touch with the educational institutions. It ensures efficient functioning of the institutions arranges for instructions and determines the financial aid to be provided to them. The Director of Education is assisted by one or more joint Directors, a few Deputy Directors, District Education Officers and other Inspectorial and supervisory staff.

The two levels of administration the Secretariat and Directorate together composes the Department of Education of a state.

The director is in charge of the executive functions whereas the policy making functions are vested with the Secretary of Education.

The functions of department of education are:

- (i) Regulatory
- (ii) Operational and
- (iii) Directive.

The Regulatory function involves three important aspects:

- (a) Development of standards, rules and regulations
- (b) Examinations and Inspection

Investigation in those cases where the compliance of rules is to be examined.

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**Regional or Circle Level:** Usually a state is divided into a number of regions, divisions or circles. These regions are under the charge of Deputy Director or Chief Education Officer. The regional offices are created to coordinate the efforts of District Education Officers, in the region so that the wasteful expenditure may be avoided and efficiency is ensured.

**The District Level:** This level is considered to be of great significance. The District Office of Education is usually under the charge of a District Education Officer (DEO) or District Inspector Of School (DIOS). DIETS and Secondary Training Schools – District Institutes of Education and Training (DIET) and Secondary Training Schools have been set up at the district level. These Institutes are responsible for making substantive and pedagogic inputs to the programmes of education at the district level and is also responsible for the training of personnel and provision of resource support to educational programmes.

**Block Level:** In many states there is another level of educational administration. It is referred to as the block or Taluka level. The block level is considered to be an effective level of administration at the primary level.

At the District Level existing structure of D.I. of schools and institutions like DIETs and Secondary Training Schools provide administration and academic supports respectively to the District Project Coordinator. At the sub-district level two new structures i.e. Block Resource Centres, one in each block and Cluster Resource Centres one for 10 to 12 schools with one experienced and resourceful teacher as coordinator have been created for strengthening grass root level management as well as to provide support to schools and VECs.

The State Education Department which is the principal agency of the State Government dealing with education matters performs the following functions;

- (i) **Implementation of Central Policy:** The State Education Department implements the policy, programs, projects and schemes sponsored by the Central Government.
- (ii) **Formulation of Year Plans:** The State Education Department formulates annual plans for qualitative improvement and quantitative expansion of school education and higher education.
- (iii) **Allocation of funds:** The State Education Department frames the annual budget for different areas of education and gets it passed in the State Legislative Assembly.
- (iv) **Financial allocation:** The State Education Department allocates funds for various agencies, government, nongovernment and voluntary organizations for the implementation of government programs, thus exercising control over the Directorates and District level offices.
- (v) **Periodical review:** The State Education Department in conjunction with the Directors, eminent educationists and education officers periodically reviews the progress and achievements made in the implementation of its annual plans and also looks into the difficulties encountered in its implementation.

- (vi) **Preparation and production of Instructional materials:** The State Education Department through the Director, Text Book Production, Board of Secondary Education, Director SCERT, is responsible for revising and upgrading the curriculum and preparation of instructional materials for various stages of school education including nonformal education and adult education.
- (vii) **Appointment and transfers:** The State Education Department besides appointing teachers also transfers college teachers, Principals, Inspecting and Supervisory Officers, Headmasters, Officers of the Directorate and other officers in consultation with the respective Directors / Heads of Departments.
- (viii) **Service conditions:** The State Education Department besides formulating also modifies service conditions, makes provisions for the salary, remuneration, pension and other retirement benefits for Government as well as Non-Government employees of the Education Department and revises them periodically.
- (ix) **Inspection and supervision:** The Officers of the Education Department in conjunction with the officers of the Directorate and District level Offices inspect and supervise educational institutions, monitors the work of field staff and takes actions for improving the system.
- (x) **Awards to teachers:** The State Education Department, through the Department of School and Mass Education awards outstanding teachers to encourage and promote quality in school education.
- (XI) **Direction:** The State Education Department gives direction to the Directorate and the circle level and district level officers for implementing various educational programs and bringing about reforms in the operation. The Education Department also provides administrative leadership to the Directorate on matters of education.

### Check Your Progress

3. What are the levels of education covered by educational administration?
4. Mention the two departments of the Ministry of Human Resource Development, Government of India.
5. Where can the roots of the modern system of higher education be found in India?

## 3.4 DELEGATION VS DECENTRALIZATION

Delegation is the process of the downward transfer of formal authority from one person to another. Superiors delegate authority to subordinates to facilitate the accomplishment of the assigned work. Delegation of authority becomes necessary as the organization grows. The chief executive cannot perform all the tasks of the

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organization himself so that he must share some of his duties with his immediate subordinates. This process continues until all activities are assigned to persons who are made responsible for performing them.

### Principles for Delegation

Delegation of authority should be effective and result-oriented. Some of the principles that serve as guidelines for effective delegation of authority are described as follows:

- **Functional clarity:** The functions to be performed, the methods of operations and the results expected must be clearly defined. The authority delegated must be adequate to ensure that these functions are well performed.
- **Matching authority with responsibility:** Authority and responsibility are highly interconnected.

**Example:** If a marketing manager is given the responsibility of increasing sales, he must have the authority over advertising budgets and on hiring more capable sales people.

Authority should be adequate and should not only match the duties to be performed but also the personal capabilities of the subordinate.

- **Unity of command:** A subordinate should be responsible to only one superior who is delegating the authority to the subordinate in the first place. In this manner, the responsibility for mistakes or accomplishments is traceable and the chances of conflict or confusion are minimal.
- **Principle of communication:** A misunderstood responsibility can be very dangerous. A general authority can be easily misused. Accordingly, both the responsibility and authority must be clearly specified, openly communicated and properly understood. The lines of communication must be continuously kept open for issuing directions as well as for receiving feedback.
- **Principle of management by exception:** Management should delegate the authority and responsibility for routine operations and decision making to subordinates but must retain such tasks for themselves for which they alone are uniquely qualified. On the other hand, the subordinates must make decisions and take actions wherever they can and should only refer matters of such nature to their superiors, which are unique, and outside their domain of authority. This practice saves valuable time of top management that can be utilize for more important policy matters. Also, by trying to solve most of the problems by themselves, the subordinates prepare themselves for higher challenges and responsibilities.

### Process of Delegation

When managers delegate, they set a four-step sequence of events in motion. These steps include the following:



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- (i) **Assignment of tasks:** The first step in this process is to determine clearly what the subordinates are supposed to do. Then the capabilities of subordinates should be considered to match them with the assigned duties. The tasks should be distributed in such a manner that the subordinates are not unnecessarily overburdened and that each one is capable of efficiently completing the assigned task. The total task can be divided into identifiable parts so that the manager can handle some parts himself and other parts can be given to skilled subordinates. This way the coordination and supervision would become easier.
- (ii) **Delegation of decision-making authority:** The second step is to give authority to subordinates to make and implement decisions regarding procurement of resources and supervision of activities that are relevant to the duties assigned to them. This authority must be clearly stated, and if possible, in writing, so that there is no ambiguity regarding making necessary decisions. The authority should also be related to tasks so that if the tasks change, so would the authority. Any matters or decisions that do not fall within the domain of delegated authority must be referred to the superiors.
- (iii) **Creation of obligation:** The third step is the creation of obligation on the part of the subordinates to perform their duties satisfactorily. The person assigned the task is morally responsible to do his best since he has willingly accepted these tasks. Obligation is a personal concern for the task. Even if the subordinate gets part of the task done through other people, he must accept responsibility for timely completion of the task as well as the quality of the output.
- (iv) **Creation of accountability:** Being answerable to someone for your actions creates accountability with an obligation to accept the consequences, good or bad. According to Newman, Summer and Warren, by accepting an assignment, a subordinate in effect gives his superiors a promise to do his best in carrying out his duties. Having taken a job, he is morally bound to complete it. He can be held accountable for results.

### Advantages of Delegation

When used properly, delegation of authority to subordinates offers several important advantages. Some of these are as follows:

1. **It results in quick decisions.** Since the power to make decisions is delegated, decisions can be made right away at or near the center of operations as soon as a deviation occurs or the situation demands. This would save a lot of time in referring the matter to higher-ups, briefing them about the situation and waiting for their decisions.
2. **It gives executives more time for strategic planning and policy making.** Since the central management is not involved in day-to-day decisions, it can concentrate its efforts on meeting broad and unique

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challenges and opportunities. Also, since the higher level management may not have the necessary technical skills to make lower level technical decisions, such decisions are more productive if taken at the lower level. The higher level management has better skills in strategic planning and hence they will have more time on their hands to utilize their skills more effectively.

3. **It is a motivational factor.** Subordinates usually respond to delegated authority with favourable attitude. They become more responsible and more dedicated to their work and they feel proud of being given such authority and responsibility. This in turn boosts their morale. On the other hand, if the lower level managers do not have the authority to act and make decisions even when they are competent to do so, this might give them a feeling of insecurity and incompetence.

It can be the training ground for executive ability. Subordinates, when given control over the problems they face, are able to analyse the situation and make decisions accordingly. This continuous involvement prepares them for problem solving process when they reach a higher executive level. This process will also screen out those from the executive level who have proved to be less successful in handling problems at the lower level.

### **Problems with Delegation**

One of the major problems with delegation of authority is that the central management is far removed from the actual operations where the decisions are made so that it becomes difficult to pinpoint major problems when they occur because decisions are made by any of the subordinates. The second problem may lie in the area of coordination. If coordination among these many subordinates is not adequate, then confusion may result and it may become difficult to exercise control over procedures and policies. Finally, it may be difficult to perfectly match the task with the capability of the subordinate.

### **Personal Factors as Barriers to Delegation**

Even though delegation of authority has some definite advantages and may be even necessary for optimal organizational operations, some managers are very reluctant to delegate authority and many subordinates avoid taking on the authority and the responsibility that goes with it. The general causes for such reluctance are based upon certain beliefs and attitudes, which are personal and behavioural in nature.

### **Reluctance of executives**

Eugene Raudsepp has listed several reasons as to why managers are sometimes unwilling to delegate. Some of these reasons are:

- An executive may believe that he can do his work better than his subordinates. He might believe that his subordinates are not capable enough.

Delegation may require a lot of time in explaining the task and the responsibility to the subordinate and the manager may not have the patience to explain, supervise and correct any mistakes. For example, many professors type their own technical papers and exams rather than give the responsibility to the secretary who may not be technically oriented and thus explaining it to her would be time consuming.

- A manager may lack confidence and trust in his subordinates. Since the manager is responsible for the actions of his subordinates, he may not be willing to take chances with the subordinates, in case the job is not done right.
- Some managers lack the ability to direct their subordinates. They may not be good in organizing their thoughts as well as their activities and thus may not know what to do after delegation in order to help the subordinates to complete the task.
- Some managers feel very insecure in delegating authority, especially when the subordinate is capable of doing the job better. The manager, in such a situation, may fear his loss of power and competition from the subordinate.
- A manager may fear being known as lazy, if he delegates most of his tasks. Since everybody wants to at least look busy, it will be difficult for managers to do so if they do not have much to do for themselves due to delegation. Managers may be reluctant to give that impression.
- An executive may be reluctant to delegate if he believes that the control system is not adequate in providing early warning of problems and difficulties that may arise in the delegated duties, thus delaying the corrective decisions and actions.

### **Reluctance of subordinates**

While delegation of authority can be a highly motivating factor for some subordinates, others may be reluctant to accept it for the following reasons.

- Many subordinates are reluctant to accept authority and make decisions for fear that they would be criticized or dismissed for making wrong decisions. This is specially true in situations where a subordinate had made a mistake earlier.
- The subordinates may not be given sufficient incentives for assuming extra responsibility, which could mean working harder under pressure. Accordingly, in the absence of adequate compensation in the form of higher salary or promotional opportunities, a subordinate may avoid additional responsibility and authority.
- A subordinate may lack self-confidence in doing the job and may fear that the supervisor will not be available for guidance once the delegation is accepted and this may make the subordinate feel uncomfortable with additional tasks.

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- Some subordinates hesitate to accept new and added assignments when there is a lack of necessary information and when the available resources are not adequate or proper.

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### Overcoming Obstacles

Since delegation results in several organizational benefits, it becomes necessary for the management to remove any barriers to effective delegation. In addition to taking some specific actions, Koontz and O. Donnell believe that the management should possess characteristics such as willingness to consider the ideas of others more seriously, trust in the ability of the subordinates and give them the freedom to make decisions. They should encourage subordinates to take calculated risks, make acceptable mistakes and learn from them. Accordingly, the management may initiate some of the following steps:

- **Delegation to be complete and clearly understood:** The subordinate must know precisely what he has to know and do. It should be preferably in writing with specific instructions so that the subordinate does not repeatedly refer problems to the manager for his opinion or decision.
- **Proper selection and training:** The management must make proper assessment of subordinates in terms of their abilities and limitations before delegating the proper authority. Additionally, management must work closely with the subordinates in training them in how to improve their job performance. This constant communication will build up the self-confidence of the subordinates.
- **Motivation of subordinates:** Management must remain sensitive to the needs and goals of subordinates. The challenge of added responsibility in itself may not be a sufficient motivator. Accordingly, adequate incentives in the form of promotion, status, better working conditions or additional bonuses must be provided for additional responsibilities well performed.
- **Tolerance with subordinate's mistakes:** The subordinates may not be as experienced as the managers in making objective judgments so that it is quite possible that they will make mistakes in the process. Unless these mistakes are serious in nature or occur repeatedly, management should not severely penalize subordinates but should encourage them to learn from their mistakes. They should be allowed to develop their own solutions and be given sufficient freedom in accomplishing delegated tasks.
- **Establishment of adequate controls:** If there are adequate check points and controls built in the system, such as weekly reports and so on, then managers will not be continuously spending time in checking the performance and progress of subordinates and their concerns about subordinates performing inadequately will be reduced.

### Centralization versus Decentralization

Centralization means that the authority for most decisions is concentrated at the top of the managerial hierarchy whereas decentralization requires such authority

to be dispersed by extension and delegation through all levels of management. There are advantages as well as disadvantages of both types of structures and the organizational structure would determine the degree of centralization or decentralization. A pure form of centralization is not practical, except in small companies, and pure form of decentralization almost never exists. As organizations grow bigger by expansion, mergers or acquisitions, decentralization becomes both necessary as well as practical. If an automobiles manufacturing company acquires a company which makes refrigerators, then decentralization would be the natural outcome since policies and decisions in these two areas may not be similar. The important question is not whether there should be decentralization, but decentralization to what degree? In addition to decentralization being logistically superior in most situations, it is also advocated by many behavioural scientists as being more democratic. Secondly, if all decisions are made at the top, then the lower organizational members end up only as workers and not as innovators or thinkers and it inhibits the growth and development of personnel. On the other hand, decentralization tends to create a climate whereby taking additional responsibilities and challenges, the organizational members receive executive training for growth and development.

### **Factors Determining the Need for Centralization and Decentralization**

The following factors determine the need of centralization and decentralization in the business organization:

- **Mission, goals and objectives of the organization:** Certain types of organizations such as universities and hospitals have a democratic power sharing structure and hence a decentralized form. On the other hand, the goals and purposes of small businesses such as a restaurant and small-scale industries would require a more centralized structure.
- **Size and complexity of the organization:** Large organizations with diverse product line and conglomerates with companies involved in different fields would find decentralization to be more effective due to limitations in managerial expertise as well as increased executive workload in centralized large organizations.
- **Locations of target market:** If the customers of an organization are located far apart geographically, then decentralization would be more appropriate since in such a case, the appropriate management resources would be placed close to the customers allowing quicker decisions and faster customer service.
- **Competency of top-level management:** If the top-level managers were more knowledgeable and highly experienced as compared to lower level subordinates, then the tendency of the organizations would be towards consolidation of decision-making power at the central management level.
- **Competency of subordinates:** The prerequisite of effective decentralization is the availability of trained, experienced and knowledgeable subordinates

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who can be entrusted to evaluate the situation objectively and make necessary decisions. If subordinates were not sufficiently trained in this area, then decentralization would not be advisable.

- **Desirability of creativity in the organization:** Donald Harper suggests decentralization if creativity within the organization is desirable and necessary. It gives the subordinates freedom to be innovative and find better ways of doing things. This freedom is a highly motivational factor, which encourages creativity.
- **Time frame of decisions:** The time frame for making decisions is different in different situations.

**Example:** An airline pilot has to make decisions in a much shorter time frame than a committee establishing long-term planning policies.

Wherever quick on-the-spot decisions have to be made, the authority to make them must be delegated, thus encouraging decentralization. It is understood that such subordinates are properly trained to make such decisions before the authority is delegated. In addition, the significance of the decisions is equally an important consideration. Major policy decisions may have to be referred to the central management even if the time frame is very short. For example, allowing a hostile airplane for emergency landing may or may not be within the authority of the air controllers.

- **Adequacy of communication system:** If the communication system provides for speedy and accurate transfer of information on which decisions are based then centralization could be more effective. The introduction of fast computers, telecommunication systems and data processing systems have created a feasibility of making fast decisions and hence the argument for centralization.
- **Types of tasks:** Certain tasks require so much coordination and precise integration of activities that it is more effective if such coordination is done from the central point, such as in production control or central purchasing. Other tasks tend to be more independent, such as sales and these can be decentralized.
- **Existence of standing plans:** If a description of clear-cut goals and objectives and precise structured procedures and plans for solving routine problems and making certain situational and operational decisions exists, then the outcomes of the subordinate's decisions can be easily predicted and hence decentralization would be more effective.
- **External factors:** Certain policies and activities that deal with the external environment must remain the prerogative of central management. These policies relate to dealing with labour unions, community officials, lobbying with the government and legislature, and matters relating to national defence contracts and so on. These factors necessitate centralization.

### Advantages of Decentralization

The following advantages are claimed for decentralization.

- It relieves the top executive from excessive workload, since in decentralization, most of the routine managerial responsibilities are delegated to subordinates. This gives the central management more time to concentrate on planning, coordination, policymaking, control and so on.
- It provides foundations for development of future executives. The more responsibility is given to subordinates, the more experience they will gain thus preparing them for higher positions. This makes promotions from within more desirable because these newly promoted managers would be much more familiar with the organizational problems and aspects.
- Decentralization is highly motivational for subordinates because it gives them the freedom to act and freedom to make decisions. This gives them a feeling of status and recognition and this results in a feeling of dedication, commitment and belonging. The behavioural scientists argue that such commitment leads to higher productivity.
- Decentralization leads to prompt actions and quick decisions, since the matters do not have to be referred to the higher-ups and spending time for their guidance, approvals or decisions. Also, the supervisors are much closer to the points of operations and are in a position to know the problems more accurately and are more likely to make the right decisions.

Decentralization results in effective control over operations and processes. In decentralization, the responsibility is much more specific and any mistakes are easily traceable. This makes the accountability much more clear-cut and hence controls are much more effective. This would make the managers of the units conscious of their duties resulting in higher productivity. It can be seen that decentralization is advantageous in most situations and unavoidable in large and diversified organizations. To make decentralization more effective, its concept must be clearly understood that it does not mean total autonomy but only operational independence and the unit managers are responsible to the central management for their actions and results. Perhaps, the best form of decentralization would be centralized control with decentralized responsibilities.

### 3.5 ORGANIZATIONAL COMPETENCE

Organizational competencies are the competencies needed in the organization so that it can excel and remain competitive in the market. The term 'competency' is usually defined as a combination of skills, attributes and behaviours which are directly related to successful performance on the job. Technical competencies are those specific competencies which are usually required to perform a given job within a job family.

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Typically, a core competency refers to a company's set of skills or experience in some activity, rather than physical or financial assets. An organizational core competency is an organization's strategic strength. The concept of core competencies was developed in the management field.

### Examples of Core Competencies

- Analytical Thinking. This refers to your ability to apply logic to solve problems and to get the job done.
- Computer Competency
- Client Service
- Creative Thinking
- Forward Thinking
- Conceptual Thinking
- Conflict Resolution
- Decision Making

## 3.6 STRATEGIC ALLIANCES

Strategic alliances imply the association of more than one party aimed towards the attainment of specific objectives or fulfilment of essential business requirements, simultaneously maintaining organizational autonomy.

Partner companies offer strategic alliances with respect to certain resources, such as products, distribution channels, manufacturing capability, project funding, capital equipment, knowledge, expertise, or intellectual property. These alliances are primarily based on cooperation aiming at a synthesis that profits the participating members more than individual efforts. Strategic alliances also involve technological transmission, access to informational and financial specialization and economic support.

Different terminologies present various types of strategic partnering, such as 'international coalitions' (Porter and Fuller, 1986), 'strategic networks' (Jarillo, 1988) and, 'strategic alliances'. Their meaning varies on the basis of the organizational context.

### Strategic Alliance Formation Process

A typical strategic alliance formation process involves the following steps:

- **Strategy development:** This stage of strategy development constitutes the study of the alliance's scope, goals and rationale, highlighting the chief concerns and obstacles. This further involves the formulation of resource techniques for production, technology, and human resource. This involves synthesizing the goals of the alliance with the general organizational strategy.



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- **Partner evaluation:** This requires an analysis of a potential partner's strengths and shortcomings, leading to creation of effective techniques in order to synergize different managerial styles. This stage also focuses on the preparation of suitable selection criteria and recognizing a partner's purpose for entering in an alliance and identifying the gaps in resource capability of a partner firm.
- **Contract negotiation:** This stage focuses on predetermining if the parties have practical goals. Thus, competitive negotiation task forces are formed in order to define what each partner offers as well as to safeguard any proprietary information, address termination clauses, decide penalties for bad performance, and emphasizing the arbitration procedures involved.
- **Alliance operation:** This stage focuses on identifying the managerial commitment, locating the capability of the resources committed to the alliance, collaborating budgetary functions and resources with strategically aligned objectives, gauging and awarding alliance performance, and evaluating the performance and results of the alliance.
- **Alliance termination:** Termination of alliances constitutes of winding down the alliance.

### Advantages of Strategic Alliances

Strategic alliances offer the following benefits:

- Encouraging partners to focus on functions that best match their capabilities
- Helping partners in gaining knowledge and information through mutual cooperation and developing multiple competences
- Providing varied resources and competence

### Types of Strategic Alliances

There are four types of strategic alliances, namely joint venture, equity strategic alliance (or minority investment alliance), non-equity strategic alliance (or direct cooperation alliances) and global strategic alliances.

#### Joint venture

Joint venture is a strategic alliance in which two or more firms create a legally independent company for sharing some of their resources and capabilities so that they can develop a competitive advantage. Of all the forms of strategic alliances, joint ventures are the most complex since they involve the creation of a separate legal entity from those of the alliance partners. The alliance partners own and control the new entity together. You can differentiate the alliance partners from other forms of equity alliance by the fact that they are created to achieve a specific, defined purpose.

Joint venture companies are normally seen in the manufacturing sector where economies of scale need a single manufacturing plant to be cost effective but the market can sustain a number of distributors of the product. As a result, competitors choose to form an alliance for creating a separate company that is jointly owned

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and controlled for the purpose of manufacturing goods. The goods are supplied to the alliance partners who then compete in the same market to distribute the goods through either wholesale or retail channels.

### **Equity strategic alliance**

Equity strategic alliance or minority investment alliance is an alliance in which two or more firms own different percentages of the company they have formed.

This type of strategic alliance is an equity alliance and is used most frequently by young rapidly growing organizations. The young firm obtains capital from corporate investors by providing the corporate investor with a minority shareholding in their company.

The purpose of minority investment is less specific than in a joint venture and unlike a joint venture one partner retains control through their majority shareholding. Investors usually have a strategic interest in the growth and success of the company that extends beyond a simple return on investment.

### **Non-equity strategic alliance**

Non-equity strategic alliances or direct cooperation alliances are the alliances in which two or more firms develop a contractual-relationship to share some of their unique resources and capabilities to create a competitive advantage. Such alliances are normally formed to achieve operational efficiency or geographic expansion. They are non-equity alliances and their management structure is less formal than that of joint ventures. Direct cooperation does not create a separate entity or alliance partners obtaining a shareholding; it usually involves a contractual arrangement.

### **Global strategic alliances**

Global strategic alliances refer to working partnerships between companies across national boundaries and increasingly across industries. Sometimes such alliances are formed between company and a foreign government, or among companies and governments. A global strategic alliance is generally formed when a company wants to edge into a related business or new geographic market, especially one where the government discourages imports to protect domestic industry. The purpose of such alliance is to share in ownership of a newly formed venture and maximize competitive advantages in their combined territories. The cost of a global strategic alliance is generally shared equitably among the parties involved.

### **Core Competence**

A core competence refers to a particular aspect that an organization views as fundamental to the organizational environment. Core competence needs to satisfy the following criteria:

- Unique to the organization and difficult for other firms to copy
- Advantageous to varied products and markets
- Contributory to the advantages offered for a dynamic consumer experience

A core competency may be of various kinds, such as technical knowledge, reliable process and/or close relationships with customers and suppliers. Further, it may constitute product development or culture, such as employee commitment.

Core competence primarily implies specific advantages offered by an organization in comparison to its competition, in terms of value additions unique to the industry. It involves organizational learning, coordination of diversified production skills and integration of varied technological streams.

An example of core competence of Walt Disney World – Parks and Resorts, reveals the following core competencies:

- Animatronics and Show Design
- Storytelling, Story Creation and Themed Atmospheric Attractions
- Efficient operation of theme parks

### **Core Competence and Competitive Advantage**

A core competence develops from a specific set of skills or production methods that bring value to the customer. Such competences allow an organization to access a wide variety of markets. Core competencies lead to the development of core products which further can be used to build many products for end users. Core competencies are developed through the process of continuous improvements over the period of time. If an enterprise wants to succeed in an emerging global market, it has to build core competencies. Core competences need to be integrated using strategic architecture in view of changing market requirements and evolving technologies. Management need to realize that stakeholders to core competences are an asset which can be used to integrate and develop the competencies. Competence building is the result of strategic architecture which must be enforced by top management so that its full capacity is exploited.

The management should develop the industry foresight needed to adapt to industry changes, and find out ways of controlling resources that will enable the company to attain goals despite restraints. Executives need to build up a point of view on which core competencies can be created for the future to revitalize the process of new business creation. Development of an independent point of view about tomorrow's opportunities and creation of capabilities that exploit them are the keys to future industry relationship.

Core competences are intangible resources of a company. They are difficult and challenging to achieve. It is even critical to manage and enhance the competences with reference to industry changes and their future.

#### **3.6.1 Strategic Alliances in Educational Institutes**

Colleges and universities have a long history of collaborating (Martin & Samels, 2002; Whealler Johnson & Noftsinger, 2004) through consortia and exchange

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agreements, shared resources, coordinated curricula (such as 2+3 programs and articulation agreements), athletic conferences, and joint research. These traditional partnerships differ in important ways from the interinstitutional programmes. The first tend to be operational in nature, more concerned with efficiencies (doing things better or cheaper) than with effectiveness (creating new activities in response to a changing environment; Pfeffer & Salancik, 1978). They extend and enhance the existing capacities of the partners. Sharing library resources, joint purchasing, or cross-enrolments of students exemplify these kinds of arrangements (Dotolo & Strandness, 1999). Curricular joint ventures are specific type of strategic ventures (CJVs; Eckel, Hartley, Affolter-Caine, 2004), which are partnerships where two or more institutions collaborate with one another—including making shared financial investments (thus assuming shared financial risks)—to develop an academic venture neither partner could launch on its own (Dussauge & Garrette, 1999; Hamel, 1996; Porter, 1996). Although there are an increasing number of examples, higher-education alliances have been inadequately studied, especially curricular alliances.

### Check Your Progress

6. State the first step of the process of delegation.
7. What are the prerequisites of effective decentralization?
8. List the four types of strategic alliances.

## 3.7 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. The key elements of organizing are Social entities, Goal directed, Deliberately structured activity systems and Permeable boundary.
2. “Organizational structure” refers to the way individuals and groups are arranged with respect to the tasks they perform, and “organizational design” refers to the process of coordinating these structural elements in the most effective manner.
3. The educational administration encompasses all the levels of education in its jurisdiction. These are:
  - Pre-primary or pre-school Education.
  - Elementary or primary Education.
  - Secondary Education.
  - Higher Secondary or Post secondary Education and,
  - Higher or tertiary Education.

4. The Ministry thus has two departments:
  - The Department of School Education and Literacy which oversees Elementary Education, Secondary Education and Adult Education and Literacy
  - The Department of Higher Education which oversees University and Higher Education, Technical Education, Book Promotion and Copyright, Scholarship, Languages and Minority Education.
5. The modern system of higher education has its roots in Mountstuart Elphinstone's minutes of 1823 which stressed the need for establishing schools to teach English and European Sciences.
6. The first step in the process of delegation is to determine clearly what the subordinates are supposed to do.
7. The prerequisite of effective decentralization is the availability of trained, experienced and knowledgeable subordinates who can be entrusted to evaluate the situation objectively and make necessary decisions. If subordinates were not sufficiently trained in this area, then decentralization would not be advisable.
8. There are four types of strategic alliances, namely joint venture, equity strategic alliance (or minority investment alliance), non-equity strategic alliance (or direct cooperation alliances) and global strategic alliances.

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### 3.8 SUMMARY

- A formal organization is a cooperative system in which people gather together and formally agree to combine their efforts for a common purpose. It is important to note that the key element in this rather simplistic definition is conscious coordination. and it implies a degree of formal planning, division of labour, leadership and so on.
- Organizational structure involves arrangement of activities and assignment of personnel to these activities in order to achieve the organizational goals in an efficient manner. It is a way by which various parts of an organization are tied together in a coordinated manner and it illustrates the various relationships among various levels of hierarchy within the organization as well as horizontal relationships among various functions of the organizational operations.
- While there are many different structures that organizations can adopt, depending upon the type of organization including whether it is a service organization or a manufacturing organization, a well-structured organization has many benefits.
- Educational Administration takes place at various levels such as:
  - o Central level
  - o State level

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- o District level
  - o Block level and
  - o Institutional level
- The Government of India created the Ministry of Human Resource Development (MHRD) on 26 September 1985 to ensure that all relevant instruments and agencies which contribute to and are responsible for the integrated development of the citizen beginning from childhood and going right through life are assimilated under one apex body. The Ministry thus has two departments:
    - o The Department of School Education and Literacy which oversees Elementary Education, Secondary Education and Adult Education and Literacy
    - o The Department of Higher Education which oversees University and Higher Education, Technical Education, Book Promotion and Copyright, Scholarship, Languages and Minority Education
  - The Central Advisory Board of Education (CABE) is the highest advisory body relating to policy making in education in India. It provides a platform for the Centre and the States / Union Territories to share their common concerns, review their experiences and envision future policies and programmes.
  - In November 1956, the UGC was formally established as a statutory body of the Government of India through an Act of Parliament for the coordination, determination, and maintenance of standards of university education in India. The UGC has six regional centres at Pune, Hyderabad, Kolkata, Bhopal, Guwahati and Bengaluru. The head office is located at New Delhi.
  - Delegation is the process of the downward transfer of formal authority from one person to another. Superiors delegate authority to subordinates to facilitate the accomplishment of the assigned work. Delegation of authority becomes necessary as the organization grows. The chief executive cannot perform all the tasks of the organization himself so that he must share some of his duties with his immediate subordinates.
  - There are advantages as well as disadvantages of centralization or decentralization and the organizational structure would determine the degree of structure chosen. A pure form of centralization is not practical, except in small companies, and pure form of decentralization almost never exists. As organizations grow bigger by expansion, mergers or acquisitions, decentralization becomes both necessary as well as practical.
  - Organizational competencies are the competencies needed in the organization so that it can excel and remain competitive in the market. The term 'competency' is usually defined as a combination of skills, attributes and behaviours which are directly related to successful performance on the job.

- Strategic alliances imply the association of more than one party aimed towards the attainment of specific objectives or fulfilment of essential business requirements, simultaneously maintaining organizational autonomy.
- There are four types of strategic alliances, namely joint venture, equity strategic alliance (or minority investment alliance), non-equity strategic alliance (or direct cooperation alliances) and global strategic alliances.

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### 3.9 KEY WORDS

- **Organizational structure:** It involves arrangement of activities and assignment of personnel to these activities in order to achieve the organizational goals in an efficient manner.
- **Delegation:** It is the process of the downward transfer of formal authority from one person to another.
- **Decentralization:** It requires authority to be dispersed by extension and delegation through all levels of management.
- **Organizational competencies:** It refers to the competencies needed in the organization so that it can excel and remain competitive in the market
- **Strategic alliances:** It implies the association of more than one party aimed towards the attainment of specific objectives or fulfilment of essential business requirements, simultaneously maintaining organizational autonomy.

### 3.10 SELF ASSESSMENT QUESTIONS AND EXERCISES

#### Short Answer Questions

1. What are the key elements in the definition of organization?
2. List the activities which comes under the scope of educational administration at the institutional level.
3. Briefly explain the administrative organization of education at state levels.
4. Write a short note on the strategic alliance formation process.

#### Long Answer Questions

1. Describe the benefits of a good organizational structure.
2. Examine the role and functions of departments under the Ministry of Human Resource Development (MHRD), Government of India.
3. What are the principles and process of delegation?
4. Examine the problems of delegations and provide measures to overcome them.

5. Discuss the factors determining the need for centralization and decentralization and its advantages.
6. Describe the different types of strategic alliances.

## NOTES

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### 3.11 FURTHER READINGS

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## UNIT 4 DIRECTION

### Structure

- 4.0 Introduction
- 4.1 Objectives
- 4.2 Meaning, Significance and Principles of Effective Direction
- 4.3 Supervision
- 4.4 Educational Leadership: Meaning, Scope, Importance and Styles
  - 4.4.1 Meaning and Qualities of Successful Educational Leader
- 4.5 Answers to Check Your Progress Questions
- 4.6 Summary
- 4.7 Key Words
- 4.8 Self Assessment Questions and Exercises
- 4.9 Further Readings

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### 4.0 INTRODUCTION

Direction is concerned with directing the human efforts towards organizational goal achievement. The success of these directional efforts is going to determine the satisfactory or unsatisfactory performance within the organization. Accordingly, the directing function is the action function that will test the managerial capability in running the organization. The satisfactory performance of workers is going to be partly dependent upon the 'directional' ability of the management, but primarily it is a function of the organizational environment. If the environment is not conducive to optimum performance, the managerial directing in itself cannot bring in the optimum results. Accordingly, favourable conditions must exist which would provide for enthusiastic cooperation among all people to work together to achieve both individual and group goals. In this unit, you will deal with the techniques and importance of direction. You will also discuss the principles and characteristics of direction.

### 4.1 OBJECTIVES

After going through this unit, you will be able to:

- Explain the meaning, significance and principles of effective direction
- Discuss the concept of supervision
- Describe the meaning, scope, importance and styles of education leadership
- Examine the meaning and qualities of successful educational leader

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## 4.2 MEANING, SIGNIFICANCE AND PRINCIPLES OF EFFECTIVE DIRECTION

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### NOTES

Directing is one of the major functions of managerial process that assures the efficient working of organization to achieve the organizational objectives. It activates the concerned persons in a proper direction therefore directing is considered as life-spark of an educational institution. The functions like planning, organizing and staffing are the pre-requisite preparations for completion the work. It is a process of integrating concerned people with the organization to get their full cooperation for the achieving educational objectives. It is a process through which teachers are motivated to make effective and efficient contribution to the realization of organizational goals and their integration with those of individual and groups. In an educational setting, process of direction deals with the human element therefore it is a very delicate and sensitive function that an educational managers must take care. Directing is an important component of management. It is a managerial process of running all the related activities in order to achieve the desired objectives. Determinant factors include prevalent circumstances, staff, equipments, finance etc. but the most important part is the knowledge, skill and competency of the administrator. Administrators have to coordinate all these components. Good direction means getting best possible work done by utilizing all available human and infrastructural resources.

It is the art or process of influencing people so that they will strive willingly and enthusiastically towards the achievement of group goals. It is required to show the path and give guidance to complete the task. It is that part of management which affects the decision gives the signal to act, indicates what action is to be? and when is it to start and stop?

Thus directing involves the development of willingness to work, but to work with zeal and confidence, providing adequate guidelines to complete the task, motivating people to move towards the desired goals and exercising leadership, motivating people, determining accountability and developing guidelines for action. Different aspects of directing involves ability to use power effectively and in a responsible manner, ability to understand people because each person has a different level of motivation and different motivational force, ability to inspire followers to apply their full capacities to an activity, ability to develop a climate conducive to responding to and arousing motivation and ability to develop effective communication structures. The ability of directing depends on available materials and financial resources, knowledge and skills of the manager and effective coordination. The process of directing is situational; need oriented and prompt and specific decisions acts as key for the process.

We can define direction as follows:

Direction is that inter-personal aspect of management which deals directly with influencing, guiding, supervising, motivating subordinate for the achievement of organizational goals.

Direction has following elements:

- Supervision
- Motivation
- Leadership
- Communication

**Supervision** implies overseeing the work of subordinates by their superiors. It is the act of watching and directing work and workers.

**Motivation** means inspiring, stimulating or encouraging the subordinates with zeal to work. Positive, negative, monetary, non-monetary incentives may be used for this purpose.

**Leadership** may be defined as a process by which a manager guides and influences the work of subordinates in desired direction.

**Communication** is the process of passing information, experience, opinion etc from one person to another. It is a bridge of understanding.

### Importance of directing

Directing is very important function of managerial process. It helps to initiate action by giving directives and guidance to employees as well as coordinate employee efforts and leads toward objectives. Directing ensures maximum output from individuals by providing ways to fulfilling and utilizing the potential and capabilities of employees. It facilitate changes by incorporating environmental/ external and internal changes in the organization and enable subordinates to contribute their best to attain the goals of the organization. Directing is essential to achieve goals and objectives. In an educational institution efficient teaching-learning process, development of curriculum, use of innovative methodology, use of teaching aids and effective classroom management can only be ensured through proper process of directing.

### Types of directing

There are three types of directing processes. A good manager uses any of these types of direction as per the nature and need of the organization.

- **Consultative directing**

Participative techniques of giving directions

- **Free-rein directing/laissez faire**

The supervisor does not participate actively in giving decisions

## NOTES

- **Autocratic/dictatorial directing**

The executive keeps the entire authority and control with him

### Principles of directing

#### NOTES

The process of directing should be based on following principles:

- Interaction between individuals and organization goals
- Integrations of groups and organization goals
- Securing cooperation of informal leaders
- Promoting participative decision-making
- Delegation of adequate authority
- Effective communication
- Effective control
- Direct contact
- Unity of command
- Maximum contribution of each individual
- Full participation of all concerned persons
- Proper follow up through feedback

## 4.3 SUPERVISION

Supervision is one of the elements of direction besides motivation, leadership and communication. It is performed at all levels of management as it means guiding the efforts of employees and other resources to achieve the desired output.

Supervisors are responsible for their direct reports' progress and productivity in the organization. Supervision often includes conducting basic management skills (decision making, problem solving, planning, delegation and meeting management).

### Role of Supervisors

A supervisor plays two important roles:

- Role of mediator:** Supervisor plays the role of a mediator as he communicates the plans, policies, decisions and strategies of management to subordinates and complaints, grievances and suggestions of subordinates to management.
- Role of a guide:** Whenever subordinates are in doubt and need help the supervisor guides them to come out from their problematic situations.

### Functions of a Supervisor

The following are the major functions of a supervisor:

- **Ensures issuing of instructions:** A good supervisor always makes sure that all the instructions are communicated to every employee. The top-level

and middle-level management, plan out all the instructions, but the instructions are provided only by supervisory level management.

*Direction*

- **Discipline:** The strict supervision and guidance of supervisor encourages the employees and workers to be more disciplined in their activities. Under the guidance of supervisor the workers follow a fixed or strict time-table and execute the plans in right directions.
- **Facilitates control:** Whenever the workers are under constant supervision and if they are deviating from plan then immediate instructions are issued by the supervisor. By this constant monitoring, the supervision function ensures strict control over the activities of subordinates.
- **Optimum utilization of resources:** When the workers are constantly monitored or observed then they always use the resources in the best possible manner which leads to minimum wastage. However, if there is no supervision on workers they may result in wastage of resources.
- **Improves communication:** Supervisors issue instructions and orders to all the subordinates and make sure that these instructions and orders are clear to all the employees.

## NOTES

### Check Your Progress

1. What does the ability of directing depends on?
2. What is free-rein directing/laissez faire directing?
3. What does supervision include?

## 4.4 EDUCATIONAL LEADERSHIP: MEANING, SCOPE, IMPORTANCE AND STYLES

Educational leadership is a collaborate process that unites the talents and forces of teachers, students and parents. The goal of educational leadership is to improve the quality of education and the education system itself.

### Purpose of Educational Leadership

The primary purpose of educational leadership is to ensure academic success through process, material and training improvements. This is mainly accomplished through collaboration with different individuals, such as educators, parents, students, public policy makers and the public. From a business perspective, educational leadership is a form of academic management and quality control.

Educational leadership is centered on certain key principles:

- First, educational leadership creates a vision of academic success for all students. This is important because there has always been a historical gap

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between students at different socio-economical levels and between high and low achieving students.

- Second, educational leadership strives to maintain a safe and receptive learning environment. That is, a healthy school environment is key to providing comfortable, orderly and structured classrooms.
- Third, educational leadership delegates responsibility to others. This means that teachers, parents and even students are empowered to take responsibility and accept accountability.
- Fourth, instructional methods and curriculum content must be continually improved.
- Fifth, the field of education must borrow and adapt modern management tools, processes and techniques.

### **Contribution of Teachers to Educational Leadership**

According to the Association for Supervision and Curriculum Development (ASCD), teachers are the foundation of educational leadership. They not only manage students, but also act as leaders among their colleagues. Specifically, teachers are resource providers that help students and other teachers find online and community resources. They provide valuable classroom management and teaching strategies to other teachers. They also provide educational leaders with constructive feedback for curriculum improvements.

### **To Become an Educational Leader**

Every academic level has educational leadership career opportunities. For example, this includes private kindergarten directors, public school principals and university deans. Anyone interested in becoming an educational leader should have on-hands teaching experience and a bachelor's degree. A master's degree in educational leadership is available as a Master of Arts, Master of Science and Master of Education. Coursework will include classes that cover law, finance, professional development and strategic planning.

To recap, educational leadership is the science of helping students achieves academic success through managing and improving educational programs. Educational leaders work with students of all ages and strive to help them reach their academic goals. Overall, competent and dedicated professionals are needed to provide excellent educational leadership in schools across the country.

Leaders and their leadership skills play an important role in the growth of any organization. Leadership refers to the process of influencing the behaviour of people in a manner that they strive willingly and enthusiastically towards the achievement of group objectives.

A leader should have the ability to maintain good interpersonal relations with the followers or subordinates and motivate them to help in achieving the organizational objectives.

## Features of Leadership

Direction

- ***Influence the behaviour of others:*** Leadership is an ability of an individual to influence the behaviour of other employees in the organization to achieve a common purpose or goal so that they are willingly co-operating with each other for the fulfilment of the same.
- ***Inter-personal process:*** It is an interpersonal process between the leader and the followers. The relationship between the leader and the followers decides how efficiently and effectively the targets of the organization would be met.
- ***Attainment of common organizational goals:*** The purpose of leadership is to guide the people in an organization to work towards the attainment of common organizational goals. The leader brings the people and their efforts together to achieve common goals.
- ***Continuous process:*** Leadership is a continuous process. A leader has to guide his employees every time and also monitor them in order to make sure that their efforts are going in the same direction and that they are not deviating from their goals.
- ***Group process:*** It is a group process that involves two or more people together interacting with each other. A leader cannot lead without the followers.
- ***Dependent on the situation:*** It is situation bound as it all depends upon tackling the situations present. Thus, there is no single best style of leadership.

### Importance of Leadership:

- ***Initiating Action:*** Leadership starts from the very beginning, even before the work actually starts. A leader is a person who communicates the policies and plans to the subordinates to start the work.
- ***Providing Motivation:*** A leader motivates the employees by giving them financial and non-financial incentives and gets the work done efficiently. Motivation is the driving force in an individual's life.
- ***Providing guidance:*** A leader not only supervises the employees but also guides them in their work. He instructs the subordinates on how to perform their work effectively so that their efforts don't get wasted.
- ***Creating confidence:*** A leader acknowledges the efforts of the employees, explains to them their role clearly and guides them to achieve their goals. He also resolves the complaints and problems of the employees, thereby building confidence in them regarding the organization.
- ***Building work environment:*** A good leader should maintain personal contacts with the employees and should hear their problems and solve them. He always listens to the point of view of the employees and in case of disagreement persuades them to agree with him by giving suitable

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clarifications. In case of conflicts, he handles them carefully and does not allow it to adversely affect the entity. A positive and efficient work environment helps in stable growth of the organization.

- **Co-ordination:** A leader reconciles the personal interests of the employees with the organizational goals and achieves co-ordination in the entity.
- **Creating Successors:** A leader trains his subordinates in such a manner that they can succeed him in future easily in his absence. He creates more leaders.
- **Induces change:** A leader persuades, clarifies and inspires employees to accept any change in the organization without much resistance and discontentment. He makes sure that employees don't feel insecure about the changes.

Often, the success of an organization is attributed to its leaders, but one must not forget that it's the followers who make a leader successful by accepting his leadership. Thus, leaders and followers collectively play a key role to make leadership successful.

### Qualities of a Leader

- **Personality:** A pleasing personality always attracts people. A leader should also be friendly and yet authoritative so that he inspires people to work hard like him.
- **Knowledge:** A subordinate looks up to his leader for any suggestion that he needs. A good leader should thus possess adequate knowledge and competence in order to influence the subordinates.
- **Integrity:** A leader needs to possess a high level of integrity and honesty. He should have a fair outlook and should base his judgment on the facts and logic. He should be objective and not biased.
- **Initiative:** A good leader takes initiative to grab the opportunities and not wait for them and use them to the advantage of the organization.
- **Communication skills:** A leader needs to be a good communicator so that he can explain his ideas, policies, and procedures clearly to the people. He not only needs to be a good speaker but also a good listener, counsellor, and persuader.
- **Motivation skills:** A leader needs to be an effective motivator who understands the needs of the people and motivates them by satisfying those needs.
- **Self-confidence and Will Power:** A leader needs to have a high level of self-confidence and immense will-power and should not lose it even in the worst situations, else employees will not believe in him.
- **Intelligence:** A leader needs to be intelligent enough to analyse the pros and cons of a situation and take a decision accordingly. He also needs to



have a vision and fore-sightedness so that he can predict the future impact of the decisions taken by him.

*Direction*

- **Decisiveness:** A leader has to be decisive in managing his work and should be firm on the decisions taken by him.
- **Social skills:** A leader should possess empathy towards others. He should also be a humanist who also helps the people with their personal problems. He also needs to possess a sense of responsibility and accountability because with great authority comes great responsibility.

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### Leadership Styles

Leadership style is the manner and approach of providing direction, implementing plans, and motivating people. The first major study of leadership styles was performed in 1939 by Kurt Lewin who led a group of researchers to identify different styles of leadership (Lewin, Lippit, White, 1939). In this section, you will learn about the different leadership styles.

- **Autocratic leadership style:** It refers to a style where the leader takes all the decisions by himself. Autocratic leadership style is a strong one-dimensional leadership style that gives full power or authority to the leader/boss/manager. In this style, the leader makes all the decisions without any consultation with subordinates or team members. He makes all the crucial calls which are then communicated to team members and they are expected to work on the instructions immediately. In a nutshell, the leader is the ultimate decision-maker in an autocratic leadership style.
- **Democratic leadership style:** It refers to a style where the leader consults its subordinates before taking the final decision. Unlike the above leadership style, the democratic leadership style is more participative in nature where the leader involves team members while making critical decisions. It works well for an organization where team members are highly skilled and experienced. The best part of this kind of leadership style is that the communication is active upward to downward. Also called participative leadership, it requires the leader to be intelligent, creative, considerate, and competent. In any workplace scenario, democratic leadership style is most preferred over other leadership styles.
- **Coaching leadership style:** It was debatable for quite some time to consider coaching as a **style of leadership** or not. However, it is one of the most effective leadership styles that doesn't lead directly but indirectly. In this leadership style, leaders are more like coaches or teachers which involves coaching or supervising team members. It is a relatively modern leadership style that is being employed more often by many organizations. It comes with a bouquet of additional benefits such as **boosting employee motivation, increasing their performance skills**, grooming, and motivating team members.

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- **Strategic leadership style:** According to Wikipedia, '*Strategic leadership is the ability to influence others to voluntarily make decisions that enhance the prospects for the organization's long-term success.*' In simple words, it refers to the leader's potential or capability to express a strategic vision for the organization and to persuade them to pursue that vision with the help of right strategies and tools. This leadership style enables you to create a team of team members which are well-trained and well-equipped to deal with unforeseen risks and threats. Strategic leadership style also creates more leaders and that's what leadership is all about!
- **Transformational leadership style:** Often considered as one of the most desirable leadership styles, it is all about creating a thriving work culture through effective communication in team. However, it demands a certain level of strategic vision and intellectual stimulation to initiate change in oneself and others in an organization. Transformational leadership focuses on setting high goals with strict deadlines and working in unison to accomplish them on time. This way transformational leaders set challenging expectations for themselves and the team to achieve exceptional results
- **Laissez-faire leadership style:** The literal meaning of the French word *laissez-faire* is '*let them do*' which can be translated as '*let it be*' in English. In such a leadership style, leaders delegate the responsibility to team members and let them work on their own with minimum or no interference. Laissez-faire leadership style gives the maximum scope for innovation and flexibility. It works best for the creative teams having self-motivated and experienced individuals who don't require that level of supervision and in vigilance.
- **Charismatic leadership style:** Leaders applying charismatic leadership style are the ones who automatically or rather smartly attracts a plethora of people with their charm and charisma. They are self-motivated, passionate, and confident. Leadership style like this can be used to build a powerful standing in the marketplace and gain a huge fan-following using their strong self-image. However, charismatic leadership style is considered less-favorable as the success or failure heavily relies on the leader and its impact. It is perceived more of a one-man show than a collective team effort.

Leadership is an important facet whether you are running a kitchen, an organization, or a country. It comes with its own set of responsibilities and challenges as each one of us has a distinct **style of leadership** and managing things. It is confusing to gauge what **leadership style** should be implemented when, where, and how. If you know your personality type and have clarity the kind of leadership that resonates with you the most, it won't be that difficult. There are dozens of leadership styles, but we've chosen the ones most relatable and relevant to the present-day scenarios.

#### 4.4.1 Meaning and Qualities of Successful Educational Leader

Direction

As per Zeeck, 'Leadership has a focus on effectiveness, that is, making sure the organization is doing the right things. Leaders create the vision, or the overriding strategic goals and objectives. Leaders specify the direction for the organization'. The leadership in education means directing the actions of individuals occupied in the preparation of minds in the direction of the attainment of certain desired objectives laid down by those individuals, prepared themselves for the same.

Bartky believes an educational leader is one who constantly attempts to get his decisions or objectives accepted by others. As any other leader his skill also depends on his ability to make important decisions and to persuade others to agree with the decisions taken by him.

A successful educational leader should have the following qualities:

- He must be sensitive to the feeling of others and should be thoughtful, helpful, easily approachable, responsible and friendly.
- He must be dedicated to his principles and views and respectful for the values, rights and dignity of others.
- He must be reliable, generous, liberal, humble, sincere, modest and impartial in dealing with others.
- He should have self-confidence and the capability to identify easily with colleagues.
- He should be concerned and take interest in convalescing with the group, at the same time also having the ability to get the work done efficiently, rapidly and cost-effectively.
- He must understand the need to avoid greed, envy, jealousy, and is ready to take blames for his mistakes.
- He should be firm but not arrogant or stubborn in making judgments and decisions.

#### Check Your Progress

4. State the primary purpose of educational leadership.
5. Who performed the first major study of leadership styles?
6. Which leadership style is also known as democratic leadership style?
7. Name the leadership style which gives maximum scope for innovation and flexibility.

#### NOTES

## 4.5 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

### NOTES

1. The ability of directing depends on available materials and financial resources, knowledge and skills of the manager and effective coordination.
2. In Free-rein directing/laissez faire, the supervisor does not participate actively in giving decisions.
3. Supervisors are responsible for their direct reports' progress and productivity in the organization. Supervision often includes conducting basic management skills (decision making, problem solving, planning, delegation and meeting management).
4. The primary purpose of educational leadership is to ensure academic success through process, material and training improvements. This is mainly accomplished through collaboration with different individuals, such as educators, parents, students, public policy makers and the public.
5. The first major study of leadership styles was performed in 1939 by Kurt Lewin who led a group of researchers to identify different styles of leadership (Lewin, Lippit, White, 1939).
6. Democratic leadership style is also known as participative leadership.
7. Laissez-faire leadership style gives the maximum scope for innovation and flexibility. It works best for the creative teams having self-motivated and experienced individuals who don't require that level of supervision and in vigilance.

## 4.6 SUMMARY

- Directing is one of the major functions of managerial process that assures the efficient working of organization to achieve the organizational objectives. It activates the concerned persons in a proper direction therefore directing is considered as life-spark of an educational institution.
- Directing involves the development of willingness to work, but to work with zeal and confidence, providing adequate guidelines to complete the task, motivating people to move towards the desired goals and exercising leadership, motivating people, determining accountability and developing guidelines for action.
- The ability of directing depends on available materials and financial resources, knowledge and skills of the manager and effective coordination. The process of directing is situational; need oriented and prompt and specific decisions acts as key for the process.

- Direction has following elements:
  - o Supervision
  - o Motivation
  - o Leadership
  - o Communication
- Directing is very important function of managerial process. It helps to initiate action by giving directives and guidance to employees as well as coordinate employee efforts and leads toward objectives. Directing ensures maximum output from individuals by providing ways to fulfilling and utilizing the potential and capabilities of employees. It facilitate changes by incorporating environmental/ external and internal changes in the organization and enable subordinates to contribute their best to attain the goals of the organization.
- Types of directing: There are three types of directing processes. A good manager uses any of these types of direction as per the nature and need of the organization.
  - o Consultative directing
  - o Free-rein directing/laissez faire
  - o Autocratic/dictatorial directing
- Supervision is one of the elements of direction besides motivation, leadership and communication. It is performed at all levels of management as it means guiding the efforts of employees and other resources to achieve the desired output.
- Supervisors are responsible for their direct reports' progress and productivity in the organization. Supervision often includes conducting basic management skills (decision making, problem solving, planning, delegation and meeting management).
- Educational leadership is a collaborate process that unites the talents and forces of teachers, students and parents. The goal of educational leadership is to improve the quality of education and the education system itself.
- The primary purpose of educational leadership is to ensure academic success through process, material and training improvements. This is mainly accomplished through collaboration with different individuals, such as educators, parents, students, public policy makers and the public. From a business perspective, educational leadership is a form of academic management and quality control.
- Educational leadership is the science of helping students achieves academic success through managing and improving educational programs. Educational leaders work with students of all ages and strive to help them reach their academic goals. Overall, competent and dedicated professionals are needed to provide excellent educational leadership in schools across the country.

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- Leadership style is the manner and approach of providing direction, implementing plans, and motivating people. The first major study of leadership styles was performed in 1939 by Kurt Lewin who led a group of researchers to identify different styles of leadership (Lewin, Lippit, White, 1939).
- Different leadership styles include: Autocratic leadership style, Democratic leadership style, Coaching leadership style, Strategic leadership style, Transformational leadership style, Laissez-faire leadership style, and Charismatic leadership style.
- The leadership in education means directing the actions of individuals occupied in the preparation of minds in the direction of the attainment of certain desired objectives laid down by those individuals, prepared themselves for the same. Bartky believes an educational leader is one who constantly attempts to get his decisions or objectives accepted by others. As any other leader his skill also depends on his ability to make important decisions and to persuade others to agree with the decisions taken by him.

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#### 4.7 KEY WORDS

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- **Direction:** It is that inter-personal aspect of management which deals directly with influencing, guiding, supervising, motivating subordinate for the achievement of organizational goals.
- **Supervision:** It means guiding the efforts of employees and other resources to achieve the desired output.
- **Leadership:** It refers to the process of influencing the behaviour of people in a manner that they strive willingly and enthusiastically towards the achievement of group objectives.
- **Leadership style:** It is the manner and approach of providing direction, implementing plans, and motivating people.

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#### 4.8 SELF ASSESSMENT QUESTIONS AND EXERCISES

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##### Short Answer Questions

1. What are the elements of direction?
2. List the different types of directing.
3. Mention the principles of directing.
4. State the key principles of educational leadership.
5. What are the qualities that a successful educational leader must possess?

## Long Answer Questions

Direction

1. Explain the role and functions of supervisors.
2. Examine the importance and features of leadership.
3. Discuss the qualities of a leader.
4. Assess the different leadership styles.

## NOTES

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### 4.9 FURTHER READINGS

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## NOTES

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**BLOCK - II**  
**MOTIVATIONAL THEORIES, EDUCATIONAL**  
**ORGANIZATIONS AND HUMAN RESOURCE**  
**MANAGEMENT**

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## UNIT 5 MOTIVATION

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**Structure**

- 5.0 Introduction
- 5.1 Objectives
- 5.2 Meaning of Motivation
  - 5.2.1 Types
- 5.3 Theories of Motivation
  - 5.3.1 Impact of Motivation on Educational Management and Motivating the Employees
- 5.4 Answers to Check Your Progress Questions
- 5.5 Summary
- 5.6 Key Words
- 5.7 Self Assessment Questions and Exercises
- 5.8 Further Readings

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### 5.0 INTRODUCTION

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People differ by nature, not only in their ability to perform a specific task but also in their will to do so. People with less ability but stronger will are able to perform better than people with superior ability and lack of will. Hard work is crucial to success and achievement. This belief was underscored by Albert Einstein when he said that ‘genius is 10 per cent inspiration and 90 per cent perspiration.’ This ‘will’ to do is known as motivation. In this unit, you will learn about the meaning, types and theories of motivation. You will also learn about the impact of motivation on educational management and the manner in which employees of educational institutions can be motivated.

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### 5.1 OBJECTIVES

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After going through this unit, you will be able to:

- Explain the meaning and types of motivation
- Describe the motivational theories
- Discuss the impact of motivation on educational management
- Explain the manner of motivating the employees of educational institutions



## 5.2 MEANING OF MOTIVATION

Motivation is related to the motives of the people—by what they are moved and activated to achieve their goal. Motivation may be understood differently by different people as incentives to work, motives to achieve goals, desire to possess something useful, drives to come forward for outstanding performance and so on. The Latin word ‘Movere’ is the basis of motivation. ‘Movere’ means to move. Motivation is the spirit of the people which is ignited by something, such as a message, appeal and so on. Since the level of self-realisation, spirit and power is different in different people, motivational factors have varying degrees of impact upon them. People are motivated by certain situations and actions. Some situations and actions are more interesting and highly inspiring than others and they are used for motivational purposes. In an organization, the job design, managerial relationship, reward system, performance appraisal and interaction with employees are important components of motivation. Motivational factors may be viewed from the angles of individual characteristics, supervisory factors, organizational factors, external factors, and so on.

The meaning of motivation has been given by different authorities in different ways. Bernard Berelson and Gary A. Steiner have given the definition: ‘A motive is an inner state that energises, activates or moves and directs or channels behaviour towards the goals.’ It reveals that motivation is an inner condition of people which energises people to work hard. Motivation arouses or incites activities. Motivation is used to direct employees to achieve goals in the right perspective. As a process of motivation, the management watches how employees start, stop and sustain the work spirit, so that they are properly directed and channelized towards the achievement of goals. S.P. Robbins has defined, “Motivation is the willingness to exert high levels of effort toward organizational goals, conditioned by the effort and ability to satisfy some individual need.” Motivation is exercised to achieve goals of employees and the organization. Employees are interested in satisfaction and the organization aims at achievement of the organizational goals. Motivation for achieving organizational goals tries to provide maximum satisfaction to employees by fulfilling their desires, needs and wishes. It takes place within a culture, reflects an organizational behaviour model and requires communication skills. Motivation is a successful communication method. It should understand employee’s drives and needs as well as their consistence with organizational goals.

Motivation is always directed towards achievement of high levels of work. Favourable jobs and high performance and quality of work, employees’ levels of performance and their qualifications are considered for motivation.

### Basic Model of Motivation

Motivation is based on need which is a feeling of lacking something. A feeling of need or unsatisfied need creates tension that stimulates drives within individuals.

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These drives generate search behaviour to find ways of satisfying the needs. It will try to achieve the goals. Satisfied needs reduce the tension and provide satisfaction.

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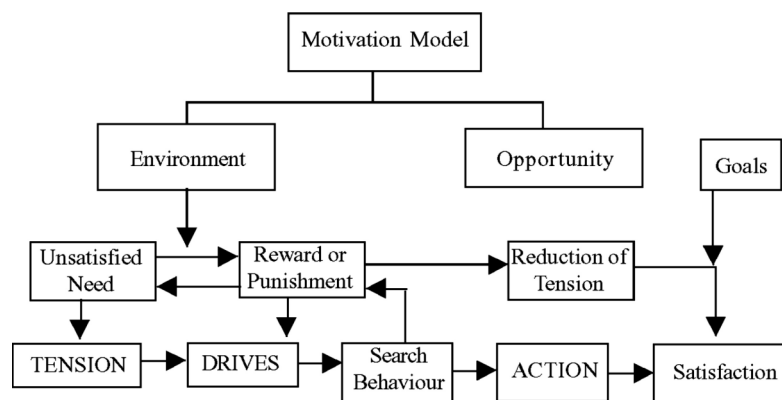


**Fig. 5.1** Motivation model

Need is a feeling of deficiency. It creates physiological and psychological imbalances which create tension in the mind of the employees. The employee's drives are energised and activated to find satisfaction through goal achievement. Drives are strong feelings of deprivation which target certain goals. They lead to action and provide energy for achievement. Drives lead to search for the proper action which will provide satisfaction. Goal achievement leads to reduction of tension. It restores physiological and psychological balance. Motivation is a natural process, wherein felt needs are recognised. Need creates a state of disequilibrium, i.e. tension which is to be reduced through behaviour. An individual will search for the right behaviour for getting satisfaction. He will select suitable strategies for the purpose if he is adequately qualified. Motivation therefore depends on ability, experience, education, background and skills of individuals. The satisfying tools may be financial and non-financial rewards and punishment. The motivation cycle leads to satisfaction. If the needs are unsatisfied, the motivation cycle is repeated till the needs are satisfied. During the process, unsatisfied employees may create some problems which should be solved immediately to satisfy the employees, as otherwise a vicious circle will be created which will mar the motivational process.

Motivation has drives which are based on the cultural environment in which the person lives. The cultural environment and drives affect the employees' desires to work and their approaches to the problems. Besides national characteristics, desires of achievement also influence motivation levels.

### 5.2.1 Types

Motivation has been observed in different forms and types, depending upon various environments, opportunities, goals, abilities and many other factors. These motivational factors are mainly divided into primary motivation and secondary motivation.

## Primary Motivation

Many motivation drives and motives are unknown to the individual, although they exist in them and motivate them indirectly. Since these drives and motives are physically attached to people, they are known as primary motivations. They are biological, and the word primary does not mean that these motives take precedence over other motives. Primary motivation are basically related to human needs for psychological satisfaction. Primary motivation are unlearned and natural, relating to physiological needs. Primary motivation may be of a general type which are naturally felt by the individual. They are competence motives, curiosity and affection. These primary motivational drives use manipulation and activity to achieve satisfaction. Satisfaction here means the fulfilment of basic human needs.

**Competence motives:** Natural motivation depends on several unknown factors such as competence, curiosity, etc. Many authors have tried to explore competence and other factors to find their impacts on primary motivation. For example, human and other organisms have the capacity to interact with the situation. They have the capacity, very well known as competence, to understand the situation, its exploration, manipulation and different functions. The capacity to interact with the environment has been termed competence motives by Robert W. White, who explained that competence motives receive substantial contributions from activities. They direct, select and persist with the environment. Competence to act, interact and counteract with the environment is the basic foundation of primary motivation. People try to have control over the environment or behave sensitively within the given environment. The competence motives vary with age, sex and education. Competence drives help children to learn many things automatically, e.g. riding a cycle, crossing a road, the reading habit, learning the mother's language, culture and so on. These basic factors or natural competence are explored, developed and sustained by children and are preserved in them till old age. The intensity of a child's competence motive shapes his adulthood motivation drives. Based on these competence motives, some employees prefer rough and tough jobs, others like to work on sophisticated machines while yet others feel happy with table work. While designing jobs and assigning them, competence motives are deeply considered to make the employees highly motivated to achieve their goals.

**Curiosity motives:** Primary motives have unlearned drives to explore and manipulate objectives. Curiosity is one of them, which inspires people to adopt a significant activity. Without curiosity, one cannot desire to learn and direct his activities. Many times, students express their curiosity to perform a particular function. Due to curiosity, they learn many new schemes. Employees are motivated, because they have a curiosity about development. In the absence of curiosity, employees become dormant and sleepy and will not take interest in organizational activities.

**Affection motives:** Primary motivation includes affection motives. Love and affection are part of human enjoyment, which are aimed at by the employees. People work because they want to support their families. If their family needs are

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fulfilled, they are inspired to work hard. Love and affection have become prime movers of people's activities.

**Human needs:** The primary motivation includes satisfying human needs. People work for satisfying individual and family needs of hunger, clothing, housing, education, etc. The present and future needs, need to be satisfied by working people. No one would like to work if the basic needs are not satisfied. Social and psychological needs are part of secondary motivation. Primary needs such as the need for food, water, air, comfort, shelter and safety are the prime motivation needs. These human needs are to be satisfied or for making individuals active.

### Secondary Motivation

Secondary motivation is learned whereas primary drives are unlearned and are as natural as feelings of thirst, hunger, etc. Secondary motives are learned and realised as a result of development. As human beings develop and learn many new ways of satisfaction and comfort, secondary motives crop up, which prevail in a cultured and educated society. Secondary motives do not remain secondary in a developed organization, rather they become essential for moving the activities of educated people. They become prime movers of developed people, because it is natural to feel these needs. Many authors have emphasised the separation of secondary motivation from primary motivation to retain the identity of each. Secondary motives are always learned. They are achievement motivation, affiliation motivation and power motivation.

**Achievement motivation:** People are achievement oriented. A perception test has revealed that many employees work for achievement of satisfaction while working in an organization and getting satisfaction thereof. Knowledge and learning have become helpful for developing achievement motivation. Many psychological tests have revealed the levels of achievement motivation. McClelland has devised techniques to measure Need for Achievement (NAch). He has revealed the qualities of high and low achievers. High achievers are not necessarily risk takers. They are cautious and careful persons. They are moderators. People believing in high achievement need immediate feedback. They find achievement an intrinsic satisfier. The material rewards and other results are not important to high achievers. They believe in work only and care little about the results and rewards. They are preoccupied with their work until the work is completed. They do not leave any work unfinished. However, high achievers are divided and live alone. They like peace and solitude. They are realistic, aim for excellence and show good behaviour.

Low achievement-oriented people do not bother about goals. They like to work for rewards and results and not for individual job satisfaction. They are pessimistic. They do not like subordinates to enjoy the fruits of achievement. They do not care about people and production. High achievers on the other hand are an asset to the organization as they feel personally responsible for action and results.

**Affiliation motivation:** Affiliation motivation is related to social motives. People like to be recognised by the society. Employees feel happy when they are complimented for services rendered. They get inner satisfaction while being in the company of friends and a large number of people. They like freedom to mix with other colleagues. If an employee is associated with some social organization, he is liked by his friends. Thus affiliation motives help people develop. Persons having affiliation attitudes are in a better position to manage their employees. The employees also enjoy working with an affiliation oriented manager, because the latter easily assigns tasks. He gets an opportunity to monitor work and direct work activities. Affiliation motives are useful for group dynamics.

**Power motivation:** Many people desire power in order to influence others. Power-oriented people are also management-oriented. Institutional power is better than individual power, because the former is used to influence the behaviour of employees to make them more productive. Qualified people prefer to seek power through legitimate means. They want leadership through successful performances.

#### Check Your Progress

1. What are the factors on which motivation depends?
2. Name the category of motivation which comprises affection motives.
3. Which type of motives are learned and realised as a result of development?

### 5.3 THEORIES OF MOTIVATION

There are basically two types of theories that relate to and define the motivational processes. These are the ‘content theories’ that attempt to determine and specify drives and needs that motivate people to work and ‘process theories’ that attempt to identify the variables that go into motivation and their relationship with each other. These theories are described in greater detail.

The content theories have been developed to explain the nature of motivation in terms of types of need that people experience. They attempt to focus on factors within a person that initiate and direct a certain type of behaviour or check certain other type of behaviour. The basic idea underlying such theories is that people have certain fundamental needs, both physiological and psychological in nature, and that they are motivated to engage in activities that would satisfy these needs. Thus the nature of needs establishes the nature of motivation that results in a specific behaviour aimed at reaching the goal of satisfying such needs.

#### Maslow’s Need Hierarchy

Maslow’s ‘needs hierarchy theory’ is probably the most widely used theory of motivation in organizations. Abraham Maslow suggested that people have a complex

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set of exceptionally strong needs and the behaviour of individuals at a particular moment is usually determined by their strongest need. He developed his model of human motivation in 1943, based upon his own clinical experience and formulated his theory of hierarchical needs by asking the same question, 'What is it that makes people behave the way they do?' and made a list of answers from which he developed a pattern. His theory is based upon two assumptions. First that human beings have many needs that are different in nature ranging from the biological needs at the lower level that is the level of survival, to psychological needs at the upper extreme that is the level of growth. Second that these needs occur in an order of hierarchy so that lower level needs must be satisfied before higher level needs arise or become motivators. Mahatma Gandhi, the Indian leader, once remarked that 'even God cannot talk to a hungry man except in terms of food.' - Similarly, there is a quotation from the Holy Guru Granth Sahib, the holy scripture of Sikhs in India that quotes a holy man saying to God, 'Take you rosary beads away. I cannot worship and meditate on you when I am hungry'. This means that if the people's basic needs that are biological in nature are unsatisfied, then their total attention will be focused upon these needs and it will not be possible to communicate with them about other matters.

This model of hierarchical needs explains human behaviour in a more dynamic and realistic manner and is primarily based upon people's inner states as a basis for motivation and the environmental conditions do not play any significant role. Maslow postulates five basic needs arranged in successive levels. These needs continue to change resulting in change in goals and activities. These five needs are arranged in the form as shown. The first three levels of needs at the bottom are known as 'deficiency' needs and they must be satisfied in order to ensure the individual's very existence and security and make him fundamentally comfortable. The top two sets of needs are termed 'growth' needs because they are concerned with personal growth, development and realization of one's potential. These needs are explained in detail as follows.

- **Physiological Needs**

The physiological needs form the foundation of the hierarchy and tend to have the highest strength in terms of motivation. These are primarily the needs arising out of physiological or biological tension and they are there to sustain life itself and include the basic needs for food, water, shelter and sex. Sexual need and desire is not to be confused with that which is at the third level. Once these basic needs are satisfied to the degree needed for the sufficient and comfortable operation of the body, then the other levels of needs become important and start acting as motivators.

- **Security and Safety Needs**

Once the physiological needs are gratified, the safety and security needs become predominant. These are the needs for self-preservation as against physiological needs that are for survival. These needs include those of security, stability, freedom from anxiety and a structured and ordered environment. These safety and security

needs are really provisions against deprivation of satisfaction of physiological needs in the future. It also involves a sense of protection against threats and danger of losing the job in the future. In a civilized society such as ours, a person is usually protected from threats of violence or extremes in climate or fear of material safety, so that the safety and security needs dwell upon economic and job security, life and medical insurance and other protective measures to safeguard the satisfaction of physiological needs in the future that may be unpredictable.

#### • Love and Social Needs

After the needs of the body and security are satisfied, a sense of belonging and acceptance becomes prominent in motivating behaviour. These needs include the needs for love, friendship, affection, and social interaction. We look for an environment where we are understood, respected and wanted. That is one reason for 'polarization' where people of similar background and beliefs tend to group together. 'Love thy neighbour' has perhaps a profound meaning.

#### • Esteem Needs

The need for esteem is to attain recognition from others that would induce a feeling of self-worth and self-confidence in the individual. It is an urge for achievement, prestige, status and power. Self-respect is the internal recognition. The respect from others is the external recognition and an appreciation of one's individuality as well as his contribution. This would result in self-confidence, independence, status, reputation and prestige. People then would begin to feel that they are useful and have some positive effect on their surrounding environment.

#### • Self-actualization Needs

This last need is the need to develop fully and to realize one's capacities and potentialities to the fullest extent possible, whatever these capacities and potentialities may be. This is the highest level of need in Maslow's hierarchy and is activated as motivator when all other needs have been reasonably fulfilled. At this level, the person seeks challenging work assignments that allow for creativity and opportunities for personal growth and advancement.

This need is for soul searching and is inner-oriented. A self-actualized person is creative, independent, content, and spontaneous and has a good perception of reality. He is constantly striving to realize his full potential. Thus, 'what a man 'can' be, 'must' be'.

Maslow's model is a general model in which all needs interact with each other to some degree. Needs are not necessarily linear, nor is the order of needs so rigid. The relative dominance of many needs is variable and is continuously shifting. For example, a self-actualized person may shift his priority to social needs and love needs instead of prestige and status, if suddenly there occurs a vacuum due to loss of a loved one. Similarly, a person may not go to the higher need, even when his lower needs are satisfied. It is also likely that a well-prepared elite person may decide to enter a commune where there is overwhelming emphasis on love and affection rather than climb the corporate ladder.

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Maslow's theory made management aware that people are motivated by a wide variety of needs and that management must provide an opportunity for the employees to satisfy these needs through creating a physical and conceptual work environment, so that people are motivated to do their best to achieve organizational goals.

The first level needs in the hierarchy, the physiological needs can be satisfied through such organizational efforts and incentives as adequate wages and salary, acceptable working conditions in order to improve comfort, and avoid fatigue, more leisure time and acceptable work environment in terms of lighting, ventilation, rest rooms, working space, heat and noise level. Some bonuses and other fringe benefits will be highly motivational.

The second level needs of safety and security can be satisfied through management's initiative to provide life insurance, medical insurance, job security, cost of living increments, pension plans, freedom to unionize, and employee protection against automation. The economic security to some degree is provided by law in the form of minimum wages, unemployment benefits, and welfare benefits. Similarly, unions protect employees against discrimination and indiscriminate firing.

Since first level physiological needs and second level security needs are primarily met by business, industrial, societal and legal environment, management must take steps to satisfy higher level needs and must establish as to which of these needs are the stronger sources of motivation.

When the third level needs of love and affiliation become motivators, then people find an opportunity in their work environment for establishing friendly interpersonal relationships.

The fourth level needs of self-esteem involve a feeling of satisfaction and achievement and recognition for such achievement.

The fifth and top-level needs of self-actualization demand growth and creativity.

Maslow believed that from the point of organizational behaviour, the management should strive to create an organizational hierarchy. Research has established that top managers generally are more able to satisfy their higher level needs than lower level managers who have more routine jobs. Blue collar workers who have very little freedom over job operations may not even experience the higher level need.

**Herzberg's Two-Factor Theory**

Fredrick Herzberg and his associates developed the two-factor theory in the late 1950s and early 1960s. As part of a study of job satisfaction, Herzberg and his colleagues conducted in-depth interviews with over 200 engineers and accountants in the Pittsburgh area. The researchers felt that a person's relation to his work is a basic one and that his attitude towards work would determine his organization related behaviour. The respondents were required to describe in detail the type of



environment in which they felt exceptionally good about their jobs and the type of environment in which they felt bad about their jobs. It seems natural to believe that people who are generally satisfied with their jobs will be more dedicated to their work and perform it well as compared to those people who are dissatisfied with their jobs. If the logic seems justified, then it would be useful to isolate those factors and conditions that produce satisfaction with the job and those factors that produce dissatisfaction.

The basic questions that were asked in the survey were the following two:

- (a) What is it about your job that you like? and
- (b) What is it about your job that you dislike?

Based upon the answers it was concluded that there are certain characteristics or factors that tend to be consistently related to job satisfaction and there are other factors that are consistently related to job dissatisfaction. Herzberg named the factors that are related to job satisfaction as motivational factors, that are intrinsic in nature and factors related to job dissatisfaction as maintenance or hygiene factors, that are extrinsic in nature. These factors are described in detail as follows.

### Hygiene Factors

Hygiene factors do not motivate people. They simply prevent dissatisfaction and maintain status quo. They produce no growth but prevent loss. The absence of these factors leads to job dissatisfaction. The elimination of dissatisfaction does not mean satisfaction and these factors simply maintain a 'zero level of motivation'. For example, if a person indicated 'low pay as a cause of dissatisfaction, it would not necessarily identify 'high pay' as a cause of satisfaction.

Some of the hygiene factors are

- Wages, salary and other types of employee benefits.
- Company policies and administration rules that govern the working environment.
- Interpersonal relations with peers, supervisors and subordinates. Cordial relations with all will prevent frustration and dissatisfaction.
- Working conditions and job security. The job security may be in the form of tenure or it could be supported by a strong union.
- Supervisor's technical competence as well as the quality of his supervision. If the supervisor is knowledgeable about the work and is patient with his subordinates and explains and guides them well, the subordinates would not be dissatisfied in this respect.

All the hygiene factors are designed to avoid damage to efficiency or morale and these are not expected to stimulate positive growth.

The word 'hygiene' is taken from the medical field, where it means taking steps to maintain your health but not necessarily improve it. For example, brushing

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your teeth helps prevent cavities but does not improve the condition of your teeth. Similarly, hygiene factors in this theory of motivation prevent decay but do not encourage growth.

Hawthorne experiments were highly conclusive in suggesting that improvements in working conditions or increments in financial benefits do not contribute to motivated performance. A new plant or upgraded facilities at a plant seldom motivate workers if they do not enjoy their work and these physical facilities are no substitute for employee feelings of recognition and achievement.

### Motivational Factors

These factors are related to the nature of work (job content) and are intrinsic to the job itself. These factors have a positive influence on morale, satisfaction, efficiency and higher productivity. Some of these factors are:

- The job itself
- Recognition
- Achievement
- Responsibility
- Growth and advancement

Herzberg's two-factor model is tied in with Maslow's basic model in that Maslow is helpful in identifying needs and Herzberg provides us with directions and incentives that tend to satisfy these needs. Also the hygiene factors in Herzberg's model satisfy the first three levels of Maslow's model of physiological needs, i.e. security, safety and social needs and the motivational factors satisfy the two higher level needs of esteem and self-actualization.

### ERG Theory

The ERG need theory, developed by Clayton Alderfer, is a refinement of Maslow's needs hierarchy. Instead of Maslow's five needs, ERG theory condenses these five needs into three needs. These three needs are those of Existence, Relatedness and Growth. The E, R and G are the initials for these needs.

- **Existence needs:** These needs are roughly comparable to the physiological and safety needs of Maslow's model and are satisfied primarily by material incentives. They include all physiological needs of Maslow's model and such safety needs that are satisfied by financial and physical conditions rather than interpersonal relations. These include the needs for sustenance, shelter and physical and psychological safety from threats to people's existence and well-being.
- **Relatedness needs:** Relatedness needs roughly correspond to social and esteem needs in Maslow's hierarchy. These needs are satisfied by personal relationships and social interaction with others. It involves open communication and honest exchange of thoughts and feelings with other organizational members.

- **Growth needs:** These are the needs to develop and grow and reach the full potential that a person is capable of reaching. They are similar to Maslow's self-actualization needs. These needs are fulfilled by strong personal involvement in the organizational environment and by accepting new opportunities and challenges.

### Vroom's Expectancy Model

The expectancy model is based upon the belief that motivation is determined by the nature of the reward people expect to get as a result of their job performance. The underlying assumption is that a man is a rational being and will try to maximize his perceived value of such rewards. He will choose an alternative that would give him the most benefit. People are highly motivated if they believe that a certain type of behaviour will lead to a certain type of outcome and their extent of personal preference for that type of outcome.

There are 3 important elements in the model. These are:

- **Expectancy:** This is a person's perception of the likelihood that a particular outcome will result from a particular behaviour or action. This likelihood is probabilistic in nature and describes the relationship between an act and its outcome. For example, if a student works hard during the semester, he will expect to do well in the final examination. It is not 100 per cent definite that he will indeed do well in the examination. There is some probability attached to this outcome. Similarly, if a person works hard, he may expect to perform better and increase productivity. For example, a worker works hard and is absolutely certain (expectancy = 1.0) that he can produce an average of 15 units a day and 60 per cent certain (expectancy = 0.6) that he can produce a high of 20 units per day. This expectation of outcome is known as 'first level' outcome.
- **Instrumentality:** This factor relates to a person's belief and expectation that his performance will lead to a particular desired reward. It is the degree of association of first level outcome of a particular effort to the second level outcome—that is the ultimate reward. For example, working hard may lead to better performance—which is the first level outcome, and it may result in a reward such as salary increase or promotion or both—which is the second level outcome. If a person believes that his high performance will not be recognized or lead to expected and desired rewards, he will not be motivated to work hard for better output. Similarly, a professor may work hard to improve upon his techniques of teaching and communication (first level outcome) in order to get promotion and tenure (second level outcome). Accordingly, instrumentality is the performance-reward relationship.
- **Valence:** Valence is the value a person assigns to his desired reward. He may not be willing to work hard to improve performance if the reward for such improved performance is not what he desires. It is not the actual value of the reward but the perceptual value of the reward in the mind of the

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worker that is important. A person may be motivated to work hard not to get a pay raise but to get recognition and status. Another person may be more interested in job security than status.

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### McGregor's Theory X and Theory Y

Douglas McGregor (1906–64) was a professor of industrial management at Massachusetts Institute of Technology (MIT) for most part of his career. His contribution to management thought lies in his proposal that a manager's assumptions about the role of employees determines his behaviour towards them. According to him, the classical organization - with its highly specialized jobs, centralized decision-making and communication from top downwards through the chain of command was not just a product of the need for productivity and efficiency, but instead it was a reflection of certain basic managerial assumptions about human nature. These assumptions, that McGregor somewhat arbitrarily classified were designated as Theory X. Theory X identified the classical approach to management based upon the ideas generated in the late 1800s and early 1900s, and was primarily based upon the assumption about economic rationality of all employees. This evolved around the classical assumption of Adam Smith that people are motivated by economic incentives and they will rationally consider opportunities that provide for them the greatest economic gain. To the classical thinkers, an efficiently designed job, efficiency centred organization and proper monetary incentives to workers were the proper tools of motivation.

This approach was effective because it was a product of its times. In the late nineteenth century and early twentieth century, technology change was relatively slow and predictable, labour was abundant, competitors were known and productivity was the main focus.

This approach was based on the following assumptions.

#### Theory X Assumptions

1. Most people dislike work and avoid it whenever possible.
2. They need to be directed, controlled and threatened with punishment in order to move them to work and achieve organizational goals.
3. An average person is lazy, shuns responsibility, prefers to be directed, has little ambition and is only concerned with his own security.
4. Most people avoid leading and want to be led and supervised. They are unwilling to accept responsibility.

McGregor believed that managers who hold Theory X assumptions are likely to treat workers accordingly. These managers practice an autocratic management style and may use the threat of punishment to induce employee productivity. The communication is primarily directed downwards and the environment is characterized by minimal manager-employee interaction.

In contrast, Theory Y emphasizes management through employee input and delegation of authority. According to Theory Y, managers make the following assumptions.

### Theory Y Assumptions

1. Work is natural to most people and they enjoy the physical and mental effort involved in working, similar to rest or play.
2. Commitment to goals and objectives of the organization is also a natural state of behaviour for most individuals.
3. They will exercise self direction and self control in pursuit and achievement of organizational goals.
4. Commitment to goals and objectives is a function of rewards available, especially the rewards of appreciation and recognition.
5. Most people have the capacity for innovation and creativity for solving organizational problems.
6. Many individuals seek leadership roles in preference to the security of being led.

Managers who hold Theory Y assumptions treat their workers as responsible persons and give them more latitude in performing their tasks. Communication is multidimensional and managers interact frequently with employees. These managers encourage innovation and creativity, minimize the use of supervision and controls and redesign the work to make it more interesting and satisfying with regard to higher level needs of workers such as self-esteem and self-actualization. They integrate individual goals and organizational goals so that with commitment and dedication, both goals are achieved at the same time.

Compared to Theory X, Theory Y has the greater potential to develop positive job relationships and motivate employee performance. It must be understood, however, that in some situations where workers do require close supervision and greater controls, Theory X assumptions are more effective in achieving organizational goals.

### McClelland's Theory of Needs

Since the lower level needs in Maslow's model are generally satisfied by the business, societal and legal systems, they are no longer strong motivators. Studies conducted by Harvard psychologist David McClelland concluded that from the organizational behaviour point of view, the most prominent need is the 'achievement motive' and affiliation. The primary motive is the 'achievement motive' and is defined as a 'desire to succeed in competitive situations based upon an established or perceived standard of excellence.'

Individuals with a strong 'need for achievement' (N-Ach), ask for, accept and perform well in challenging tasks, that require creativity, ingenuity and hard

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work. They are constantly preoccupied with a desire for improvement and look for situations in which successful outcomes are directly correlated with their efforts so that they can claim credit for success. They take moderate and calculated risks and prefer to get quick and precise feedback on their performance. They set more difficult but achievable goals for themselves because success with easily achievable goals hardly provides a sense of achievement. They desire greater pleasure and excitement from solving a complex problem than from financial incentives or simple praise.

The “need for power” (N-Pow) is the desire to affect and control the behaviour of other people and to manipulate the surroundings. Power motivation, when applied positively, results in successful managers and leaders who prefer democratic style of leadership. Power motivation, applied negatively, tends to create arrogant autocratic leadership. The individuals who are high in (N-Pow) are described by Litwin and Stringer as follows.

“They usually attempt to influence others directly—by making suggestions, by giving their opinions and evaluations and by trying to talk others into things. They seek positions at leadership in group activities, whether they become leaders or are seen only as “dominating individuals” depends on other attributes such as ability and sociability. They are usually verbally fluent, often talkative, sometimes argumentative.”

These individuals tend to be superior performers and show high degree of loyalty to the organization. They are more mature, with a strong sense of justice and equity and are willing to sacrifice their own self interests for the sake of organizational interests.

The “need for affiliation” (N-AFFil) is related to social needs and reflects a desire for friendly and warm relationships with others. Individuals tend to seek affiliation with others who have similar beliefs, backgrounds and outlook on life. This results in the formation of informal groups and informal organizations. It is evident in social circles also that people mix with people of their own kind. Individuals with high “nAff” tend to get involved in jobs that require a high amount of interpersonal contacts and relations such as jobs in teaching and public relations. From organizational behaviour point of view, these individuals are highly motivated to perform better in situations where personal support and approval are tied to performance.

### William Ouchi’s Theory Z

**Theory Z** is the name given to the ‘Japanese Management’ style that popularized during the Asian economic boom of the 1980s. **William Ouchi**, developed the theory Z in his book ‘*Theory Z: How American Management can Meet the Japanese Challenge*’ published in 1981.

According to Dr William Ouchi, Theory Z management tends to promote stable employment, high productivity, and high employee morale and satisfaction. Ouchi believes that the people are innately self motivated to do their work, and are also loyal towards the company. They work for the success and progress of

the organization. The managers, who follow theory Z, must trust their workers and the sound decisions (if beneficial) given by them.

The conflict may occur within the workers of Theory Z as it involves a great deal of discussion, collaboration, and negotiation; but the workers themselves solve the conflicts, while the managers play a 'third party arbitrator' role. Theory Z emphasizes more frequent performance appraisals, but slower promotions.

Ouchi's theory Z makes certain assumptions about the workers. The assumption that the workers build cooperative and intimate working relationships with the organization they work for and with, and also with the people who work for them. Theory Z workers need to be supported by the company, and highly value a working environment where family, cultures and traditions, and social institutions are given equal importance as the work itself. These types of workers have a very well developed sense of order, discipline, and moral obligation to work hard, and also a sense of cohesion with their fellow workers.

### **Characteristics of the Theory Z**

- Long-term employment
- Collective responsibility
- Implicit, informal control with explicit, formalized measures
- Collective decision-making
- Slow evaluation and promotion
- Moderately specialized careers
- Concern for a total person, including their family

Finally, Theory Z workers can be trusted to do their jobs to their utmost ability, and that management must have a high degree of confidence in its workers in this type of participative management. For this, employees must be very knowledgeable about the various issues of the company, as well as they should have the ability and competence to make wise decisions.

Though several similarities and differences surround the ideas of McGregor and Ouchi, but the most obvious comparison is that they both deal with perceptions and assumptions about the worker. Ouchi's Theory Z explains that how the workers might perceive management. Thus work motivation is one of the key areas of organizational psychology and the motivation and organization theory is described as an interdisciplinary study that examines the structure and functioning of organizations and the behaviour of the people within the organizations.

### **Porter-Lawler Model**

The Porter Lawler model was developed by Lyman W. Porter and Edward E. Lawler as a complete version of motivation depending upon the expectancy theory. The Porter Lawler model says that the levels of motivation are based more on the value that individuals place on the reward.

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The actual performance in a job is mainly determined by the effort spent by an individual to perform a particular job. It is also affected by the ability of an individual to do the job and also by perception that an individual has about the required task. Therefore, performance is the responsible factor that leads to intrinsic as well as extrinsic rewards. These provides job lead to satisfaction to an individual. Hence, satisfaction of the individual depends upon the fairness of the reward.

The porter lawler model is based on the Vroom's model but it is more complex in a number of ways. According to this model, increased effort does not automatically lead to improved performance because individuals may not possess the necessary abilities needed to achieve high levels of performance. It is also because they may have an inadequate or wrong perception of how to perform the necessary tasks. Individuals may exert considerably without understanding how to direct effort effectively. This does not lead him to good performance but rather gives less output than expected.

**Adam's Equity Theory of Motivation**

Equity theory is based on the assumption of some researchers that one of the most widely assumed sources of job dissatisfaction is the feeling of the employees that they are not being treated fairly by the management or the organizational system. For example, let us assume that there are two professors up for promotion and both of them have similar backgrounds and academic achievement. If one gets the promotion and the other does not, the professor being denied the promotion will feel that the politics of the system was not just and that he was unfairly treated. This would result in job dissatisfaction to some degree. This dissatisfaction is a result of comparison with the professor who got the promotion. Suppose that neither one of the two professors got the promotion and one of them felt that he deserved it. This would also be a cause for job dissatisfaction.

Hence, 'Equity theory' has two elements, First, the workers want to get a fair reward for their efforts. Second, you would compare your rewards with the rewards of others who put in similar efforts.

Equity theory is based upon the recognition that employees are not only concerned with the rewards that they receive for their efforts but also with the relationship of their rewards with the rewards received by others. They make judgments of equity or inequity between their input and outcomes and the inputs and outcomes of others. For comparison purposes, the inputs can be considered as efforts, skills, education, experience, competence and outputs can be considered as salary levels, recognition, raises, status and other privileges. When such inequity exists, whether it is perceived or real, employees will feel uneasy about it and will tend to take steps that will reduce or eliminate this inequity. These steps may result in lower or higher productivity, improved or reduced quality of output, increased



dedication and loyalty or uncaring attitudes, protests against inequity and voluntary resignations.

Equity theory proposes that under-rewarded employees tend to produce less or produce products of inferior quality than equitably rewarded employees, and over-rewarded employees tend to produce more or product of higher quality than equitably rewarded employees.

It must be realized that inequity exists when people are either ‘underpaid’ or ‘overpaid’ for similar efforts. However, they are more willing to accept overpayment and justify such overpayment rather than take steps to reduce this inequity.

As formulated by Adams, ‘the equity theory comprises the following postulates:

- Perceived inequity creates a feeling of resentment and tension within individuals.
- The extent of this tension reflects the magnitude and type of inequity.
- Individuals will be motivated to take steps to reduce this tension.
- The greater the extent of perceived inequity, the greater is the strength of such motivation.

There are a number of steps that a person can take in order to reduce the tension caused by perceived inequity. It must be understood that inequity exists only in the perception of the individual. It may or may not be real. If people are satisfied in spite of any inequity that might exist or if they can justify inequity by one way or another then in their own perceptions, such inequity does not exist.

### **5.3.1 Impact of Motivation on Educational Management and Motivating the Employees**

Employees engaged in the educational management are not very different from the employees working in other organizations. Alternatively, the educational institutes can be considered to be like other organizations, therefore the management including staff and non-staff employees have similar concerns when it comes to motivation. The management in educational institutions could find the following issues of value when trying to motivate their employees: value of the professional, task enrichment, organizational climate, flexibility in the work schedule, the establishment of objectives, information sharing, rewards, financial and non-financial incentives. The following are some of the ways in which employees at educational institutions can be motivated: treating the employees as partners, avoiding the use of fear or punishment as motivation, Fostering creativity, Encouraging new ideas and giving freedom wherever necessary, making sure the right employees are in the right positions, listening to the employees, using incentive programmes sparingly and holding on to your star employees to not only improve the productivity and efficiency but also work culture. It is very important to bear in mind that employee motivation factors and interventions will differ at different educational institutes.

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**NOTES****Check Your Progress**

4. What are deficiency needs?
5. Which factors of Herzberg's model satisfy the first three levels of Maslow's model of physiological needs?
6. State the underlying assumption of Vroom's expectancy model.
7. Mention the name given to the 'Japanese Management' style that popularized during the Asian economic boom of the 1980s?

## **5.4 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS**

1. Motivation depends on ability, experience, education, background and skills of individuals.
2. Affection motives come under primary motivation.
3. Secondary motives are learned and realised as a result of development.
4. The first three levels of needs at the bottom of the Maslow's need hierarchy are known as 'deficiency' needs and they must be satisfied in order to ensure the individual's very existence and security and make him fundamentally comfortable.
5. The hygiene factors in Harzberg's model satisfy the first three levels of Maslow's model of physiological needs, i.e. security, safety and social needs.
6. The underlying assumption of the Vroom's expectancy model is that a man is a rational being and will try to maximize his perceived value of such rewards. He will choose an alternative that would give him the most benefit.
7. Theory Z is the name given to the 'Japanese Management' style that popularized during the Asian economic boom of the 1980s. William Ouchi, developed the theory Z in his book 'Theory Z: How American Management can Meet the Japanese Challenge' published in 1981.

## **5.5 SUMMARY**

- Motivation is related to the motives of the people—by what they are moved and activated to achieve their goal. Motivation may be understood differently by different people as incentives to work, motives to achieve goals, desire to possess something useful, drives to come forward for outstanding performance and so on. The Latin word 'Movere' is the basis of motivation. 'Movere' means to move. Motivation is the spirit of the people which is ignited by something, such as a message, appeal and so on.

- Motivation has been observed in different forms and types, depending upon various environments, opportunities, goals, abilities and many other factors. These motivational factors are mainly divided into primary motivation and secondary motivation.
- The content theories of work motivation explain the nature of motivation in terms of types of need that people experience. The concept of motivation is explained by the fact that people have certain fundamental needs, both physiological and psychological in nature and that they are motivated to engage in activities that would satisfy these needs.
- Abraham Maslow built the needs into an hierarchy in order of priority. The most fundamental needs are the physiological needs such as food, clothing, shelter and so on. Then in order came the needs for safety and security, as love and affection, need for respect and self-esteem and finally the self-actualization need that is considered to be the ultimate fulfillment of life. Management can motivate workers by identifying their need level and taking steps to fulfill these needs.
- ERG theory, developed by Clayton Alerter, condenses the five needs proposed by Maslow into three and ERG stands for Existence, Relatedness and Growth. The existence needs are roughly comparable to physiological and safety needs of Maslow's model and are satisfied primarily by material incentives. Relatedness needs roughly correspond to social and self-esteem needs and finally, the growth needs are similar to self-actualization needs.
- McClelland's theory of needs is based upon the premise that lower level needs in Maslow's model are generally taken care of by business, societal and legal systems and hence are no longer motivators. According to this theory, the most prominent need from organizational behaviour point of view is the need for achievement, power and affiliation. The individuals with a high degree of need for achievement, power and affiliation are highly motivated to move towards fulfilling these needs at the highest levels.
- Herzberg's two-factor theory classifies all the work related factors into two categories. First category contains factors that are known as hygiene factors. These factors prevent dissatisfaction but do not motivate. Some of these factors are wages and benefits, working conditions, organizational rules and policies, cordial relations with peers and superiors, job security and so on.
- The process theories of motivation put forth hypothesis as to how motivation occurs and identify some of the variables that induce motivation. One such theory is Vroom's expectancy model. This model is based upon the belief that motivation is determined by the nature of reward people expect to get

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as a result of their job performance. The nature of reward refers to the perceived value that the employee assigns to such a reward. This means that a person will be willing to work hard if he believes that such hard work will lead to better performance and such performance will lead to reward that the employee values.

- Another process theory of motivation is the equity theory. This theory suggests that employees will be motivated to work hard if they sincerely believe that they are being treated by the management fairly and equitably. This means that employees are not only concerned with the reward that they receive for their efforts but also with the relationship of their rewards with the rewards received by others and this would determine the fairness of their rewards in their own minds.
- Employees engaged in the educational management are not very different from the employees working in other organizations. Alternatively, the educational institutes can be considered to be like other organizations, therefore the management including staff and non-staff employees have similar concerns when it comes to motivation. The management in educational institutions could find the following issues of value when trying to motivate their employees: value of the professional, task enrichment, organizational climate, flexibility in the work schedule, the establishment of objectives, information sharing, rewards, financial and non-financial incentives.

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## 5.6 KEY WORDS

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- **Self-actualization needs:** This is the need to develop fully and to realize one's capacities and potentialities to the fullest extent possible, whatever these capacities and potentialities may be.
- **Expectancy:** This is a person's perception of the likelihood that a particular outcome will result from a particular behaviour or action. This likelihood is probabilistic in nature and describes the relationship between an act and its outcome.
- **Instrumentality:** This factor relates to a person's belief and expectation that his performance will lead to a particular desired reward. It is the degree of association of first level outcome of a particular effort to the second level outcome—that is the ultimate reward.
- **Valence:** Valence is the value a person assigns to his desired reward; he may not be willing to work hard to improve performance if the reward for such improved performance is not what he desires.

## 5.7 SELF ASSESSMENT QUESTIONS AND EXERCISES

### Short Answer Questions

1. Write a short note on the basic model of motivation.
2. What are the three important elements of the Vroom Expectancy Model?
3. Briefly explain William Ouchi's Theory Z.
4. Write a short note on Adam's Equity Theory of Motivation.

### Long Answer Questions

1. Explain the concept of primary and secondary motivation.
2. Discuss Maslow's Need Hierarchy.
3. Describe Herzberg's Two-Factor Theory.
4. Examine McGregor's Theory X and Theory Y.

## 5.8 FURTHER READINGS

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# UNIT 6 EDUCATIONAL ORGANIZATIONS

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### Structure

- 6.0 Introduction
- 6.1 Objectives
- 6.2 Meaning, Types and Characteristics of Educational Organizations
- 6.3 Educational Management
- 6.4 Development of Management Thought: Practice with Special Reference to Contributions of Taylor and Fayol and Principles of Management
- 6.5 Answers to Check Your Progress Questions
- 6.6 Summary
- 6.7 Key Words
- 6.8 Self Assessment Questions and Exercises
- 6.9 Further Readings

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## 6.0 INTRODUCTION

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In the present era of Liberalization, Privatization and Globalization (LPG), there has been vast growth in each and every field. Different organizations and institutions have been established by the society for organizing various activities. Infrastructure, machinery and human resource are essential components of every organization. Due to this extensive growth of infrastructure and human resource, it has not been easy to manage them for optimum performance. This is true for every field of life, e.g. government, trade, industry, education, etc. The concept of management arises since every field requires precise management of activities. Education is a core medium of developing a country in expected direction. The formal institutions of education such as schools, institutes, colleges and universities require proper management to achieve specific educational objectives.

Management in educational institution is an essential requirement of the day. In this unit we will discuss the concept of educational management in detail along with the concept of development of management though with special reference to contributions of Taylor and Fayol. This unit will also describe the meaning, types and characteristics of educational organizations.

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## 6.1 OBJECTIVES

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After going through this unit, you will be able to:

- Explain the meaning, types and characteristics of educational organizations
- Describe the concept of educational management

- Discuss the development of management thought and contributions of Taylor and Fayol

## 6.2 MEANING, TYPES AND CHARACTERISTICS OF EDUCATIONAL ORGANIZATIONS

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Educational organization has multiple meanings depending on the field and setting in which it is being applied. In educational psychology, educational organization is organization within the scope of education. It deals with the theory of organization as it applies to education of the human mind. In school reform, educational organization is the way an educational system operates. Educational organization may also refer to non-profit agencies providing educational services. You have already learnt about the differentiation organizations for education administration in Unit 3, in this unit, you will learn about the different educational organizations in the Indian school education system.

The Indian school education system can be segmented in either of the following ways:

- by means of levels of education
- by means of ownership of educational institutions
- by means of educational board affiliations

### 1. Segmentation by means of levels of education:

The Indian education system is structured as follows:

- **Pre-school:** Education at this level is not compulsory. The Montessori system is especially popular at the pre-school level
- **Private play schools:** Catering for children between the ages of 18 months and three years.
- **Kindergarten:** This is divided into lower kindergarten (for three- to four-year-olds) and upper kindergarten (for four- to five-year-olds)
- **Primary school:** First to fifth standard/class/ grade (for six- to ten-year-olds)
- **Middle school/Upper Primary school:** Sixth to eighth standard/class/ grade (for 11- to 14-year-olds)
- **Secondary school:** Ninth and tenth standard/ class/grade (for 14- to 16-year-olds)
- **Higher secondary or pre-university:** 11th and 12th standard/class/grade (for 16- to 18-year-olds).

**Pre-school system in India:** Various types of pre-primary schools are available in India and more children are now attending Preschool (NIPCCD, 2006) indicating an increase in demand for education at this stage. Provision of early childhood

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care and education, especially for the most vulnerable and disadvantaged children, is one of the six Education For All goals. In India, preschool education is provided by private schools and government ICDS (Anganwadi) centres. In addition, there are some ECCE (Early Childhood Care and Education) centres running under SSA (Sarva Shiksha Abhiyan). According to the estimate given by the Seventh All India Education Survey, there are 493,700 pre-primary institutions in India.

**Primary schooling system in India:** Primary education starts at approximately 5–6 years of the child and lasts for around 4–5 years. Primary school education gives students a sound basic education in reading, writing and mathematics along with an elementary understanding of social sciences.

**Upper primary schooling system in India:** Upper primary education is of three years duration and starts for students aged between 10–11 years. It usually continues up to 13–14 years. At this stage, education consists of the basic programs of primary school level, though teaching is more subject-focused.

**Secondary schooling system in India:** Secondary school education comprises of two years of lower secondary and two years of higher secondary education. The lower secondary level is for students aged 14 to 16 years. Admission requirement is the completion of upper primary school education. Instruction is more organized along specific subjects.

**Higher secondary schooling system in India:** Senior secondary education comprises two years of higher secondary education, which starts at approximately 16 years and ends at the 17th year of the child. At the senior secondary level, a student can choose particular subjects/vocations (keeping requirement of educational boards and preferences in view).

### **B. Segmentation by means of ownership of educational institutions:**

Schools in India are owned either by the government (central/ state/ local government bodies) or by the private sector (individuals, trusts or societies).

Schools can thus be segmented as:

- **Government educational institutions:** These are run by the Central Government or state governments, public sector undertaking or autonomic organizations and are wholly financed by the government. Examples of these types of schools include state government schools, Kendriya Vidyalayas, Ashram schools, Navodaya Vidyalayas, Sainik Schools, Military schools, Air Force schools, and Naval schools.
- **Local body institutions:** These are run by municipal committees/ corporations/ NAC/ Zilla Parishads/ Panchayat Samitis/ Cantonment Board, etc. Examples of these types of schools include the ones run by NDMC (New Delhi Municipality Council), Delhi Cantonment Board, etc.
- **Private-aided institutions:** These are managed privately but receive regular maintenance grant from the government, local body or any other public



authority. The rules and regulations followed here are same as that of the public schools. The curriculum, study materials, syllabus, examinations, etc. for each class of education are done according to the government rules. For the high school classes the final examinations will be same as that of the public schools. In these institutions the education would be provided for all students taking admissions there. The fee structure, PTA fund, etc will be collected from the students according to the rules formulated by the government for each school. Even the recruitment of faculties here will depend on the norms as per the government schools. There will be no specific criteria for the admission of students in these institutions.

- **Private unaided institutions:** These are managed by an individual or a private organization and do not receive maintenance grant either from government, local body or any other public authority. The fee structure for the students may vary greatly from that of the government institutions. The students are admitted to these institutions according to some criteria (entrance examinations, interviews, etc.) and it is totally under the control of the private management. These schools generally create their own curriculum and organize examinations for evaluating the student competency.

### C. Segmentation by means of educational board affiliations

Education in India falls under the control of The National Council of Educational Research and Training (NCERT). As you have learnt before, it is an apex resource organization set up by the Government of India, with headquarters at New Delhi, to assist and advise the Central and State Governments on academic matters related to school education. The NCERT provides support and technical assistance to a number of schools in India and oversees many aspects of enforcement of education policies. The objective of NCERT is to assist and advise the Ministry of Education and Social Welfare in the implementation of its policies and major programmes in the field of education, particularly school education. Its functions include Research, Development, Training, Extension, Publication and Dissemination and Exchange Programmes. The NCERT also drafts, publishes and recommends school text books (from Class 1–12) of various subjects based on the recommendations of knowledgeable faculty in the subject. In India, the various curriculum bodies governing school education system are:

#### National Boards

- **Central Board of Secondary Education (CBSE):** Established in 1962 under the purview of MHRD, CBSE gives affiliations to both public and private schools. There are currently about 15,167 schools affiliated under CBSE. The board conducts final examinations, All India Senior School Certificate Examination (AISSCE) for classes X and XII. It also annually conducts the AIEEE and AIPMT examinations for admission to undergraduate courses in engineering (and architecture) and medicine in

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numerous colleges spread over India. CBSE is recognised by the Indian government and by most of the universities and colleges in India.

- **Council of Indian School Certificate Examinations (CISCE):** It is a private, non-governmental education board in India. It conducts the ICSE (for class X) and ISC (for class XII) examinations in India. About 1,900 schools are affiliated with the CISCE board. The board was set up in 1956 at the meeting of the Inter-State Board for Anglo-Indian Education, where a proposal was adopted for the setting up of an Indian Council to administer the University of Cambridge Local Examinations Syndicate's Examinations in India. It was recognized as a body conducting public examinations in India by the Delhi Education Act, 1973, passed by Parliament, in Chapter 1 under Definitions Section 2 (s).
- **State Government Boards:** These educational boards are regulated and supervised by the state apex organization for secondary and senior secondary education. A portion of the curriculum focuses specifically on imparting knowledge about the state. Majority of Indian schools are affiliated with the state government boards. The oldest state board is the U.P. Board of High School & Intermediate Education established in 1922 as an autonomous body under the Department of Education. Uttar Pradesh has the highest number of State board schools followed by Madhya Pradesh, Rajasthan, Andhra Pradesh and Maharashtra.
- **National Institute of Open Schooling (NIOS):** It is the board of education for distance education, under the Union Government of India. It was established by the Ministry of Human Resource Development of the Government of India in 1989 (known as National Open School then) to provide education inexpensively to remote areas. It provides a number of vocational, life enrichment and community-oriented courses besides general and academic courses at secondary and senior secondary level. Currently there are 3,827 academic centres, 1,830 vocational centres and 690 accredited agencies under NIOS.

### International Boards

- **International Baccalaureate Organization (IBO):** IBO was founded in 1968 as an international, non-governmental, non-profit educational organization based in Geneva, Switzerland. IB World Schools in India offer three IB programs—primary years program (PYP), middle years program (MYP) and IB Diploma program (IBDP). There are 109 IB World Schools in India offering one or more of the three IB programmes. 50 schools offer the PYP, 11 schools offer the MYP and 96 schools offer the IBDP. IB is recognised by the 'Association of Indian Universities' as an entry qualification (equivalent to +2 qualification of an Indian Board) to all the universities.

- **Cambridge International Examinations (CIE):** Cambridge International Examinations (formerly known as University of Cambridge International Examinations), are a provider of international qualifications offering examinations and qualifications in more than 160 countries. They are an examination board under Cambridge Assessment, founded in 1858 as a department of the University of Cambridge. There are now over 310 Cambridge schools in India making over 44,000 examination entries for Cambridge IGCSE and Cambridge International AS and A Level, a rise of 15 per cent since 2012.

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### Check Your Progress

1. What constitutes the upper primary schooling system in India?
2. What are private-aided institutions?
3. Which institution conducts the ICSE (for class X) and ISC (for class XII) examinations in India?

## 6.3 EDUCATIONAL MANAGEMENT

You have already learnt about the concept of educational management in preceding units, in this section, you will study its importance. Social, economic and cultural development are major concerns of our national policy and is only possible with social change, i.e. education. As we all know the developments in the field of knowledge is the result of education and its byproducts. Education is the most powerful tool to develop and provide human resource to the country. Education also provides specialist of different areas and civilized citizens of society. In other words, education is the medium of building a strong nation and it is more important for a developing nation like India.

For this purpose following consideration must be taken into account:

- To cope up the need and changing demands of the society the curriculum must be prepared in way that it should be on the lines of national policy.
- The process of education should be such that it can contribute towards accomplishment of national development goals.
- Education must develop our students as efficient human resource for our country and bring desirable social change without causing any harm to the existing culture.

The conclusion from the above discussion is that if we want to achieve national goals of education, proper and efficient management of educational system is a must and is the key to success of all educational aims stated in national policy of education.

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Therefore study of following educational management is important for the following reasons:

- To ensure proper, smooth, effective and efficient functioning of educational institutions, the study of theories, principles, concepts, techniques, skills and strategies and its application to educational institutions is relevant.
- For quality improvement in educational institutions, the management should be more scientific and systematic.
- Educational management plays an important role specially for a developing country like India where centers of excellence in the area of specialized learning and training must be established to cope up with international quality standards.
- Educational management is also required so that we can use our scarce and dwindling knowledge.

As we all know that without proper management of resources it is impossible to gain optimum output in any activity, therefore management of resources in educational institutions is the core component for its performance at desired level. Since educational management is concerned with all the functions of managing an educational institution, its study is important for students, teachers, teacher educators and administrators. It provides a vision of administrative concepts and theories which are useful for proper and smooth functioning of an educational institution. One can use administrative principles as per the demand of the situation.

It helps to understand different roles and responsibilities of a manager and administration of educational institution so that managerial skills for optimum and quality output can be developed. Educational management is also useful for the planning purpose.

As Kothari Commission states, 'No comprehensive programme of educational development can ever be put across unless it involves educational institution all the human factors connected with it- its teachers, students and local community and unless it provides the necessary inducements to make them put in their best efforts'.

Study of educational planning at macro level and micro level will be useful for the management so that one can make right decision and solve related educational problems. Educational management is useful for managers because it helps building effective team for execution of the policies, rules and regulations. In an academic institution, generally many academic and co-curricular activities are organized. Educational management helps in proper and smooth organization of these events. Academic calendar, time table, institutional records and many other records are maintained and educational management helps in all these processes. Financing and budgeting of an educational institution is a core issue related to educational management.

## 6.4 DEVELOPMENT OF MANAGEMENT THOUGHT: PRACTICE WITH SPECIAL REFERENCE TO CONTRIBUTIONS OF TAYLOR AND FAYOL AND PRINCIPLES OF MANAGEMENT

### NOTES

The practice of management is as old as human civilisation. In fact, much of the progress of mankind over the centuries may be attributed to the effective management of resources. The examples of effective management of resources can be cited as the irrigation systems, existence of public utilities and the construction of various monuments like Taj Mahal and the Egyptian pyramids of the bygone era. These examples amply demonstrate the practice of management in the olden days. The ancient civilisations of Mesopotamia, Greece, Rome and Indus-valley displayed the marvellous results of good management practices. However, the study of management in a systematic way as a distinct body of knowledge is only of recent origin. That is why, management is often described as ‘oldest of an arts and youngest of the sciences’. Therefore, the practice of management cannot be considered as a new venture. Management has been practiced for thousands of years. But the science part of it, which refers to the systematic body of knowledge, is no doubt a phenomenon of the present century.

The traditional management practices remained quite stable until the birth of Industrial revolution in the mid 18th century. The industrial revolution brought about the substitution of machine power in place of manpower through several scientific inventions. As a result, within a few decades, the picture of industrial activity went through a metamorphic change. Man’s quest for finding new ways of doing things while adopting the scientific and technological inventions in the production of various goods and services, resulted in the development of various different management theories.

### Taylor’s Contribution

Frederic Winslow Taylor started his career as a machinist in 1875. He studied engineering in an evening college and rose to the position of chief engineer in his organization. He invented high-speed steel cutting tools and spent most of his life as a consulting engineer.

Taylor is called the father of scientific management. His experience from the bottom-most level in the organization gave him an opportunity to know at first the problems of the workers. Taylor’s principal concern was that of increasing efficiency in production, not only to lower costs and raise profits but also to make possible increased pay for workers through their higher productivity.

Taylor saw productivity as the answer to both higher wages and higher profits. He believed that the application of scientific method, instead of custom

and rule of thumb could yield this productivity without the expenditure of more human energy or effort.

### **F.W. Taylor's Principles**

#### **NOTES**

Taylor published a book titled *The Principles of Scientific Management* in 1911. But his ideas about scientific management are best expressed in his testimony that was placed before a committee of the House of Representatives in 1912. He said as follows:

“Scientific management is not any efficiency device, not a device of any kind for securing efficiency; nor is it a bunch or group of efficiency devices. It is not a new system of figuring costs; it is not a new scheme of paying men; it is not a piece work system; it is not a bonus system; it is not a premium system; it is no scheme for paying men; it is not holding a stop watch on a man and writing things down about him; it is not time study; it is not motion study, not an analysis of the movements of men; it is not the printing and loading & unloading of a ton or two of blanks on a set of men and saying “Here’s your system; go and use it”. It is not divided foremanship or functional foremanship; it is not any of the devices which the average man calls to mind when scientific management is spoken of...”

Now, in its essence, scientific management involves a complete mental revolution of the part of the working man engaged in any particular establishment or industry. This complete mental revolution focuses on the duties of the organization toward their work, toward their fellowmen and toward their employees and it involves an equally complete mental revolution on the part of those on the management’s side, which involve the foreman, superintendent, owner of the business, board of directors and so on. The great mental revolution that takes place in the mental attitude of the two parties under scientific management is that both sides take their eyes off the division of the surplus as an important matter and together turn their attention toward increasing the size of the surplus, which becomes so large that it is unnecessary to quarrel over how it should be divided. They come to see that when they stop pulling against one another and instead both turn and push shoulder to shoulder in the same direction, the size of the surplus created by their joint efforts is truly appreciable. When friendly co-operation and mutual helpfulness of antagonism and strife are substituted, it becomes possible for both the parties to make the surplus so enormous than it was in the past that there is ample room for a large increase in wages for the workmen and an equally great increase in profits for the manufacturer.

The fundamental principles that Taylor saw underlying the scientific approach to management may be summarised as follows:

- Replacing rules of thumb with science.
- Obtaining harmony in group action, rather than discord.
- Achieving co-operation of human beings, rather than chaotic individualism.
- Working for maximum output, rather than restricted output.

- Developing all workers to the fullest extent possible for their own as well as company's highest prosperity.

Taylor concentrated more on productivity and productivity based wages. He stressed on time and motion study and other techniques for measuring work. Apart from this, in Taylor's work, there also runs a strongly humanistic theme. He had an idealist's notion that the interests of workers, managers and owners should be harmonised.

## NOTES

### Contribution by Henry Fayol - Principles of Management

Henry Fayol is claimed to be the real father of modern management. He was a Frenchman born in 1841 and was working as an engineer with a mining company. He improved the condition of the company from virtual bankruptcy to high success. From his practical experience, he developed some techniques. He brought out some basic principles, which he felt, could be used in all management situations, irrespective of the organizational framework.

He wrote a book titled *General and Industrial Management*, in French that was later on translated into English. It is now considered as one of the classics of management literature. The book mainly covers the aspects of the immutable and repetitive character of the management process and the concept that management can be taught in the classroom or the work place. He also laid down the principles of management, which he deemed important for any organization. The principles are as follows:

**Division of work:** This is the principle of specialisation, which is very well expressed by economists as being a necessary factor to efficiency in the utilisation of labour.

**Authority and responsibility:** In this principle, Fayol conceives authority as a combination of official authority deriving from a manager's official position and personal authority, which is compounded of intelligence, experience, moral worth, past services etc.

**Discipline:** Holding the notion that discipline is "respect for agreements which are directed as achieving obedience, application, energy and the outward marks of respect", Fayol declares that discipline requires good superiors at all levels, clear and fair agreements and judicious application of penalties.

**Unit of command:** This is the principle, which states that an employee should receive orders from one superior only.

**Unity of direction:** According to Fayol, the unity of direction principle implies that each group of activities having the same objectives must have one head and one plan. As distinguished from the principle of unity of command, Fayol perceives unity of direction as related to the functioning of personnel.

**Subordination of individual interest to general interest:** In any group, the interest of the group should supersede that of the individual. When the interests differ, it is the function of the management to reconcile them.

## NOTES

**Remuneration of personnel:** Fayol perceives that remuneration and methods of payment should be fair and also should be able to afford the maximum satisfaction to employee and employer.

**Centralisation:** Although Fayol does not use the term, Centralisation of Authority, his principle definitely refers to the extent to which authority is concentrated or dispersed in an enterprise. Individual circumstances determine the degree of centralisation that gives the best over all yields.

**Scalar Chain:** Fayol thinks of the scalar chain as a line of authority, a chain of superiors from the highest to the lowest ranks. And, because it is an error of a subordinate to depart needlessly from the lines of authority, the chain should be short-circuited.

**Order:** Breaking this principle into material order and social order, Fayol thinks of it as a simple edge for everything and in its (his/her) place. This organization is the principle, which refers to arrangement of things and persons in an organization.

**Equity:** Fayol perceives this principle as one of eliciting loyalty and devotion from personnel with a combination of kindness and justice in managers while dealing with subordinates.

**Stability of tenure of personnel:** Finding that instability is both the cause and effect of bad management, Fayol points out the dangers and costs of unnecessary turnover.

**Initiative:** Initiative is conceived as the process of thinking out and executing a plan. Since it is one of the keenest satisfactions for an intelligent man to experience, Fayol exhorts managers to sacrifice personal vanity in order to permit subordinates to exercise it.

**Esprit de corps:** This principle implies that union is strength and an extension of the principle of unity of command. Fayol here emphasises on the need for teamwork and the importance of communication in obtaining it.

These principles of management are very much applicable in the field of educational management, because here too, the employees work in coordination for a set organizational objectives. For example, earlier, the teachers or workers use to get training themselves in areas where they felt they were lacking, but with scientific management, the onus is on the manager to not only apply the principles of science to select the teachers or employees but also train them. This involves studying the capabilities of the employees as well as identifying the potential areas where improvement can be brought in. In a way, it can be said that worker education and training programmes are being emphasised here. Scientific management also encourages the training of the workers to make them look for areas where the practices can be improved.



### Check Your Progress

4. For whom is the study of educational management important?
5. State the principle concern of Taylor with management.
6. What are the important concepts mentioned in Fayol's book *General and Industrial Management*?
7. State Fayol's principle of esprit de corps.

### NOTES

## 6.5 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. Upper primary schooling system in India is of three years duration and starts for students aged between 10-11 years. It usually continues up to 13-14 years. At this stage, education consists of the basic programs of primary school level, though teaching is more subject-focused.
2. Private-aided institutions are managed privately but receive regular maintenance grant from the government, local body or any other public authority. The rules and regulations followed here are same as that of the public schools.
3. Council of Indian School Certificate Examinations (CISCE) is a private, non-governmental education board in India. It conducts the ICSE (for class X) and ISC (for class XII) examinations in India.
4. Since educational management is concerned with all the functions of managing an educational institution, its study is important for students, teachers, teacher educators and administrators.
5. Taylor's principal concern was that of increasing efficiency in production, not only to lower costs and raise profits but also to make possible increased pay for workers through their higher productivity.
6. Fayol wrote a book titled *General and Industrial Management*, in French that was later on translated into English. It is now considered as one of the classics of management literature. The book mainly covers the aspects of the immutable and repetitive character of the management process and the concept that management can be taught in the classroom or the work place. He also laid down the principles of management, which he deemed important for any organization.
7. Esprit de corps principle implies that union is strength and an extension of the principle of unity of command. Fayol here emphasises on the need for teamwork and the importance of communication in obtaining it.

## NOTES

## 6.6 SUMMARY

- Educational organization has multiple meanings depending on the field and setting in which it is being applied. In educational psychology, educational organization is organization within the scope of education. It deals with the theory of organization as it applies to education of the human mind. In school reform, educational organization is the way an educational system operates. Educational organization may also refer to non-profit agencies providing educational services.
- The Indian school education system can be segmented in either of the following ways:
  - o by means of levels of education
  - o by means of ownership of educational institutions
  - o by means of educational board affiliations
- Education is the most powerful tool to develop and provide human resource to the country. Education also provides specialist of different areas and civilized citizens of society. In other words, education is the medium of building a strong nation and it is more important for a developing nation like India.
- As we all know that without proper management of resources it is impossible to gain optimum output in any activity, therefore management of resources in educational institutions is the core component for its performance at desired level. Since educational management is concerned with all the functions of managing an educational institution, its study is important for students, teachers, teacher educators and administrators. It provides a vision of administrative concepts and theories which are useful for proper and smooth functioning of an educational institution.
- In an academic institution, generally many academic and co-curricular activities are organized. Educational management helps in proper and smooth organization of these events. Academic calendar, time table, institutional records and many other records are maintained and educational management helps in all these processes. Financing and budgeting of an educational institution is a core issue related to educational management.
- Frederic Winslow Taylor started his career as a machinist in 1875. He studied engineering in an evening college and rose to the position of chief engineer in his organization. He invented high-speed steel cutting tools and spent most of his life as a consulting engineer.
- Taylor is called the father of scientific management. His experience from the bottom-most level in the organization gave him an opportunity to know at first the problems of the workers. Taylor's principal concern was that of

increasing efficiency in production, not only to lower costs and raise profits but also to make possible increased pay for workers through their higher productivity.

- In its essence, scientific management involves a complete mental revolution of the part of the working man engaged in any particular establishment or industry. This complete mental revolution focuses on the duties of the organization toward their work, toward their fellowmen and toward their employees and it involves an equally complete mental revolution on the part of those on the management's side, which involve the foreman, superintendent, owner of the business, board of directors and so on.
- Henry Fayol is claimed to be the real father of modern management. He was a Frenchman born in 1841 and was working as an engineer with a mining company. He improved the condition of the company from virtual bankruptcy to high success. From his practical experience, he developed some techniques. He brought out some basic principles, which he felt, could be used in all management situations, irrespective of the organizational framework.
- Fayol provided the following principles of management: Division of work, Authority and responsibility, Discipline, Unit of command, Unity of direction, Subordination of individual interest to general interest, Remuneration of personnel, Centralisation, Scalar Chain, Order, Equity, Stability of tenure of personnel, Initiative, and Esprit de corps.

## NOTES

### 6.7 KEY WORDS

- **Educational psychology:** It is psychology concerned with human maturation, school learning, teaching methods, guidance, and evaluation of aptitude and progress by standardized tests.
- **Montessori system:** A system of education for young children that seeks to develop natural interests and activities rather than use formal teaching methods.
- **Scientific management:** A theory of management that analyze and synthesize workflows.

### 6.8 SELF ASSESSMENT QUESTIONS AND EXERCISES

#### Short Answer Questions

1. Write a short note on the segmentation of educational organizations in India by means of levels of education.

## NOTES

2. Briefly explain the segmentation of educational organizations in India by means of ownership of educational institutions.
3. List the considerations that must be kept in mind while preparing curriculum in a developing nation like India.
4. Write a short note on the principles of management as provided by F W Taylor.

### Long Answer Questions

1. Describe the segmentation of educational organizations by means of educational board affiliations in India.
2. Explain the importance of educational management.
3. Examine the contributions by Henry Fayol to the field of management. Enumerate the principles of management.

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## 6.9 FURTHER READINGS

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# UNIT 7 ASPECTS OF EDUCATIONAL MANAGEMENT

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*Aspects of Educational  
Management*

## NOTES

### Structure

- 7.0 Introduction
- 7.1 Objectives
- 7.2 Planning, Organizing and Controlling
  - 7.2.1 Planning
  - 7.2.2 Organizing
  - 7.2.3 Controlling
- 7.3 Supervision in Educational Management
- 7.4 Meaning and Nature of Leadership in Educational Organizations
- 7.5 Styles of Leadership
- 7.6 Development of Leadership
- 7.7 Answers to Check Your Progress Questions
- 7.8 Summary
- 7.9 Key Words
- 7.10 Self Assessment Questions and Exercises
- 7.11 Further Readings

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## 7.0 INTRODUCTION

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The activity of leading a group of people in an organization or the ability to do this is called leadership. Leadership is essential for any group or organization. Leadership entails establishing a vision and sharing it with the employees or group so that they are willing to follow the leader and achieve the vision and goals of the organization. One of the essential duties of the leader is to provide the information and devise methods to achieve the vision along with coordinating the conflicting interests of the employees and the shareholders of the organization. Leadership cannot be taught theoretically. It is learned practically and enhanced with experience and proper coaching. A leader without any vision and innovation would never be able to properly motivate and lead the employees to reach their maximum potential. The organization would not be able to grow and achieve greater heights. In this unit, we will discuss the meaning and nature of leadership along with its various theories.

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## 7.1 OBJECTIVES

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After going through this unit, you will be able to:

- Describe the management concepts of planning, organizing, supervising and controlling

*Self-Instructional  
Material*

## NOTES

- Explain supervision in educational management
- Discuss the meaning and nature of leadership in educational organizations
- Examine the different styles of leadership
- Discuss the concept of development of leadership

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## 7.2 PLANNING, ORGANIZING AND CONTROLLING

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The process of management consists of five basic functions, namely planning, organizing, directing and controlling and staffing. A manager uses all these functions to achieve organization goals and objectives. These functions are interrelated in the following manner.

### 7.2.1 Planning

**Planning** is an important management function that helps in setting organizational goals which help achieve the desired result which are used for assessing the performance. Planning helps managers to find out intended organizational achievements and to ensure that internal rules and regulations, responsibilities, performance, structure, product and expenses are in accordance with required outcomes.

Planning is a logical and methodical way of predicting the future of a firm and helps in preparing for change by deciding action to be taken in the future. Planning helps managers manage organizational goals efficiently and effectively. It is a list of goals to be achieved by using certain means in the future, i.e. it acts like a blueprint for action.

### Definitions of Planning

There are many definitions of planning. Some major definitions are as follows:

1. According to Fayol: 'The plan of action is, at one and the same time, the result envisaged, the line of action to be followed, the stages to go through, and the methods to use. It is a kind of future picture wherein proximate events are outlined with some distinctness'.
2. According to Louis A Allen: 'Management planning involves the development of forecasts, objectives, policies, programmes, procedures, schedules and budgets'.
3. According to Theo Haimann: 'Planning is deciding in advance what is to be done. When a manager plans, he projects a course of action, for the future, attempting to achieve a consistent, co-ordinated structure of operations aimed at the desired results'.

4. According to Koontz O'Donnell: 'Planning is an intellectual process, the conscious determination of courses of action, the basing of decisions on purpose, acts and considered estimates'.
5. According to Warren (1994): 'Planning is a decision-making activity requiring the process of ascertaining objectives and deciding on activities to attain these objectives'.

## NOTES

We can analyse these definitions as follows:

### • Planning is pre-selection

Planning is the pre-selection of objectives and outlines the action before starting any business or in other words planning is selection of mission, objectives and true strategies, policies, programmes and procedure to achieve them.

### • Planning is advance decision-making

Planning is decision making in advance or in other words choosing the alternatives and making the decision is called planning.

## Types of Planning

The failure of some managers is due to their inability to recognize the several types of plans. A competent manager is one who uses the plan type that suits the needs of the institution. If a manager is not able to make an appropriate plan then it will be difficult to implement it effectively. Plans are classified as the following:

### (a) Purpose, missions and objectives

The mission is to identify the general tasks of an educational institution whereas an objective is the outcome of an activity for example, planning, organizing, leading, staffing, and controlling. Objectives consist of a hierarchy of individual and basic aims.

### (b) Strategies and policies

Planning may also be based on strategies and policies that decide the framework of all future action. Both are closely related and give direction. 'Strategy' word is obtained from a Greek word called *STRATEGOS* which means 'general'. Strategies determine the main long-term goals that a firm adopts, the means of action and allocation of resources required to attain these goals. Policies are basic statements or intellect that leads manager's thoughts and decision making.

### (c) Procedure and rules

Procedures are plans that establish a required method of handling future activities. Briefly, procedures guide actions. Rules are those required actions or non-actions allowing no discretion. Rules are basically called simple plans.

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### (d) Programmes

Programmes are a complex of goals, policies, procedures, rules, tasks and steps to be taken, resources to be employed and other elements necessary to carry out a given course of action which are normally supported by capital and operating budgets.

### (e) Budget

A budget is a statement of plans and expected results expressed in numerical terms or forms. The budget of an enterprise represents the sum total of income and expenses with profit or surplus.

### Characteristics of Planning Functions

Educational planning is now developing as a specialized field with its own identity and characteristics. It differs from planning in the field of general management. In India mostly proper and deep planning is not exercised. Generally adhoc decisions are taken during all the processes. Most important features of educational planning are as follows:

- Well-planned educational changes in decisions are essential for qualitative changes in education. Many persons of higher level management are involved in the process.
- There is a myth that planning is single person's responsibility. But in real it is a group effort and all people concerned are responsible for planning.
- In a developing country like India, the planning must be in accordance with the aims of a democratic society. It means that welfare of all members of society is of prime concern not only for some special interest groups. Educational planning must have its roots in the expected needs of the community and students.
- Modern educational planning has its roots in cooperative planning, which includes the involvement of the representatives of most of the concerned sectors of the society. The process of planning is an important feature of modern educational planning.
- Modern educational planning foresees future developments and needed changes. This is done in advance so that proper facilities, supporting media and required resources for implementing the planned changes can be secured.
- It also identifies educational problems and suggests suitable solutions. Instead of suggesting temporary solutions to problems, modern educational planning carefully and objectively collects data, interprets and analyses inter-relationships between present and future needs and suggests solutions to existing problems.
- Planning is done in advance. Decisions on how and what are made before the process is completed.



- It is goal oriented.
- It focuses on required future outcomes.
- It is future based as it includes decisions that are achieved in future.

### **Steps and Principles of Planning**

Managers should follow the eight steps in planning for most programmes which are mentioned as follows:

#### **1. Awareness of Opportunities**

It is the actual beginning of planning in an external and internal organizational environment. Each manager should be able to clearly and completely identify future opportunities. They should be able to do a SWOT analysis (identify–Strengths, Weaknesses, Opportunities and Threats) and set actual goals depending on the following:

- Market awareness
- Expected competition awareness
- Customers’ needs awareness
- Product quality and weakness awareness

#### **2. Setting Objectives**

Here goals are set for the entire organization and work units specify the desired outcome which indicates, what is to be achieved by the set rules, regulations, policies, budgets and programmes and areas of emphasis.

#### **3. Developing Premises**

Establishing planning for premises like forecasting, applying basic policies and current company plan are environmental assumptions in which the plan has to be applied. All managers involved in planning must agree on the premises developed. Information about market type, sales volume, pricing, product type, technical advancements, etc. is required for developing premises.

#### **4. Identifying Alternative Courses of Action**

Following steps are used by managers to prepare a plan:

- **Analysing the situation:** In this analysis of past events, present situation and forecasting for future needs is involved.
- **Need Identification:** It is a process of describing ‘what is’ and ‘what should be’ and priorities of the two activities.
- **Deriving goals and objectives:** Goals and objectives are derived from the indicated requirements.
- **Describing alternatives:** Various possibilities are ranked so that those requiring immediate attention can be looked upon.

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- **Selection of strategies and policies:** It is important to select the most appropriate alternative than one that might not be a priority.
- **Implementation:** Once the plan is approved, it is divided or handled completely to describe the activities to be committed.
- **Maintaining and evaluation:** Plans and goals implemented should be regularly monitored based on the performance of different work units which helps in identifying deflection of actual results from expected output. In case of any discrepancy corrective measures should be taken.

### Principles of Planning

In order to create an effective and efficient educational plan Gary Dessler stated the following principles:

- Aims should be achievable, reasonable and crystal clear.
- Correct data is very important for any planning process so quantitative methods along with intuitions should be used.
- Subordinates should be included in the planning process to ensure onus and acceptability of plans by implementers.
- An effective plan is based on accurate information and right assumptions.
- Being objective than over ambitious helps in planning effectively.
- Standards for discontinuing a project should be fixed at the beginning.
- Keep the Plans Flexible. The progress of the plan should be under constant review so that it can be revised if and when the situation requires modification.
- Long-term plans are required to be regularly reviewed to ensure changes occurring during implementation can be incorporated in the plan.
- The plan should be such that it can adapt to environmental changes.

Several attempts have been made by some scholars like Eugene B. Elliott and Earl E. Moiser to develop the similar principles of planning. On their basis, the principles of educational planning may be as follows:

- Educational planning must have its root in national planning.
- Planning should be research based.
- Planning must be a continuous process.
- Planning should consider all available resources and conditions of work.
- Planning should not be imaginary it should have sound base in reality and practicality.
- Every related and involved individual or group of individuals must have active and regular involvement in the process of planning.

- The process of planning should focus on the needs and requirements of persons to be served.
- The expertise of specialist should be taken into consideration during the planning process.
- Planning should provide opportunity for all persons and groups to understand and appreciate the plans.
- Planning should provide for continuous evaluation.
- Planning should have opportunity for modification for further action.

As per the opinion of Sears, the procedure of planning involves the following principles:

- Authority, knowledge, personality and social forces are involved in initiating planning
- Defining the purpose of planning
- Study of existing facts
- Preparing a workable plan with alternatives
- Selecting the planners, setting up machinery and maintaining the planning service

We can conclude that a carefully formulated plan with the integral aspect of national planning may be developed on sound base of research. A realistic and continuous plan duly developed with involvement of all concerned persons and experts of the field should focus on the needs of the people during the procedure of planning.

### **Educational Planning**

In any management activity, planning plays a pivotal role. It is a prerequisite to prepare a good plan for making decisions and implementing them. In an educational institution, major functions of planning are establishment of educational goals, the development of educational programmes, reflecting the goals and the identification of resources needed to implement programmes. To organize these activities there should be a planning committee. This committee has to plan the budget, curriculum, facilities, resources and evaluation. It means that this committee must consist of experts from all these areas. All the educational institution must organize their activities around the plans framed by planning committee. The work of this committee continues even after the educational programmes are implemented.

The educational programmes of the institution must be based on the outcomes derived from the planning effort. It is the responsibility of the planning staff to suggest changes and modifications and to evaluate the programme effectiveness. The educational system must develop its own planning capacity and appoint specialists from the field to supplement and complement its own staff. In this way,

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expert advice on particular problems can be made available; at the same time local personnel can give continuity to the planning process.

The new era of planning demands greater capacity to conceive, conceptualize and compromise on the part of the educational administrator. It will also provide a great opportunity to contribute, affect and participate in the growth process.

Level of performance in any activity determines the success. Good planning improves the possibility of success. Being a basic function of all managerial processes, the process of planning involves exploration of future strategies of required actions and advance decision of appropriate action plan to achieve pre-defined and definite goals. Another popular definition is 'Planning is deciding in advance—what to do, when to do and how to do. It bridges the gap from where we are and where we want to be'. Planning is determination of courses of action to achieve desired goals. Thus, planning is a systematic thinking about ways and means for accomplishment of pre-determined goals. It is necessary to ensure proper utilization of human and non-human resources. It is all pervasive, an intellectual activity and also helps in avoiding confusion, uncertainties, risks, wastages, and so on.

For smooth and proper discharge of all the functions of schools, colleges or any other educational institutes, several functions of management are exercised. Planning, organizing, directing and controlling are major functions. Educational planning provides base for all other functions. Efficient planning is required for quality assurance and enhancement in educational institutions for developing and democratic country like India proper and systematic development of nation is at utmost priority. Planning is core managerial function that focuses on developing a blueprint of strategies, process, support system, economic input and required human resource in advance. The basic questions behind the planning is 'how' and 'what'. When these questions are asked with regard to educational institutions, the planning will then be called as 'Educational Planning'. Every effort with regard to strategic and execution point of view in a school must be based on predefined pattern of actions to achieve educational objectives and to bring about overall changes as viewed by national policies by the closest possible articulation of means and ends.

### 7.2.2 Organizing

The process of education involves the methods, techniques and procedures to ensure optimum learning among the pupils by utilizing all available human and infrastructural resources. In order to achieve this target, each operational unit of an educational institution, i.e. from the classroom teacher to the board of control must have knowledge of expected levels of performance which is the key element of success in educational institutions. An efficient and effective mechanism for organizing all related activities and actions to achieve the predetermined or planned objectives is known as the function of organizing. It is a prime managerial function and a manager has to perform the following duties:

- Laying down the structure of the organization, the pattern of positions and relationships.

- Defining the positioning of workers on the basis of law and convention.
- Assigning duties and responsibilities.
- Ensuring group behaviour towards achievement of purposes through action, procedure, communication and evaluation.
- Ensuring security and durability of the group through pleasant relations, encouragement, self-expression and self-direction.
- Securing sustained and persistent cooperation of all workers.
- Making the organization democratic through personal relationship, active participation and sharing of power and responsibility.
- Ensuring individual and group satisfaction through group interaction and consideration.
- Promoting effectiveness and efficiency for accomplishment of purposes.
- Maintaining friendship, respect and confidence towards the workers.

In short, organization is a man-made system designed to combine a complex of men, materials, machines and other resources into an efficient, effective and variable enterprises.

According to Harold Koontz and Heinz Weihrich, 'Organizing is:

1. The identification and classification of required activities.
2. The grouping of activities necessary to attain objectives.
3. The assignment of each grouping to a manager with the authority (delegation) necessary to supervise it, and
4. The provision for coordination horizontally (on the same or similar organizational level) and vertically in the organization structure'.

### **Organizational Goals**

While organizing is the mechanism through which goals set in a plan is accomplished, organization is the structure for that purpose. Organizations are created to achieve the goals of society and provide an agency for accomplishing the desired performance. Many goals of education are product-oriented. In a democratic society like ours, there is a commitment to certain process-goals, based on process-oriented values. There are two major organizational goals in a democratic society.

- (a) Each learner is a unique person. Individual differences must be taken into account when programmes are chalked out.
- (b) Learning 'how' to learn may be as important as the learning itself.

### **Decentralization of Authority**

Decentralization is an important organizational element and can be defined as: the inclination to dispel decision-making authority in a structured way. The placement of decisions in the organizational structure has to be carefully selected.

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Decentralization is the method of organizing physical, financial and human resources together and developing fruitful relationship between them for achieving organizational goals. To form a business, determining and providing human and non-human resources to the business structure are involved. Organizing a process involves the following:

- Identifying activities
- Classifying group activities
- Allocating responsibilities
- Delegating authority and creating responsibility
- Coordination of authority and obligatory relationships

### Directing

You have already learnt about concept of direction in Unit 4, let's briefly recapitulate the idea here. Directing is one of the major functions of managerial process that assures the efficient working of organization to achieve the organizational objectives. It guides the concerned persons in the proper direction therefore directing is considered as life-spark of an educational institution. The functions like planning, organizing and staffing are the pre-requisites preparations for completion the work. It is a process of integrating concerned people with the organization to get their full cooperation for the achieving educational objectives.

### 7.2.3 Controlling

Major functions of managerial process include controlling and monitoring of various operations or activities. In a general opinion control is an autocratic term. In other words it means the imposition of orders over many other persons. It is a negative explanation to this concept. If we look at concept of control positively we will find a totally different meaning. Process of control involves the monitoring of all activities in a way that focus on achieving objectives of the organization. Every action of concerned individuals must be in accordance with educational planning and effective control and monitoring of all actions are necessary components for achieving success. Deviation of organizational actions from its predetermined standards decreases the chances of success. We can conclude that problems faced in achieving the organizational goals emerge because of the failure to control the process from moving in the stated direction. The above discussion helps us to understand the relevance of control, its meaning, different types and processes along with the procedures to be adopted for effective control. Control is required in all the processes of administration to ensure quantitative and qualitative improvement in order to achieve the goals.

### Definition and Requirement of Control

The process of control in industries differs from that in education. Educational institutions totally differ from any other institution because it involves higher human

element. In a democratic setup no one wants to be controlled by others. An educational manager has to deal with various people and control their activities to get optimum quality output with minimum input. Usually we limit the term control in relation to controlling the employees and putting them under regulations, which creates a negative impression. Effective management requires well-framed objectives, plans and programmes in order to achieve success. When an educational manager has been assigned a task, the first step is to decide the objectives of the task. Second, is to prepare plans to evolve a strategy to accomplish the desired objectives. Third, is implementing the plans. This process of accomplishing the pre-determined objectives involves monitoring and controlling. Therefore, controlling may be defined as a process which ensures that the progress of the assigned work moves according to the plan. In case of violation of pre planned actions the manager or concerned management has to take corrective actions. The formative evaluation, related information and effective feedback mechanism provide guidance for controlling process. It can also be concluded that process of controlling is closely related to planning process and has been accepted as a basic managerial function to ensure the pace of an activity and its quality. The different functions of control involve: monitoring the process of developing countries human resource, reviewing the information collected through feedback and take corrective action if required. The process of control also helps educational managers in supervising changes in institutional environment and its effect on the organization, developing mechanisms for fast processing of every activity, preparing hypothesis to identify threats, strengths and weaknesses, adding quality to their outcome, maintaining optimum use of resources, promoting coordination between different related persons and preventing wastage of resources. It is mandatory to have control as a major function of all managerial functions. A good plan is one which incorporates the needed controls. Further, controls and monitoring are applied in every area of operations like production, sales, finances, quality, human resources, etc. In educational management, control plays a very important role in each and every activity.

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### Types of Control

Control is generally classified into the following types:

- (a) Pre controls
- (b) Preliminary control
- (c) Concurrent control and
- (d) Feedback control

Let's discuss each of these types in detail, in this section.

- (a) **Pre controls:** Pre-action control includes the planning of preventive measures aimed to check problems before they arrive. They are also known as pre-action controls. The best example of pre-control is to check over future

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financial expenditure. When an educational planner knows the financial limitations of an institution, he will assure the control over financial resources accordingly.

- (b) **Preliminary control** (Feed forward control): It is control over anticipated problems or deviations of system before the task operation starts. This kind of control is essential part of every kind of planning. In this control mechanism, managers identify the issues and the prospective action plans to meet the anticipated problems. For example, if you are a principal of a school. You ought to know in a year which particular month has more student admissions and during which month most of evaluation process occurs, you would develop a proper mechanism to meet any anticipated problems. Preliminary control acts as an alert mechanism for educational managers about the probable hurdles that may affect the accomplishment of predetermined targets.
- (c) **Steering control** (Concurrent control): It is a kind of control that is used during the work being performed. Steering control ensures the accomplishment of work according to a laid down plan and takes necessary corrective action before any major problem appears due to violations of actions from pre-planned programme. For example, each day a principal supervises all the activities to ensure maximum learning output. She/he monitors all the activities in order to ensure quality and takes necessary steps as and when required. For the effectiveness of concurrent control an educational manager must obtain the information on time and it should be accurate. Since concurrent control helps to take corrective action during the process therefore it is one of most popular method of control and is used widely.
- (d) **Post action control** (Feedback control): As the name suggests, post action control is used after completion of a task. It is a kind of critical review that is conducted to see whether the desired result has been achieved or not. It provides information about whether the objectives of the organizations are achieved or not. This kind of feedback control can be used for deciding the future action plan of an educational organization.

It is mandatory to clear that all these types of control are complementary to each other. This categorization is based on the control at different stages and a good manager uses all or any of these controls as required.

### Check Your Progress

1. What are procedures and rules?
2. State the two major organizational goals in a democratic society.
3. Define steering control.



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## 7.3 SUPERVISION IN EDUCATIONAL MANAGEMENT

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*Aspects of Educational  
Management*

You have already learnt about the concept of supervision in Unit 4. In this section, supervision is discussed specifically in the context of educational management. Educational supervision is defined as the process of providing facilities for students and to train teachers in order to make children better learners. Supervision can be defined as a superior vision, that is, a 'vision with a mission'. Looking beyond what is already established and nurturing a comprehensive perspective for the growth of education, forms the crux of supervision. Supervision of activities originated with Woods agreeing to deal to supply grant-in-aid. The negative aspect of supervision, that was earlier associated with fault finding, was altered by Zakir Hussain who promoted the positive aspect of supervision. Supervision now tries at the enhancement of the entire process of tutoring and acquiring of knowledge.

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#### Concept and Definition of Educational Supervision

The availability, accessibility and secure use of technology and knowledge, increase of population, globalization and increase in demand for social and educational reforms, are a few important factors which have influenced the evolution of supervision, modifying the meaning and understanding of the term in various situations.

Walls defines supervision as 'the assistance provided for the advancement of a better teaching and learning circumstances.'

According to Harold Spears, 'supervision has moved gradually from enhancement of instruction to making improvement in learning.'

According to Briggs and Justman, 'In general, supervision means to coordinate, stimulate and direct the growth of the teachers in the power to stimulate and direct the growth of every individual pupil through the exercise of his talents towards the richest and the most intelligent participation in the civilization in which he lives.'

William A. Yeager is of the opinion that supervision is now conceived as 'a process which has for its purpose the general improvement of the total teaching learning situations.'

The understanding of supervision finds its basis in the conviction that the moving forward of instructions and advice, is a professional, continuous and cooperative enterprise. This advancement covers all aspects of the life of a school and includes a planned course to encourage, organize, collaborate and counsel the teachers to assist them in becoming self-directive. The aim of supervising a situation is to improve the entire experience of teaching as well as learning. The concept of supervision is based on a social, philosophical, psychological and educational process. It is constructive, creative, democratic, scientific, professional

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and psychological in nature. Supervision can be understood as a form of technical support and service that is being offered to assist teachers to perform their work in an improved manner. In modern supervision, stress is being laid on the need of creating such social situations which help the teachers to develop skills which could guide them to improve the teaching-learning process. The significance of the notion of supervision may vary from person to person. While a teacher, whose performance is being managed, might consider supervision to be a challenge to his abilities, another teacher may regard it as an opportunity for gaining special recognition, and to a principal, supervision may mean an official inquiry or investigation of his management abilities.

Supervision needs to advance the teaching-learning process by working with teachers. It should assist teachers to develop proficiently and help them to adopt innovative instructional material for imparting knowledge in order to improve the curriculum and enhance learning.

To conclude, it can be stated that supervision means ‘to see’ or to ‘oversee’ the working of various activities being performed in schools. It features the combined efforts of a group, which works towards a common goal of attaining improved performances. Supervision is a specific service, with the sole purpose of helping individuals in accordance to their need for improvement. Primarily dealing with scientific services, supervision implies the studying and developing of conditions that create an environment of learning and growth of individuals involved. It pertains to teachers and learners, along with the curriculum, the instruction materials, and the socio-physical surroundings of the educational institutions. The supervision of activities assists in evaluating the aims, objectives, and methodology to bring about an overall improvement in performance.

Supervision, however, does not imply inquiring or finding fault in a performance. It is a method of providing guidance, support, and exchanging of ideas with all the people involved in the process of teaching and learning. It also means to provide facilities, motivate creativity and encourage constant improvement of a conducive teaching-learning environment. Supervision is about assisting the teachers and also the learners to recognize and implement their capabilities in their respective field of work.

### Nature of Educational Supervision

The nature of educational supervision may be understood under the following broad headings:

- **Supervision is based on philosophy:** Supervision is increasingly oriented towards the fundamental objectives of education, and education related to the society where it exists. The basis for good supervision is philosophy and it is sensitive to the final aims and values, policies and so on.
- **Supervision is democratic:** Supervision implies democratic leadership, wherein it tends to be a cooperative endeavour for the common wellness of

all those involved. It is a social force intended to bring about improvement in the personality of a human being and stability in the democratic social order. Supervision recognizes the dignity and worth of each individual and encourages freedom while providing guidance and suggestions.

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- **Supervision is creative and constructive:** Supervision is imaginative and productive as it aims towards improvement and encourages the discovery of various types of innovative methods and means in the areas of education which are directly or indirectly concerned with the process of teaching and learning. The democratic nature of supervision provides plenty of opportunities for participatory discussions, decision-making and forming of group policies and plans, which finally leads to creative expression from everyone involved in the process. In the present scenario, creative supervision is a crucial necessity for the growth and success of the rapidly changing educational sector.
- **Supervision is scientific:** The method adopted by supervision is scientific in nature and it is influenced by the science and technological aspect of education. A supervisory plan has to be adequately formulated and methodically implemented. It has evolved from being the traditional, subjective activity to a systematic, objective and scientific process. In order to be scientific, supervision involves visualizing a complete and precise image, with maximum possibility, of the prevalent school practices and gathering of all the scientific knowledge about methods and components of learning that can be availed to improve the performances.
- **Supervision is professional:** Supervision means moving gradually towards professional status. A specialized form of knowledge is required for effective results and the demand of supervisors with such kind of specialized knowledge, along with a body of scientific and democratic techniques, is growing rapidly.
- **Supervision is progressive:** Progressive supervision inspires and guides teachers by utilizing their full potential. It is directed towards the promotion and growth of pupils and teachers by nurturing qualities like initiative, originality, creativeness, honesty and sincerity and through them the improvement of society.

### Objectives of Educational Supervision

The objectives of supervision can be listed as follows:

- **To unify and integrate educational effort:** Supervision must be prepared with the aim of coordinating different available resources and materials that are available simultaneously combining and integrating the efforts put in by the entire staff.
- **To improve knowledge and skills of teachers:** The planning for supervision revolves around the work, the philosophy and the approach of

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the teachers. In order to accomplish the majority of the school's work efficiently, the teachers must learn to work together in groups and one of the major objectives of supervision is the enhancement of teacher's skills in working in a cooperative manner.

- **Incorporation of new trends:** In order to accomplish an improvement in the delivery and understanding of instructions, the school practices which are followed need to be updated with the changes in contemporary educational thinking and practice. It is the responsibility of the supervisor to help the educational workers to keep abreast of the new educational movements, to study and learn new methods of teaching and to apply these new techniques in the classroom situations.
- **Improvement of teaching-learning situation:** The main objective of supervision is the evaluation and development of the teaching-learning situation. The objective of democratic supervision is to help teachers to evaluate themselves with the help of the inputs given by the supervisor. The prime constituents of the teaching-learning process are the students, teachers, curriculum materials and information, classroom management, and the socio-physical environment. Supervision undertakes positive steps towards the improvement of teaching-learning situations, with the assistance of all those involved. For supervision to be effective, it is necessary to evaluate and upgrade all the activities.
- **Promotion of good relationship:** For achieving complete effectiveness, supervision depends upon the relation that exists between teachers and the supervisors. In order to accomplish most of the school's work, the teachers must learn to work with cooperation and that can only be possible if they share a good relation with the supervisor. One of the objectives of supervision is the enhancement of good interpersonal relations. For effective and efficient supervisions, healthy relationships must be developed and maintained between supervisor-administrator, teacher-supervisor, and administrator-teacher.

### Check Your Progress

4. List some of the factors which have influenced the evolution of supervision.
5. Why is supervision called imaginative and productive?

## 7.4 MEANING AND NATURE OF LEADERSHIP IN EDUCATIONAL ORGANIZATIONS

You had briefly learnt about the meaning and nature of leadership in educational organizations in Unit 4. The characteristics of leadership and the major styles will be discussed in detail in the following sections.

In this section, you will learn about the nature of leadership.

There are three major factors that define the leadership concept which are as follows:

- Influence/support
- Voluntary effort
- Goal achievement

Leadership can also be called the catalyst that transforms potential into reality. The concept of leadership in itself covers all interpersonal relationships that influence the working of the institution towards its goals. Leadership really matters. It is an undisputable fact, especially in today's continuous changing world of rampant threats and everyday scandals. What's questionable is what it takes to be a successful leader. Does leadership require the guts to act with certainty and stress control? Does leadership depend on the capability to inspire and empower others? Or, being a great leader demands something extra.

The following points clearly depict the nature of leadership:

- Leadership is an important element of the directing function of management.
- Leadership is a responsibility one presumes. Anyone does not have to be selected and appointed as leader to be the motivating force in an organization.
- A group of followers is required for the act of leadership.
- Leadership is a result of interaction not a status or position
- Leadership cannot be prearranged.
- Leadership depends upon the insight of the leader about his own role
- There can be more than one leader in a group
- Leadership promotes optimistic attitude
- Leadership secure the critical group norms
- Leaders do not do different things; they do the things in a different way. By focusing attention on a vision, the leader functions on the emotional and spiritual resources of the organization, on its values, commitment, and aspirations.

Bartky suggests that the term leadership can be classified on the basis of:

- Its manner of operation
- Its functions
- Its source of authority
- The philosophy of the organization

The first category, manner of operation, focuses on the way in which leadership functions. It may be understood by giving examples or teaching, mediation or impulse that the leadership may influence the people.

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The second category, functions, recognizes leader as an employee of organization to serve its ends and is required to perform following functions:

- (a) The legislative function,
- (b) The judicial function,
- (c) The executive function,
- (d) The advocate function, and
- (e) The expert function.

The third category, source of authority, identifies leadership in terms of its source of power. This may be described as:

- (a) Natural sources
- (b) Divine sources
- (c) Contract
- (d) Usurpation

The fourth category refers to the political philosophy of the concerned state in which people are able to decide about what its social leaders are like.

The above discussion makes it obvious that leadership is change for improved results; it is challenging the status quo and looks forward at the long-term outputs. In Leadership there are two parties, one which leads, make suggestions and gives instructions etc. and the other, which is led, accepts the suggestions and follows the commands. For the proper functioning of leadership the co-operation of both the parties are essential. Leaders encourage and inspire employees by fulfilling their basic needs, keep them moving towards correct direction to realize a vision.

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## 7.5 STYLES OF LEADERSHIP

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One of the major works with respect to styles of leadership is based on the study carried out in 1939 and 1940 by two American researchers, White and Lippitt (1959) and is regarded as one of the classical experiments in social psychology. They compared the two contrasting ways of behaving or styles of leadership: the *autocratic* and *democratic*. These terms largely speak for themselves. The **autocratic leader** decides and imposes his decisions on the group, expecting group members to put them into effect without questioning the leader. The **democratic leader**, on the contrary, instills confidence in the members of his group to share the decision-making process and sees him or herself as a coordinator of the group's effort, rather than as the decision-maker. In a successive experiment a third approach was also looked at which was expressed as a tolerant one. This third category of leader plays a passive part in group dealings and usually interacts with group members only on their proposal.

Autocratic or task-directed leaders instigate structure, give information, decide what is to be done, issue regulations, assure rewards for proficiency and threaten reprimand for non-compliance. Focused leaders use their authority to gain conformity with what they have decided. Such directive and regulative leaders depend on their knowledge of policies and regulations and their official ranks to regulate the behaviour of their subordinates and their technical knowledge to solve problems to gain their subordinates' respect and compliance to their directives. They are often more charismatic than consensual.

Democratic leaders solicit advice, opinions and information from their followers and share decision-making with their followers. Democratic leaders use their authority to lay down constraints wherein followers are encouraged to join in taking decisions. Democratic leaders depend on their followers' abilities, as well as their own interpersonal skills and understanding of their followers' needs, interests and capabilities (Nelson, 1950). Liberal leaders give group members the complete liberty to act; give them substance, abstain from participation except answering questions when asked and refrain from estimative responses.

One disapproval of the early style of leadership, such as that of White and Lippitt and Stogdill, was that they identified leadership in terms of extremes, i.e., either autocratic and democratic style or task-oriented and relationship-oriented style; whereas in reality the manners of most of the leaders in business lies somewhere between the two extremes. Tannenbaum and Schmidt (1958) have given a Continuum Model which proposes that leadership behaviour fluctuates within a range and as one goes away from autocratic extreme the amount of subordinate involvement and participation in decision-making increases. Using this model, four styles of leadership can be located at points on the continuum.

- (i) **Autocratic:** The leader makes a decision and announces it and the subordinates have to comply with it. In case of non-compliance, the consequences can be severe for the subordinates.
- (ii) **Persuasive:** This leader also makes a decision without consultation and tries to persuade people to accept it. A lot of selling of the decision is done to avoid any possible resistance. A lot of enthusiasm is created for the goal or set of goals evolved by the leader with the investment of lot of energy.
- (iii) **Consultative:** The leader consults the group members before taking any decision and considers their feelings and viewpoints. He has some trust and confidence in the followers and believes that their contribution to the decision-making process can improve the quality of the decision. The ultimate responsibility for the decision lies on the leader but participation by the subordinates is much greater.
- (iv) **Democratic:** The leader presents the problem to the subordinates and invites them for discussion. He then takes up the role of the facilitator and

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supervises the process of decision-making. The groups is encouraged to take a decision through the process of groups discussions; instead of it being forced on the group by the leader.

The efficiency of each method would be determined by the circumstances in which it is put into practice. The fact that various styles apply to different scenarios would imply that a wise leader changes his style according to the type of the situation faced by the group. The research findings in the field indicate that individual leaders tend to employ one style more consistently than the other, which helps to identify them characteristically with that particular style.

### Leadership Skills

A skill is an acquired talent that a person develops related to a specific taste. Skill changes with training and experience and from one task to another. Leaders cannot be trained to develop an ability or aptitude, but they can be trained for a new leadership skill. Different leadership skills for which a leader can be trained can be identified as follows:

- (i) **Administrative skills:** A good leader has the skill to organize work more effectively and to make high-quality decisions. The top management in any organization is concerned with broad policies, objectives and plans. Administrative skills provide them with the ability to handle those situations effectively in such organizations.
- (ii) **Communication skills:** One of the very important components of the process of leading is the skill to communicate effectively. Leaders possessing good communication skills are able to reach out to their subordinates with great ease. With this skill to communicate they can also persuade and influence their subordinates effectively. An effective leader, in addition to being able to communicate should also be able to give and receive feedback. This helps him to build up a good rapport with his subordinates and gives him a chance to understand them well.
- (iii) **Interpersonal skills:** They are also called social skills and include facts about human behaviour and group processes, aptitude to understand the feelings, outlook and intention of others and ability to communicate with clarity and persuasiveness. Interpersonal skills such as empathy, social insight, allure, dexterity, diplomacy and persuasiveness are essential to sustain good liaisons in organizations. They are also important for influencing people. They should show concern and worth for human feelings. The leader with high interpersonal skills is generally readily acceptable to the subordinates and they support him in achieving the task objectives.
- (iv) **Conceptual skills:** Conceptual or cognitive skills include inductive and deductive reasoning, analytical ability and logical thinking. They are essential for planning, organizing and solving problems. A leader has to be aware and receptive to internal and external activities of the organization to be



able to understand their impact on the organization. Leaders are able to evolve a mental model through their conceptual skills of the way organizations should operate in complex situations.

### **Trainable leadership skills**

A paradox in contemporary organizations is the ushering in of newer and better technologies and management systems to replace human contribution, yet our dependence on human participation to achieve excellence has never diminished. Meeting the required demands for better output, improvement, excellence and service depends on the skills of the people of the organization and especially the leader, to deliver the goods. Powerful leaders require strong skills.

When organizations aim at developing the leadership skills of their employees, they send a powerful message. They say, 'We believe in you. You have much to contribute to improve the organization. We want to employ your hands, your hearts and your heads'. While developing the employees in leadership skills, five basic principles need to be reinforced continuously and these apply to employees, supervisors, managers, and executives alike. The basic principles considered while developing the employees are as follows:

- **Focus on the situation (or behaviour or issues) and not the person:** When others feel that they are criticized personally, they react defensively and emotionally. To avoid such reactions, focus on the effects of the situation, not the person. In the context of interpersonal skills, it has been found that the focus should move away from individuals and the personalities involved and be directed to the subject matter in hand.
- **Maintain the self-confidence and the self-esteem of others:** People need to feel valued and respected as individuals. When people are treated as if they do not matter, have little to contribute or are in the way, they lose interest in doing their jobs. They stop trying and performance suffers. Actions that praise, reward or enhance the self-confidence of individuals create empowered employees.
- **Maintain a constructive relationship:** This principle simply relates to the obvious; treat your relationships like any other investments. Strive to create trust, for trust can make any relationship work better and smoother.
- **Take initiatives to make things better:** This principle holds that by taking responsibility for their output and that of their organizations, each individual contributor should strive to be proactive rather than reactive.
- **Lead by example:** Just as every member of an organization has a customer, so does every leader have a follower, or potentially, yet another leader. Actions are contagious; they should be worth catching! People will instinctively tailor their own behaviour, own values and their own attitude to those around them.

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### Core skills of leadership

There is a core set of leadership skills which form the base for transferring a good employee into a contributing leader. Such skills are the first steps in building strong supervisors, managers, executives and leaders. These skills are:

- (i) **Listening to understand carefully:** Many of us spend our time talking rather than listening. Communication is a two-way process. Good listeners receive more information, earn the respect of their co-workers and save time in the process.
- (ii) **Listening is a skill:** This can be practised. One needs to show interest in what the other person is saying. Questions should be asked to clarify what is being heard. If it is being understood, the other person should be informed that he is being understood by repeating what was said as accurately as possible, using one's own words, wherever possible.
- (iii) **Giving feedback to others:** It is difficult to succeed without knowing what is to be done well and what needs to be improved. Giving effective feedback is not easy. Most people avoid offering praise or criticism because they are scared that their remark misunderstood and the recipient may feel offended.
- (iv) **Good feedback:** This starts when the purpose of a discussion is clearly stated. Suggestions should be offered wherever required. The discussion should be summarized and willingness should be demonstrated to help the other person take proper action based on feedback.
- (v) **Taking on a new assignment:** It is not uncommon to have mixed feelings about taking on a new assignment. With practice, however, new responsibilities can be incorporated into the work environment almost seamlessly, increasing not only the efficiency and output of the individual, but also his pride and self-respect.
- (vi) **Requesting help:** Asking for help is mostly viewed as a sign of incompetence, or even weaknesses. Avoiding request for help usually worsens the situation. Leaders have to understand that it is normal to ask for help when needed.
- (vii) **Getting your point across:** Presenting an idea that one wants someone to listen to, deserves an investment of time and thought. The basic goal here is to understand and there are specific skills and techniques that can be used for it. Attention should be captured as quickly as possible. A sharp opening statement usually does the job. One should get to the point quickly and state it. In case complex information is present, it needs to be summarized. Finally, organized information is presented with facts to support the data.
- (viii) **Participating in meetings:** Meetings can be a joy or a punishment. When used in the right manner, they present an excellent opportunity for everyone

on a given job or affected by a specific decision to get together and share ideas, viewpoints or problems. Every participant deserves to get something out of a meeting and if the meeting is correctly handled, positive results will surely follow. The leader of the meeting ought to state the topic and purpose of the meetings upfront and keep attention focused and to the point. If someone takes a different course, he should gently be guided back to the matters at hand.

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**(ix) Keeping your boss informed:** One should be conscious of the ongoing need to offer any information that may be useful to one's boss. In general, whenever something starts to drift away from the plan, the boss should be made aware of it. The importance of the information must be clear. Understanding reasons can help the boss to decide what actions need to be taken.

**(x) Resolving issues with others:** There are ways to handle difficult situations, which are:

- (a) Avoid or ignore
- (b) Accommodate
- (c) Confront
- (d) Collaborate or problem-solve
- (e) Compromise

To take the problem-solving approach, concerns should be expressed promptly. The situation should be described clearly and calmly and then the other person should be asked for views. If these steps are taken, everyone can review the facts together and generate alternative solutions. Finally, the parties need to agree on what exactly each person will do to resolve the problem.

**(xi) Responding positively to negative situations:** Even in the best work environment, people are confronted with situations that are negative, unavoidable and beyond their control. These situations test one's abilities to stay cool and maintain control. Panicky and impulsive reactions often lead to bigger problems that are tough to undo. These, in turn, can become inhibitors to performance.

**(xii) Working 'smarter':** It is important to set priorities, take initiatives and get things done, rather than simply waiting for someone else to do it. Some ways to work 'smarter' include:

- (a) Identifying tasks and results that are most important to oneself and one's team and prioritizing situations and events
- (b) Looking always for better ways to do
- (c) Contributing ideas and suggestions as the work progresses
- (d) Taking initiative when the opportunity presents itself

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**(xiii) Dealing with change:** Changes are part of the process of getting better. A change should not be fought against; instead, skills should be acquired to go with the flow and improve with it. The following techniques may help in particular to:

- (a) Find exactly what changes are planned
- (a) Make efforts to understand why the change will occur
- (c) Find out how the change will affect oneself
- (d) Pitch in to help solve problems associated with change

By following these guidelines, a leader will be able to make the change challenging and rewarding.

**(xiv) Being a team leader:** A skilled and well coordinated team always wins in organizational life. But being a team player does not mean that one does not have to be competitive at the same time. A sense of competition even within the team helps the entire team stay sharp and alert. Competition between equally skilled people keeps performance at its peak. These are some of the leadership skills for which training can be given to individual employees in organizations so that they are able to develop these capacities and effective leaders in the future.

### Participative Leadership

The participative style is often concerned largely in terms of a *system of values* governing behaviour with a commitment to full and free communication. It also connects with a reliance on consensus rather than on the more customary forms of coercion or compromise to tackle and manage conflict and an atmosphere that permits and encourages emotional expression as well as healthy attitude to work (Bennis, 1966).

It is also stated that, as an individual moves from the infant end of a personality continuum (basically dependent and submissive, with few and shallow abilities and a short time perspective) to the adult end (endowed with relative independence, autonomy, self-control, many abilities and a long time perspective). Then conditions are created to permit self regulation, self evaluation, self adjustment and participation in setting of goals. By doing so, it is alleged that an improvement in productivity and attitude is brought about (Argyris, 1973).

The human resource model assumes that there exists in organizations reservoirs of untapped resources and that these resources include not only physical skills but also creative ability and the capacity for responsible, self directed and self-controlled behaviour. It also communicates that through effective delegation and involvement in decisions, there can be improvement in the company. It is felt that providing the opportunity for the exercise of self direction and self-control should come about in progressive steps, in line with growth, ability and experience of the individual (Miles, 1965).

Gastil (1994) proposes that a participating leader should ensure that everyone participates in setting objectives and deciding activities. He should give people responsibility, set demanding but realistic objectives with explanations without overpowering people and finally, should not suggest solutions to group-based problems, but be vigilant and active in identifying and solving them.

### Leadership and trust

An important measure of leadership is inspiring trust and loyalty in team members. This can be done in following ways:

- Fairness at work
- Care and concern
- Trust in employees
- Feelings of accomplishment
- Daily job satisfaction

It is up to the leaders to ensure that all these factors are met. What many leaders do not often understand is that trust is earned, not enforced.

The following are some methods of building up a trustworthy relationship.

**Stick to your words:** Leaders can set a bad example by promising something and then forgetting it. This does not inspire trust and loyalty. A good way to ensure this does not happen is to document what is being said. If for some reason you foresee not being able to complete the task, inform other team members immediately, and give them reasons for the delay and a new deadline.

**Support your team members:** A good leader knows how to share glory with his team, instead of taking all the credit himself.

**Accept responsibilities for the team's failures:** Leaders who take the blame for failure of a project, rather than point fingers at others, earn the trust and respect of everyone.

### Value-based Leadership

‘The only thing that works is management by values. Find people who are competent and really bright, but more importantly, people who care exactly about the same thing you care about.’

**Steve Jobs**, [ex-CEO, Apple]

Business leaders should remember, in today's changing world, that values endure and are absolute, unchanging and non-negotiable. Values can be a touchstone defining our actions and decisions.

For a leader, it is vital to recognize and articulate corporate values. Today's firms are increasingly becoming cross-cultural and encourage autonomy and empowerment. The leader plays the important role of aligning an employer's values with that of the organization. This can be achieved in certain ways as discussed below.

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**Loyalty and respect:** The fusion of personal values with a company's expressed work ethics may result in the development of greater employee loyalty and respect for the organization.

**Fair dealing:** Prospective employees also have a tendency of carrying out some prior fact checking on whether the organization is fair in its dealings and if it appreciates employees and their contribution.

**Building trust:** The leader must operate in a manner that infuses trust among both employees and other business acquaintances, especially in the areas of management and labour concerns, shareholder and public expectations, desired product and environmental preservation and corporate practices and government scrutiny.

**Basing decisions on values:** In an ever changing corporate world, one often has to take decisions in situations that have not been experienced before. A good leader takes such decisions based on corporate values, and not just intuition and belief. Corporate values also provide a more flexible model of decision-making.

**Team member commitment:** When a leader and his team members unite around a shared set of values, they become more flexible, less hierarchical, less bureaucratic, and they develop an enhanced capacity for collective action.

**Stimulate vision and inspire others:** A leader's job is to create this vision and make it a reality.

### Charismatic Leadership

House, Spangler and Woycke (1991) in a study on US presidents found that charismatic leadership emerges under conditions of crises. The need for a transition or change triggers the emergence of a charismatic leader (Conger and Kanungo, 1987). They hypothesized that though crises is not a necessary precondition for the emergence of a charismatic leader, it facilitates such emergence as environmental uncertainty leads to psychological distress in the followers. Crises/Environmental uncertainty are stressful to followers as they do not understand the direction of change, its potential impact and the success of a particular response. Therefore, the assuredness, confidence and vision of a charismatic leader is a source of psychological comfort for the followers, reducing their stress and motivating them towards the accomplishment of new visions and goals (Waldman, Ramirez, House, 1997). The researchers studied 48 fortune 500 firms' and the result of their study showed that charisma is a key predictor of performance in times of crises / uncertainty and that charismatic leadership performed well in conditions of perceived environmental volatility. In times of environmental uncertainty, the idealized vision articulated by the leader provides a challenge and motivating force for change to the followers as it represents a perspective shared by all the followers and promises to meet their hopes and aspirations (Conger and Kanungo, 1987).

Charisma is born out of crisis and nurtured with a vision, mission and structure. It is processed by the leader who acts as an effective change agent and leads the

organization to respond to the crisis. It was, however, suggested that charisma alone is not enough to sustain a larger system change. Charismatic leadership coupled with instrumental leadership (which focuses on the management of teams, structures and managerial processes to motivate employees to behave in a manner consistent with the requirement of change) is needed to lead and sustain the change. Transformational leaders, with charisma as one of the most important characteristics, fit this role of a change agent. This is because they are the ones who take responsibility for revitalizing an organization. They define the need for change, create new visions, mobilize commitment to those visions and ultimately transform an organization.

This era of quick changes calls for a new style of leadership to facilitate organizations to change themselves, to cope with the environment (Tichy and Ulrich, 1984). Charismatic leaders should be talented to assist associates of the organization to generate a vision which is long-term, encourage and inspire them to build dedication to actualize that vision, to create resource to execute the vision and institutionalize the change. Magnetic leaders are called so because they are capable of creating something new out of something that already exists. Therefore, the demands of the varying surroundings put across a composite array of challenges and necessitate a shift in focus and importance for organizational leaders (Dess and Picken, 2000). There are five key zones that need to be set as priority for a charismatic leader to function. These are:

- (i) Use of a calculated vision which encourages and creates an enthusiasm in members of the establishment that is aimed towards a specific purpose so that establishments can learn to get used to a compound, interrelated and rapidly changing environment.
- (ii) Empower employees of the establishment so that they are confident and accomplish their goals as they help the organization to move towards its targets.
- (iii) Collect and share information within the organization so that employees can improve their performance.
- (iv) Gather and put together outside knowledge which would help the organization in combating global challenges.
- (v) Challenge the prevalent status quo and support advancement and creativity in the organization.

Charismatic leadership has been disapproved of for many reasons. A few of the criticisms are:

- The reason for charisma may be related to emotions which is broadly irrational and hence not dependable.
- There is a problem of succession and institutionalization of charismatic leader.
- There may be concerns pertaining to the ethical conduct of charismatic leaders (Howell and Avolio, 1992).

## NOTES

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- There may be a negative side of charismatic leadership. They may be egoistic, dictatorial, oppressive and self-aggrandizing. Magnetic leaders who misuse power and manoeuvre subordinates as tools for personal gain (Conger and Kanungo, 1998).
- Enigmatic leaders may use a personal approach, i.e., they may be primarily concerned with their own interest and dreams. This may envisage a leader's self-interest or a feeling of pomposity, irrespective of longlasting organizational effectiveness (Yukl, 1998).
- They may be the reason for dependence of subordinates thereby resulting in surrender and conformance on their part (Shamir, 1991).
- Value similarity created by the leader may cause the followers to forcibly follow his behaviour which causes the danger that only 'performance consistent with the vision will be rewarded' (Rafferty and Griffin, 2004) and emphasizes conformity rather than creativity, individuality, or innovation.

### Coaching Leadership

Workers today need to feel appreciated or they will not produce what they are capable of producing. The competition comes from countries that not only pay higher wages, but sometimes boast of a working population that shares lofty goals and mutual dreams with the management. The challenge in the workforce of today is that leaders can no longer command participation from their people, they must earn it.

The leader has to act like a coach by focusing, mending and improving the performance of his subordinates. Coaching leaders would do well to remember something that all elementary teachers know; unless they are careful, they will spend most of their time managing the people who contribute the least, i.e., the highest and the lowest achievers. Those in the middle are the ones whose efforts continuously support the organization in its daily challenges. They often go ignored, unappreciated and unrewarded. Another area where coaching leadership can enhance effectiveness is through performance appraisals. When leaders at all levels improve their coaching and leadership skills, performance improves dramatically. There are no substitutes for day-to-day skills of establishing performance expectations, recognizing positive results, establishing (and following up) action plans and giving frequent, constructive feedback.

When the leader-subordinate relations are based on mutual respect and trust, the coaching leadership promotes effective performance. But if the relationship is strained, not well established or is not on solid ground for one reason or other, the coaching style does not seem to bring any definite results.

To be a good coach one should:

- Share expectations with people.
- Allow solutions to develop from shared problem-solving sessions.



- Reinforce positive results. Through development of skills, organizations can create an environment in which people get sold on success, addicted to achievement and exuberant about excellence.

### Cultural Leadership: Impetus for Innovation and Change

The best way to improve performance is to clarify the organization's vision and values, the roots from which its environment, behaviour and pattern of performance, i.e., the culture, springs. This brings to light another type of leadership, the cultural one, which deserves special attention because it forms the base for other skill sets. Without strong cultural leadership skills throughout the organization, attempts at leadership development are doomed to fail.

All organizations, departments, or divisions have a culture whether or not it is the one they want. Some are strong because they have strong visions, skills and values in place. For a leader to be an architect of culture, a long-term view is needed. Culture takes time to evolve. A leader has to decide whether he is running a business or he is running an organization. Leaders trying to shape their units or the organization's culture need to initiate certain activities so that it can bring about a high and performance-oriented culture.

Such activities are as follows:

- **Fostering individual commitment:** Commitment comes from a sense of ownership and involvement. There are different ways by which a leader can instill commitment in his employees. He has to find ways to delegate autonomy and share as much information as possible, which sends a signal to employees that they are trusted. Commitment is also reinforced by training people so that they excel at their work and also by recognizing and rewarding commitment. A 'culture of pride' and motivation to perform is heightened by appreciation, recognition and celebration.
- **Instilling unique values:** The core values of the organization which are the results of extensive research, experiences and rewards remain true and unchanging from the foundation of shifting strategies and plans. The role of the cultural leaders becomes very important in instilling these values among the employees so that everyone works with the same motivation for common goals. Those core values come to life only through the collective actions of managers.
- **Existing for the customers:** Recent experiences and researches have shown that organizations that remain viable and innovative are the ones that are close to customers. It means organizations must become truly focused on and driven by the customer in all aspects. Improved quality comes from a mindset that finds ways to do it right the first time. A significant result is high quality and productivity. A cultural leader lets customers set the standards for service and quality for his organizations.

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- **Taking innovative actions:** All earlier efforts require an innovative spirit from the part of the leader. All innovations come through experimentation, pilots and trials. The future growth and development of an organization depends on the success of its innovation. Cultural leader infuses a spirit of experimentation among his employees which become the basis for innovation.
- **Becoming a cultural leader:** Culture is often a direct reflection of the person at the head of the organization. The more powerful the person, the more distinctive the culture is. More than anyone else, cultural leaders must convert their words to action. Not only must they espouse vision, they must reflect the vision and values by personal examples. Making appropriate responses during a crisis is the acid test of leadership.

A cultural leader needs to be tough in his approach. Tough to a leader means dealing with problems in a way that brings about desired results without trampling over self-esteem. It also means never losing touch with the shared value system of the concerned organization. It means holding people accountable for what they agreed to do.

Effective cultural leaders encourage challenge. For them, it is a sign of life and energy. A skilled cultural leader recognizes a difference between challenges and those that are disruptive or unduly negative. The cultural leader understands that when people are afraid, they will often freeze, resist change and fight progress. But when people see value in their contribution, they have fun, feel like winners and develop an attitude that great things are possible. The pathway to high performance is easily travelled.

### Principle-centred Leadership

The right values in one's life are always pointing the right way. If one does not know how to interpret them, he will go off track, puzzled and fooled by contradictory voices and principles. Ideologies surface in the form of values, beliefs, norms and knowledge that encourages, allows, accomplishes, authorizes and inspires people. Principle-centered leadership assumes that persons are effective and organizations more empowered when they are steered and influenced by those proven principles.

A common reactive prototype is to live life in compartments based on value, where one's behaviour is largely the product of expectations built in to certain roles like spouse, parent, child, business executive, leader of a community and so on. Because each role has a varied set of expectations, there is a constant conflict among them, as they try to match up to everybody's expectations with a negative outcome. But when personal values get aligned with correct principles, one gets liberated from old perceptions and paradigms. In case of any discrepancy, adjustments can be quickly made. This belief in unchanging principles brings comfort and power to the concerned lives.

### Check Your Progress

6. List the three major factors that define the leadership concept.
7. What do democratic leaders depend on?
8. List the ways in which leadership inspires trust and loyalty in team members.
9. State the assumption of the principle-centered leadership.

### NOTES

## 7.6 DEVELOPMENT OF LEADERSHIP

The last two decades have witnessed something major in leadership development programmes in the organizations. Some of the most noteworthy issues and trends in the field of the leadership are discussed below.

### Proliferation of Leadership Development Methods

There has been variety of leadership developmental experiences. Classroom type of leadership development programme which was initially the primary formal development mode has now been complemented by other various activities.

Classroom training though primary should not be the only part in the development initiative. While training may be necessary element, developmental experiences are likely to have the greatest impact on the employees. Activities like coaching, monitoring, action learning, 360 degree feedback are increasingly becoming key elements of leadership development initiatives.

Developmental relationships primarily take two forms: (i) coaching and (ii) monitoring.

- (i) **Coaching:** It involves practical, goal focused forms of one-on-one learning ideally to bring in behavioural change. Coaching can be short term intended to develop specifically leadership skills or extensive involving a series of meeting over time. Effective coaching allows for collaboration, explore new possibilities, and ensure accountability and sustainable development.
- (ii) **Monitoring:** Monitoring is defined as long-term relationship in which a senior person supports the personal and professional development of a junior person. It can be both formal and informal in nature. Companies are looking forward for new ways to formalize the monitoring activities as part of their leadership development programme.

Few other ways of leadership development are as follows:

- (i) **Action learning:** In this model, real time organizational problems are tackled and three kinds of objectives are sort: (a) delivering measurable organizational

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results, (b) communicating learning specific to particular context, and (c) developing more general leadership skills and capabilities.

**(ii) Challenging job assignments:** These are submissive forms of leadership programme which provide many of the development opportunities in organizations today. This process simply provides people with information about developmental opportunities in their current job to a systematic job rotation. Using job assignments for developmental purposes provides benefits that go beyond getting the job done and results into competitive advantage.

**(iii) 360 degree feedback:** 360 degree feedback, as stated by many researchers and scholars, has been perhaps the most remarkable development in the leadership development programme over the past two decades. 360 degree feedback is not a standalone event and needs other developmental activities and planning to support the process. The process works best if it starts with executors at the top and goes down to the ground level. The timing of this process accounts for other organizational realities and careless administration is a setback for the model.

Another kind of leadership development programme gaining popularity has been involving teams. Teams were not so pervasive part of the organization earlier, but it has now become integral part. Development today means providing people with opportunities to learn from their work rather than taking them away from their work to learn and team learning helps them to achieve it.

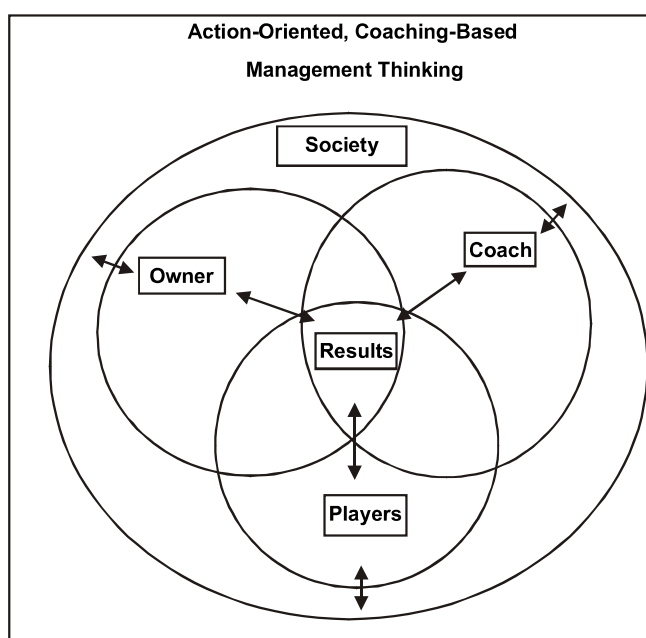


**Fig. 7.1** Coaching and Management Thinking

## Importance of Leaders, Emotional Resonance on Others

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Initially leadership was dominated by the two factor approach which focused on task and relationship behaviour. These two approaches were as follows:

- (i) **Transactional approach:** It is characterized by mutual benefit between two parties to accomplish organizational goal. This model is more predictable and has short-term outcomes.
- (ii) **Transformational approach:** This approach talks about deeper values and provides sense of higher purpose and commitment to bring in organizational change. This kind of leadership is more visionary in approach and inspires trust and develops self confidence among employees.

The transformational approach to leadership is broad base prospective that encompasses many facets and dimensions of the leadership process. In general, it describes how leader can initiate, develop and carry out significant changes in organizations.

Transformational leaders set out to empower followers and nourish them for change. They attempted to raise the consciousness in individuals and to get them to transcend their own self interest for the sake of others. Transformational leadership created a culture in which employees felt empowered and encouraged to freely discuss and try new things.

To create change, transformational leaders become strong role models for their followers.

They have a highly developed set of moral values and self-determined identity. They are confident, competent and articulate and express strong ideals. They listen to followers and are not intolerant of opposing viewpoints; a spirit of cooperation often develops between these leaders and their followers. Followers want to emulate transformational leaders because they learn to trust them and believe in the idea for which they stand.

Transformational leaders have an emotional impact on others and that leads to trust, worthiness, genuineness, authenticity and credibility in the organization. Transactional leadership differs from transformational leadership in that the transactional leader does not individualize the needs of subordinates or focus on their personal development. Transactional leaders exchange things of value with subordinates to advance. Transactional leaders are influential because it is in the best interest of subordinates to do what the leader wants. In essence, transformational leadership produces greater effects than transactional leadership, whereas transactional leadership results in performance that goes beyond what is expected. Transformational leadership moves followers to accomplish more than what is usually expected out of them.

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### Check Your Progress

10. What is the action learning model of leadership?
11. Name the approach to leadership which talks about deeper values and provides sense of higher purpose and commitment to bring in organizational change.

## 7.7 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. Procedures are plans that establish a required method of handling future activities. Briefly, procedures guide actions. Rules are those required actions or non-actions allowing no discretion. Rules are basically called simple plans.
2. There are two major organizational goals in a democratic society.
  - Each learner is a unique person. Individual differences must be taken into account when programmes are chalked out.
  - Learning 'how' to learn may be as important as the learning itself.
3. Steering control (Concurrent control) is a kind of control that is used during the work being performed. Steering control ensures the accomplishment of work according to a laid down plan and takes necessary corrective action before any major problem appears due to violations of actions from pre-planned programme.
4. The availability, accessibility and secure use of technology and knowledge, increase of population, globalization and increase in demand for social and educational reforms, are a few important factors which have influenced the evolution of supervision, modifying the meaning and understanding of the term in various situations.
5. Supervision is imaginative and productive as it aims towards improvement and encourages the discovery of various types of innovative methods and means in the areas of education which are directly or indirectly concerned with the process of teaching and learning.
6. There are three major factors that define the leadership concept which are as follows:
  - Influence/support
  - Voluntary effort
  - Goal achievement
7. Democratic leaders depend on their followers' abilities, as well as their own interpersonal skills and understanding of their followers' needs, interests and capabilities (Nelson, 1950).

8. An important measure of leadership is inspiring trust and loyalty in team members. This can be done in following ways:
  - Fairness at work
  - Care and concern
  - Trust in employees
  - Feelings of accomplishment
  - Daily job satisfaction
9. Principle-centered leadership assumes that persons are effective and organizations more empowered when they are steered and influenced by those proven principles.
10. Action learning: In this model, real time organizational problems are tackled and three kinds of objectives are sort: (a) delivering measurable organizational results, (b) communicating learning specific to particular context, and (c) developing more general leadership skills and capabilities.
11. Transformational leadership talks about deeper values and provides sense of higher purpose and commitment to bring in organizational change.

## NOTES

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### 7.8 SUMMARY

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- The process of management consists of five basic functions, namely planning, organizing, directing and controlling and staffing.
- Planning is decision-making in advance or in other words choosing the alternatives and making the decision is called planning.
- Educational planning is now developing as a specialized field with its own identity and characteristics. It differs from planning in the field of general management. In India mostly proper and deep planning is not exercised.
- In any management activity, planning plays a pivotal role. It is a prerequisite to prepare a good plan for making decisions and implementing them.
- Educational planning could be a boon if it is rightly framed and a curse if it is wrongly framed.
- Directing is one of the major functions of managerial process that assures the efficient working of organization to achieve the organizational objectives.
- Major functions of managerial process include controlling and monitoring of various operations or activities. In a general opinion control is an autocratic term.
- Educational supervision is defined as the process of providing facilities for students and to train teachers in order to make children better learners.

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Supervision can be defined as a superior vision, that is, a 'vision with a mission'. Looking beyond what is already established and nurturing a comprehensive perspective for the growth of education, forms the crux of supervision.

- Nature of Educational Supervision is based on the following principles: Supervision is based on philosophy, Supervision is democratic, Supervision is creative and constructive, Supervision is scientific, Supervision is professional, Supervision is progressive.
- Objectives of Educational Supervision: To improve knowledge and skills of teachers, incorporation of new trends, improvement of teaching-learning situation, and promotion of good relationship.
- There are three major factors that define the leadership concept which are as follows:
  - o Influence/support
  - o Voluntary effort
  - o Goal achievement
- One of the major works with respect to styles of leadership is based on the study carried out in 1939 and 1940 by two American researchers, White and Lippitt (1959) and is regarded as one of the classical experiments in social psychology. They compared the two contrasting ways of behaving or styles of leadership: the *autocratic* and *democratic*.
- A skill is an acquired talent that a person develops related to a specific taste. Skill changes with training and experience and from one task to another. Leaders cannot be trained to develop an ability or aptitude, but they can be trained for a new leadership skill. Different leadership skills for which a leader can be trained can be identified.
- There is a core set of leadership skills which form the base for transferring a good employee into a contributing leader. Such skills are the first steps in building strong supervisors, managers, executives and leaders.
- There is a core set of leadership skills which form the base for transferring a good employee into a contributing leader. Such skills are the first steps in building strong supervisors, managers, executives and leaders.
- There has been variety of leadership developmental experiences. Classroom type of leadership development programme which was initially the primary formal development mode has now been complemented by other various activities.
- Classroom training though primary should not be the only part in the development initiative. While training may be necessary element, developmental experiences are likely to have the greatest impact on the



employees. Activities like coaching, monitoring, action learning, 360 degree feedback are increasingly becoming key elements of leadership development initiatives.

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## 7.9 KEY WORDS

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- **Educational supervision:** It is defined as the process of providing facilities for students and to train teachers in order to make children better learners.
- **Coaching:** It involves practical, goal focused forms of one-on-one learning ideally to bring in behavioural change.
- **Monitoring:** Monitoring is defined as long-term relationship in which a senior person supports the personal and professional development of a junior person.

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## 7.10 SELF ASSESSMENT QUESTIONS AND EXERCISES

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### Short Answer Questions

1. State the importance of organizing in educational management.
2. Briefly discuss the types of control.
3. Write a short note on educational planning in India.
4. List the points that clearly depict the nature of leadership.
5. What are some of the leadership skills which can be used for training leaders?

### Long Answer Questions

1. Discuss the steps and principles of planning.
2. Describe the nature and purpose of planning.
3. Explain the steps in the control process.
4. Examine the objectives and nature of educational supervision.
5. Assess the core skills of leadership.
6. Examine, in detail, the different leadership styles.

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## 7.11 FURTHER READINGS

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## UNIT 8 HUMAN RESOURCE MANAGEMENT

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#### Structure

- 8.0 Introduction
- 8.1 Objectives
- 8.2 Meaning of Human Resource Management in Educational Organizations
- 8.3 Dynamics of Human Behaviour
- 8.4 Interpersonal Behaviour
  - 8.4.1 Types of Interpersonal Behaviour
- 8.5 Behavioural Norms
- 8.6 Code of Ethics for Teachers
- 8.7 Conflict Management
- 8.8 Answers to Check Your Progress Questions
- 8.9 Summary
- 8.10 Key Words
- 8.11 Self Assessment Questions and Exercises
- 8.12 Further Readings

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### 8.0 INTRODUCTION

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There is a famous saying that goes, ‘unity is strength’, which is true in all spheres of human life. As social beings, we live together, are associated with each other, share with each other, feel pleasure and pain of one another and help each other in different purposes and phases of life. When we talk about organization, it denotes that the operation of a system may be for educational or any other purposes. In an organization, hundreds of things are to be considered for maintaining a well-defined procedure in order to manage the organization.

An organization is developed for various purposes like, social well-being, economical dealings, educational institution, religious institution, etc. Among organizations, establishing an educational organization and maintaining its good management and administration is a big task for organizers. We know that development of a country and its people depends on the education system and its management, because all other forms of development of the nation are rooted in its education. For getting significant production and quality assurance from our education system there is a need to establish better administration and management of educational institutions.

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### 8.1 OBJECTIVES

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After going through this unit, you will be able to:

- Discuss the meaning of HRM in context to educational organizations
- Analyse the dynamics of human behaviour
- Describe interpersonal behaviour and behavioural norms
- Explain the code of ethics for teachers
- Understand the meaning of conflict management

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### 8.2 MEANING OF HUMAN RESOURCE MANAGEMENT IN EDUCATIONAL ORGANIZATIONS

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Human relation management and motivation theory are important aspects of managing higher education institute. The institute cannot survive for long, if it does not manage human relation and resources. Among the many pillars in educational management and administration it is one of the foundation pillars which holds the entire system of management of higher education institute. Human relation theory is considered a crucial area of focus in the field of organizational behaviour.

Before discussing in detail about the human relations movement, let us look at the history of this concept. It is considered that the human relation movement started with Elton Mayo in the year 1927 in the name of the theory as 'Hawthorne Effect'. Many human relation motivational theories are used by the good educational managers but the theory developed by Abraham Maslow namely 'Hierarchy of needs' in the year 1951 is the most influential among all.

Mayo experimented on the workers at a Western Electric Plant in Cicero and found that worker productivity increased by 112 per cent when workers believed that they were being watched, observed, and studied. Thus, we can say that carefully observing the works of the faculties may result in higher production, which the manager of educational institute can practice.

Secondly, Maslow's theory of 'Hierarchy of Needs' basically studied that people are motivated to work when they are to meet their own needs. He suggested five levels of hierarchical needs arranged from the lowest to the highest order, as follows:

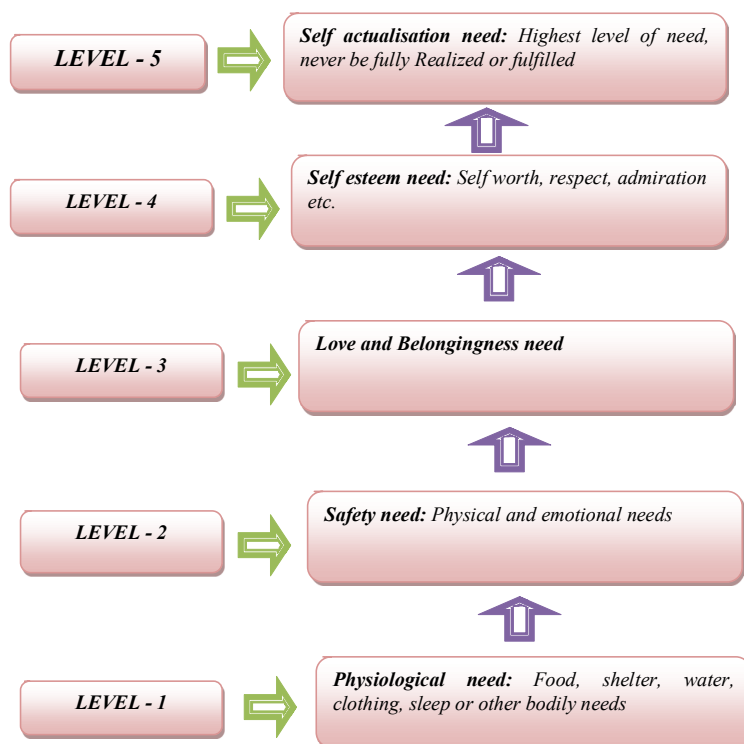


**Fig 8.1** Maslow's Theory of 'Hierarchical Needs'

According to this theory, the lower level needs must be fulfilled before the higher one. So the greatest motivator is the fulfilment of the lowest needs. In this regard, the management of the educational institute should be careful enough to make the employees satisfied with the needs related to their work force, otherwise the intense result may not be achieved.

Now, let us discuss another theory called, Existence, Relatedness, and Growth (ERG) theory, developed by Alderfer. In his view, he arranged Maslow's hierarchy needs into three broad categories (see figure 8.2).

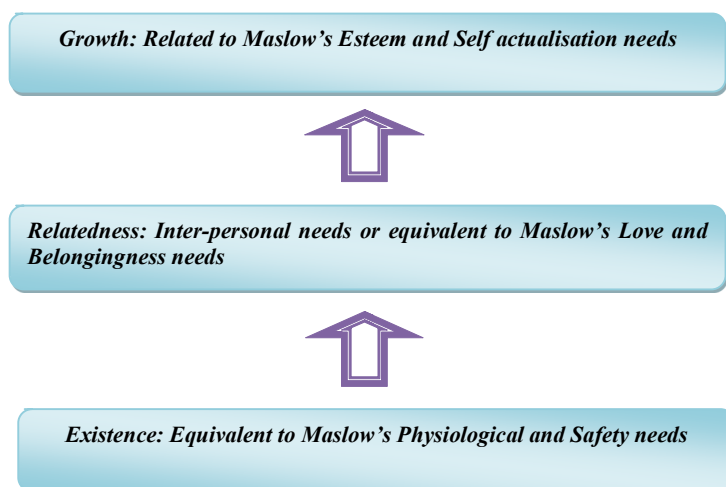


**Fig 8.2** Alderfer's Theory of ERG

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The ERG theory is different in the sense that there is no need to meet the lower needs before going to meet the higher ones. In case the higher level needs are not met the workers mostly regress and are distracted by the lower level needs.

The above discussion clarifies that, both the lower and higher level needs of the employees need to be taken care of. Is it the manager of the educational institute who carefully observes and analyses the employees' needs? And whether they are supposed to contribute to the institute? An atmosphere of love and belongingness, oneness should be developed among the employees with the management in the educational institute so that better output can be expected from the system.

Moreover, if we closely analyse, we can reach the conclusion that managing an educational institute is purely different than managing any other organization. Educational institute is an industry only in the sense that it makes 'constructive citizen' but not as the product for the commercial purpose. For that, human relation and value based approaches need to be practiced in every transaction of human deliberation to manage educational institute effectively. Some of the other important human relation movements need to be taken care of in educational management. These are as follows:

- To identify the strong points and weaknesses of the employees.
- To analyse the specific skills required for performing a particular task and assignment.
- To analyse the job and the staffing procedure to carry on the work.
- To engage that particular staff who has some specific skills and abilities to perform some specific task.
- As a manager of the institute, there is the need to regularly visit and observe the progress of the work.
- There is a need to conduct staff meeting at every week end or fortnight, aiming to know the progress of academic and non-academic activities.
- In case there is the requirement of meeting any staff personally, that should be done immediately.
- The gap of management and staffs because of the official portfolio needs to be minimised but professional attitude should be managed by both the sides.
- Observation of various occasions needs to be celebrated for establishing a feeling of homely atmosphere in the institute.
- Employees should be awarded at the annual occasion for exemplary and significant contribution for the growth of the institute.

At the end we can conclude by saying that, maintaining a good rapport, coordination, and cooperation with the staff in the educational institutions by the management of the institute is the key for its success. It is difficult to come up but

it is easy to come down, means, the manager of the institute should involve personally in the every development of the institute and experience the difficulties of employees in each stage.

### Check Your Progress

1. What were the results of Mayo experiments?
2. What is the full form of ERG theory?

### NOTES

## 8.3 DYNAMICS OF HUMAN BEHAVIOUR

It is very essential to understand human behaviour in today's world as the existence of the organization depends on the employees/individuals. Without understanding human behaviour it is very difficult to work in an organization.

In order to understand human behaviour let us see how the perception of human being has changed from time to time. All organizations are composed of individuals, with different personality, attitudes, values, perception, motives, aspirations and abilities. The main reason to understand behaviour is that individuals are different. No two individuals are similar. In the early studies, theories of organization and management treated people as though they were the same; scientific management was based on the similarities among workers, not the differences. In contrast, modern theories of human behaviour are based upon the differences among people and how those differences can affect the organisation. Individual differences are many for example some employees are motivated to work and some are not. This can be due to several reasons, and can be known by further reading the unit. Before we proceed to understand human behaviour, it is better to know what the term 'behaviour' means. Behaviour can be defined as a response/s which is observed directly/indirectly. Direct observation is possible by studying the responses of people to a work environment. Indirect observations are decision making processes and attitudes, in terms of results or how people describe them verbally. Human behaviour is very much unpredictable. In behaviour we cannot assume one set pattern of behaviour. Lavitt classified behaviour as: (i) Caused behaviour, (ii) Motivated behaviour, (iii) Goal oriented behaviour. From these observations it can be understood that behaviour is a dependent factor. By understanding behaviour one can predict, direct, change and control behaviour of individuals or group. There are generally four basic assumptions regarding nature of people: individual differences, a whole person, caused behaviour (motivation) and value of the person (human dignity). In an organisational set up it is essential for managers to understand behaviour as they are constantly with people, interacting with them in terms of communication (either written or oral) in terms of work (either by specifying the work and getting things done). Understanding past behaviour is important for developing effective human skills, and it also provides a framework for predicting behaviour. It also gives an idea to managers as to how

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behaviour is similar in certain circumstances and changing in changing environmental conditions. Another skill which an effective manager or leader needs is the ability to direct, change and control behaviour. Managers have to understand that there are going to be individual differences among the employees, as no individual is similar to other. Each individual is unique by themselves. Then one has to understand that each individual has to be taken care of as a whole person by taking care of his needs as well as training and making him up to date in terms of work. Ultimately human beings have to be treated with respect only then you can expect effective performance. With the following descriptions you will be able to understand the concept better.

### Implications for the organization

Behaviour of individuals is caused, and follows a pattern, because of this, behaviour is unpredictable. Study of behaviour is however, rewarding and necessary for management. It is doubtful whether the manager can perform his tasks satisfactorily without developing a fair degree of understanding of the people around him. Any attempt to learn why people behave as they do in organisations requires some understanding of individual differences. Managers spend considerable time making judgements about the fit between individuals, job tasks and from these approaches it can be concluded that there is an overwhelming consensus that the environment has a much greater effect than it is believed. The implications for organisations are important. It means that large areas of human behaviour are modifiable. Organisational design, training and development can have a profound impact on the behaviour of the members of an organisation.

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## 8.4 INTERPERSONAL BEHAVIOUR

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Interpersonal behaviour is the behaviour and actions that are present in human relationships. The way in which people communicate, and all that this entails, is considered interpersonal behaviour. Interpersonal behaviour may include both verbal communication and nonverbal cues, such as body language or facial expressions. Verbal interpersonal behaviour consists of joking, relating to one another via the art of storytelling, and taking or following orders. Interpersonal skills are highly desirable in many situations, specifically careers that rely on personal relationships such as the health care industry or sales.

The study of interpersonal behaviour is a social science that examines the way people interact with one another.

### 8.4.1 Types of Interpersonal Behaviour

- 1. Aggressive behaviour:** Aggressive behaviour is that type of interpersonal behaviour in which a person stands up for their own rights in such a way that the rights of others are also violated. Aggressive behaviour humiliates, dominates, or puts the person down rather than simply expressing one's



own emotions or thoughts. It is an attack on the person rather than on the person's behaviour. Aggressive behaviour is quite frequently a hostile over-reaction or outburst, which results from past pent-up anger.

2. **Non-assertive behaviour:** Non-assertive behaviour is that type of interpersonal behaviour, which enables the person's rights to be violated by another. This can occur in two ways: first, you fail to assert yourself when another person deliberately attempts to infringe upon your rights. Second, the other person does not want to encroach upon your rights, but your failure to express your needs of feelings results in an inadvertent violation. A non-assertive person inhibits her/his honest, spontaneous reactions and typically feels hurt, anxious and sometimes angry as a result of being non-assertive in a situation. Often, this person relives the situation in their minds pretending how they would do things differently if it happened again.
3. **Assertive behavior:** Assertive behaviour is that type of interpersonal behaviour in which a person stands up for their legitimate rights in such a way that the rights of others are not violated. It communicates respect for that person's behaviour. Assertive behaviour is an honest, direct and appropriate expression of one's feelings, beliefs, and opinions.

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### 8.5 BEHAVIOURAL NORMS

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Norm refers to attitudes and behaviours that are considered normal, typical or average within that group. All societies have cultural norms. Even though norms influence every facet of our lives, including what we value, our attitudes, and how we behave, we are often unaware that we are influenced at all.

According to the psychological definition of social norms' behavioural component, norms have two dimensions: how much a behaviour is exhibited, and how much the group approves of that behaviour.

Schoolwide and classroom norms are the foundation for respectful behaviour among all in the school community. Norms that simply hang on a poster in the classroom or teacher's room will not create a positive school culture; they need to be discussed and used daily to guide interactions and behaviour. Students and teachers must understand and own the norms and hold themselves and their peers accountable for the specific behaviours that define those norms. This takes dedicated time, every day.

#### How norms support a positive classroom

- Through a series of open-ended questions, teachers and students co-create behavioural norms for the classroom.
- A set of norms should be concise (no more than seven), kid-friendly, and applicable to all members of the classroom community.

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- Norms are posted prominently in the classroom and serve as the reference point for all conversations about interactions among students and between students and teachers.

### Why It Matters

- Co-creating norms embodies the essence of self-discipline.
- Students know and appreciate being genuinely included in the process of governing themselves and their classroom.
- When implemented at the beginning of the year, norms creation also serves the powerful role of being the first message students hear about how their classroom is going to run: “I care about what you say. I care about what you think. We’re in this together.”

### Connecting Classroom Norms to Schoolwide Norms

How schoolwide norms come alive through classroom norms.

#### What It Is

- Every school has a code of conduct – a list of disciplinary guidelines, norms, positive character traits or even a “list of words to live by” that live in the handbook or on posters. To make school wide norms come alive, they need to be frequently discussed and reinforced in every classroom.
- All members of a school community commit to character values or norms that list positive dispositions of character rather than behavioural rules.
- Individual classrooms analyze those character values or norms and name specific behaviours and evidence of what they look like.
- We are courageous. This means us: Stand up for our classmates when they are being treated badly; Take the risk to ask questions and make mistakes in class.
- These commitments and dispositions are discussed every day—in classroom meetings, advisories, and lessons—and students are publicly affirmed and celebrated for displaying positive habits, and held accountable for breaking them.
- Common norms provide a common language of respect.
- Coherent and consistent expectations throughout the school community support students on their journey to self-management.

### Problem Solving and Consequences for Poor Choices

Behaviour is guided by choices and/or logical consequences.

#### What It Is

- Daily classroom management should always strive for positive reinforcement and behavioural correction that helps students grow.

- The goal of all problems solving with students is to encourage growth of their self-management and self-discipline.
- Consequences for poor choices should be relevant, respectful, and realistic.
- Provide students with choices when giving corrections and consequences.

## NOTES

### Why It Matters

- Perhaps nothing you do carry more weight with your students than how you manage misbehaviour. All your norms, circles, advice and advisory periods mean nothing if you don't deliver on what you say when it really counts.
- Fair and logical consequences make students feel safe and supported. In turn, the classroom community is strengthened.

## 8.6 CODE OF ETHICS FOR TEACHERS

A code of ethics is a guide of principles designed to help professionals conduct business honestly and with integrity. A code of ethics also referred to as an “ethical code,” may encompass areas such as business ethics, a code of professional practice and an employee code of conduct.

The Code of Professional Ethics for teachers provides a framework of principles to guide them in discharging their obligations towards students, parents, colleagues and community. Increased awareness of the ethical principles governing the teaching profession is essential to ensure ‘professionalism’ among teachers.

It is universally felt that like all other professions, the teaching profession should also have its own Code of Professional Ethics which indeed is a pre-requisite to ensure its dignity and integrity. It is also significant that the Right of Children to Free and Compulsory Education Act, 2009 entrusts teachers with some onerous professional responsibilities to be internalized by them in the performance of their duties. Accordingly, it is considered necessary that the Code of Professional Ethics be evolved and adopted by the teaching community. For the purpose of this Code, the term “teacher” covers all school teachers, whether in government or private schools, on full-time or part-time basis, at the elementary and secondary levels and the teachers holding administrative and supervisory positions. The Code of Professional Ethics for teachers provides a framework of principles to guide them in discharging their obligations towards students, parents, colleagues and community. Increased awareness of the ethical principles governing the teaching profession is essential to ensure ‘professionalism’ among teachers.

Code of Professional Ethics for school teachers is an attempt to provide direction and guidance to the teachers in enhancing the dignity of their professional work.

## NOTES

### 1. Obligations towards Students

- Treats all students with love and affection.
- Respects the value of being just and impartial to all students irrespective of their caste, creed, religion, sex, economic status, disability, language and place of birth.
- Facilitates students' physical, social, intellectual, emotional, and moral development.
- Respects basic human dignity of the child in all aspects of school life.
- Makes planned and systematic efforts to facilitate the child to actualize his/her potential and talent.
- Transacts the curriculum in conformity with the values enshrined in the Constitution of India. Adapts his/her teaching to the individual needs of students.
- Maintains the confidentiality of the information concerning students and dispenses such information only to those who are legitimately entitled to it.
- Refrains from subjecting any child to fear, trauma, anxiety, physical punishment, sexual abuse, and mental and emotional harassment.
- Keeps a dignified demeanor commensurate with the expectations from a teacher as a role model.

### 2. Obligations towards Parents, Community and Society

- Establishes a relationship of trust with parents/guardians in the interest of all round development of students.
- Desists from doing anything which is derogatory to the respect of the child or his/her parents/guardians.
- Strives to develop respect for the composite culture of India among students.
- Keeps the country uppermost in mind, refrains from taking part in such activities as may spread feelings of hatred or enmity among different communities, religious or linguistic groups.

### 3. Obligations towards the Profession and Colleagues

- Strives for his/her continuous professional development.
- Creates a culture that encourages purposeful collaboration and dialogue among colleagues and stakeholders.
- Takes pride in the teaching profession and treats other members of the profession with respect and dignity.
- Refrains from engaging himself/herself in private tuition or private teaching activity.

- Refrains from accepting any gift, or favour that might impair or appear to influence professional decisions or actions.
- Refrains from making unsubstantiated allegations against colleagues or higher authorities. Avoids making derogatory statements about colleagues, especially in the presence of pupils, other teachers, officials or parents.
- Respects the professional standing and opinions of his/her colleagues.
- Maintains confidentiality of information concerning colleagues and dispenses such information only when authorized to do so.

Like all other professions, the teaching profession should also move towards selfregulation, which implies that every teacher should have the inner urge to adhere to the ethical principles listed in the Code of Professional Ethics for teachers.

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### 8.7 CONFLICT MANAGEMENT

The concept of conflict, being an outcome of behaviours, is an integral part of human life. Wherever there is interaction there is conflict. Conflict can be defined as a disagreement between two or more individuals or groups, with each individual or group trying to gain acceptance of its view or objectives over others. Because people differ in their attitudes, values and goals, conflict among them becomes unavoidable. Accordingly, the management is concerned not so much with eliminating conflict which would be impossible, but to contain it and manage it for organizational and individual benefit.

The personal conflict is more emotional in nature and reflects feelings, anger, distrust, fear, resentment, clash in personality, antagonism, tension, etc. The organizational conflict, on the other hand, involves disagreements on such factors as allocation of resources, nature of goals and objectives, organizational policies and procedures, nature of assignments and distribution of rewards. This conflict at its worst can lead to unnecessary stress, blockage in communication, lack of cooperation, increased sense of distrust and suspicion and this results in lost friendships and reduced organizational effectiveness.

Conflict has always been considered as undesirable so that it should be avoided when possible and resolved soon if it occurs. Both the scientific management school and the administrative school of management relied heavily on developing such organizational structures that would specify tasks, rules, regulations, procedures, authority relationships etc., so that any conflict can be avoided and if there is a conflict then such built-in rules and regulations would identify and correct problems of conflict. The Human Relations School subscribed to similar theory that conflict is avoidable by creating an environment of goodwill and trust. According to William R. Scott, good human relations can prevent conflicts, whether they are between individual and organizational objectives, between line and staff personnel, between one's ability and authority etc.

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The modern management view is not so negative about conflict. It believes that conflict can be helpful and constructive if handled properly. As a matter of fact, moderate level of conflict is helpful in such organizations as Research and Development firms, advertising agencies, public policy groups etc. Some of the positive consequences of conflict are:

- (a) It helps in analytical thinking. Conflict may induce challenge to views, opinions, rules, policies, goals, plans etc., which would require critical analysis in order to justify these as they are or make changes as required. As H. M. Carlisle put it, “no situation is more detrimental to an organization than letting poor decisions go unchallenged.”
- (b) It helps in ‘increased cohesion’. Conflict between different organizations develops loyalty and cohesion within an organization and a greater sense of group identity in order to compete with outsiders. It helps in dedication and commitment to organizational goals.
- (c) Conflict promotes competition and hence it results in increased efforts. Some individuals are highly motivated by conflict and severe competition. For example, a professor who is turned down for a promotion due to conflict within the department may work harder to prove that he is more capable and deserves a promotion. Thus it may lead to high level of effort and output.
- (d) It serves as a foundation for organizational development. Conflict with the status quo is a pre-requisite to change. Creative and innovative people are always looking for grounds to challenge the status quo. These challenges lead to search for alternatives to exist-ing patterns which leads to organizational change and development.
- (e) Conflict, when expressed, can clear the air and reduce tension. Some disagreements if unexpressed can lead to imaginative distortions of truth, sense of frustration and tension, high mental exaggerations and biased opinions resulting in fear and distrust. However, when it is expressed, it may show the cause of conflict to be minor, resulting in cooperation and compromise.

### Types of Conflict Situations

Since conflict has both positive and negative connotations and consequences, it must be carefully looked into and managed. The management must survey the situation to decide whether to stimulate conflict or to resolve it. Thomas and Schmidt have reported that managers spend up to 20 % of their time in dealing with conflict situations. Hence, it is very important that managers understand the type, of conflict that they have to deal with so that they can devise some standardized techniques in dealing with common characteristics of conflicts in each type or category. There are five basic types of conflicts. These are:

1. **Conflict within the individual:** The conflict within an individual is usually value related where the role playing expected of an individual does not

conform to the values and beliefs held by the individual. For example, a secretary may have to lie on instructions that her boss is not in to avoid an unwanted visitor or unwanted telephone. This may cause a conflict within the mind of the secretary who may have developed an ethic of telling the truth. Similarly, many Indians who are vegetarians and come to America and find it very hard to remain vegetarians, may question the necessity of the vegetarian philosophy thus causing a conflict in their minds.

In addition to these value conflicts, a person may have a role conflict. For example, a telephone operator may be required and advised to be polite to the customers by her supervisor who may also complain that she is spending too much time with customers. This would cause a role conflict in her mind. Conflict within an individual can also arise when a person has to choose between two equally desirable alternatives or between two equally undesirable goals etc.

2. **Interpersonal conflict:** This conflict involves conflict between individuals and is probably the most common and most recognized conflict. This may involve conflict between two managers who are competing for limited capital and manpower resources. Similarly interpersonal conflicts, can develop when there are three equally deserving professors and they are all up for promotion, but only one of them can be promoted because of budget and positional constraints. This conflict becomes further acute when the scarce resources cannot be shared and must be obtained.

Another type of interpersonal conflict can relate to disagreements over goals and objectives of the organization. For example, some members of a board of a school may want to offer courses in sex, education while others may find these morally offensive thus causing conflicts. Similarly a college or a university may have a policy of quality education, screening in only the top quality students while some members of the organizational board may propose “open admissions” policy where all high school graduates should be considered for admission. These situations can cause conflicts among members of the governing board. In addition to conflicts over the nature and substance of goals and objectives, the conflicts can also arise over the means to reach those goals. For example, two marketing managers may argue as to which promotional methods would result in higher sales. These conflicts become highlighted when they are based upon opinions rather than facts. Facts are generally indisputable resulting in agreements. Opinions are highly personal and subjective and may provide for criticism and disagreements.

These conflicts are often results of personality clashes. People with widely differing characteristics and attitudes are bound to have views and aims that are inconsistent with the views and aims of others.

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3. ***Conflict between the individual and the group:*** As we have discussed before, all formal groups as well as informal groups have established certain norms of behaviour and operational standards which all members are expected to adhere to. The individual may want to remain within the group for social needs but may disagree with the group methods. For example, in some restaurants all tips are shared by all waiters and waitresses. Some waitress who may be overly polite and efficient may feel she deserves more, thus causing a conflict with the group. Similarly, if a group is going on strike for some reason, some members may not agree with these reasons or may not be able to afford to go on strike, thus causing conflict with the group.

This conflict may also be between the manager and his subordinates as a group or between the leader and the led. A manager may take disciplinary action against a member of the group causing conflict which may result in reduced productivity. “Mutiny on the Bounty” is a classic example of rebellion of crew against the leader, based upon their treatment. The conflict among the armed forces is taken so seriously that the army must obey their commander, even if the command is wrong and in conflict with what others believe in.

4. ***Inter-group conflict:*** An organization is an interlocking network of groups, departments; sections or work teams. These conflicts are not so much personal in nature, as they are due to factors inherent in the organizational structure. For example, there is active and continuous conflict between the union and the management. One of the most common, unfortunate and highlighted conflicts is between line and staff. The line managers may resent their dependence on staff for information and recommendations. The staff may resent their inability to implant directly their own decisions and recommendations. This interdependence causes conflict. These conflicts which are caused by task interdependencies require that the relationship between interdependent units be redefined wherever the values of these interdependent factors change, otherwise these conflicts will become further pronounced.

These interunit conflicts can also be caused by inconsistent rewards and differing performance criteria for different units and groups. For example, salesmen who depend upon their commission as a reward for the effort may promise their customers quantity of the product and the delivery times which the manufacturing department may find it impossible to meet, causing a conflict between the two units.

Different functional groups within the organization may come into conflict with each other because of their different specific objectives. There are some fundamental differences among different units of the organization both in the structure and process and thus each unit develops its own organizational subculture. These subcultures, according to Lawrence and



Lorsch, differ in terms of (a) goal orientation, which can be highly specific for production, but highly fluid for Research and Development, (b) time orientation which is short run for sales and long run for research, (c) formality of structure which is highly informal in research and highly formal in production, and (d) supervisory style which may be more democratic in one area as compared to another.

A classic example of interunit conflict is between sales and production, as discussed earlier. The sales department is typically customer-oriented and wants to maintain high inventories for filling orders as they are received, which is a costly option as against the production department which is strongly concerned about cost effectiveness, requiring as little inventory of finished product at hand as possible.

Similarly, the intergroup conflicts may arise between the day shift and night shift workers who might blame each other for anything that goes wrong from missing tools to maintenance problems.

5. **Inter-organizational conflict:** The conflict also occurs between organizations, which in some way are dependent upon each other. This conflict may be between the buyer organizations and supplier organizations about quantity, quality and delivery times of raw materials and other policy issues, between unions and organizations employing their members, between government agencies that regulate certain organizations and the organizations that are affected by it. These conflicts must be adequately resolved or managed properly for the benefit of both types of organizations.

### The Causes of Conflict

The various types of conflict, as discussed above, have already been pointed out in the previous discussion. Basically, the causes of conflict fall into some distinct categories. Accordingly, these causes can be restructured and placed into one of these categories. These are:

1. **Behavioural aspects of conflict:** These conflicts arise out of human thoughts and feelings, emotions and attitudes, values and perceptions etc. This conflict can arise by a simple misunderstanding or an error in communication. A misunderstood message can create a lot of problems. This conflict can also arise due to differing viewpoints about various issues. For example, two Vice-Presidents may differ about their viewpoint about which strategic plans to implement. Another aspect of the conflict can be based on emotions, feelings perceptions and values. These feelings may be the feelings of anger, distrust, fear or simply dislike due to personality differences. This may also be based upon religion, race or sex. Some men feel poorly about women workers. These conflicts are not about issues, but about persons. Some families carry on enmity for generations.

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The value based conflicts arise due to different values which may be culturally based. For example, a Vice-President may want to fire some workers to save costs while another Vice-President may have human sensitivity and support other methods of cutting costs. As another example, a professor may value freedom of teaching methods and close supervision of his techniques may cause conflicts.

The personality of an individual may in itself be a cause of conflict. For example, some people by nature are consistently aggressive and hostile and hence are highly likely to induce conflict. Studies conducted by Walton and Dutton showed that people with highly authoritarian nature, highly dogmatic people and people with low self-esteem are more likely to induce conflict.

2. **Structural aspects of conflicts.** These conflicts arise due to issues related to the structural design of the organization as a whole as well as its sub-units. Some of these issues involve:

- (a) **Role ambiguity:** A role is a set of activities associated with a certain position in the organization or in the society. According to Kahn, if these work activities are ill defined, then the person who is carrying out these activities will not behave as others expect him to because his role is not clearly defined. This will create conflict, especially between this individual and those people who depend upon his activities. A hospital or a medical clinic employing a number of physicians with overlapping specialities might cause conflict due to role ambiguity. Such conflicts can be reduced by redefining and clarifying roles and their interdependencies. In addition to role ambiguity, there may be a role conflict. The role conflict occurs when two or more persons have different and sometimes opposing expectations of a given individual. For example, an architect may be expected to produce creative designs while on the other hand, there may be time constraints put upon him, both roles being in conflict with each other. Similarly, a contractor may ask a carpenter to do something which may be different than what the city building codes prescribe. Another type of role conflict is the inter-role conflict where an individual plays more than one role simultaneously in his life and the demands of these roles conflict with each other. For example, a father may know that his son has committed a crime, but does not inform the police, or a police officer may be invited to his brother's wedding party where the guests use drugs which is against the law etc.

- (b) **Design of work-flow:** These are primarily inter-group problems and conflicts which are the outcomes of poorly designed work-flow structure and poorly planned coordination requirements, especially where the tasks are interdependent. According to Sashkin and Morris,

“organizations are made up of many different groups that must work together towards the accomplishment of common objectives.” For example, in a hospital, the doctors and nurses must work together and their tasks are highly interdependent. If they do not coordinate their activities well, there will be confusion and conflict. Similarly, in a restaurant, the cook and the waiter depend upon each other for critical information and services. A poorly designed work-flow and uncoordinated activities between the cook and the waiter would create conflict and problems.

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### Conflict Resolution

Except in very few situations in which the conflict may lead to competition and creativity so that in those situations the conflict can be encouraged, in all other cases where conflict is destructive in nature it should be resolved once it has developed, but all efforts should be made to prevent it from developing. Some of the preventive measures that the management can take, according to Schein are:

- (a) **Goal structure:** Goals should be clearly defined and the role and contribution of each unit towards the organizational goals must be clearly identified. All units and the individuals in these units must be aware of the importance of their role and such importance must be fully recognized.
- (b) **Reward system:** The compensation system should be such that it does not create individual competition and conflict within the unit. It should be appropriate and proportionate to the group effort and should reflect the degree of interdependence among units wherever necessary.
- (c) **Trust and communication:** The greater the trust among members of the unit, the more honest and open the communication among them would be. Individuals and units should be encouraged to communicate openly with each other so that they can all understand each other, understand each other's problems and help each other when necessary.
- (d) **Coordination:** Coordination is the next step to communication. Properly coordinated activities reduce conflict. Wherever there are problems in coordination, a special liaison office should be established to assist such coordination.

### Check Your Progress

3. How has Lavitt classified behaviour?
4. What is interpersonal behaviour?
5. What are the two dimensions of norms?
6. What are the Code of Professional Ethics for teachers?

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## 8.8 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. Mayo experimented on the workers at a Western Electric Plant in Cicero and found that worker productivity increased by 112 per cent when workers believed that they were being watched, observed, and studied.
2. The full form of ERG theory is Existence, Relatedness, and Growth (ERG) theory.
3. Lavitt classified behaviour as: (i) Caused behaviour, (ii) Motivated behaviour, (iii) Goal oriented behaviour.
4. Interpersonal behaviour is the behaviour and actions that are present in human relationships. The way in which people communicate, and all that this entails, is considered interpersonal behaviour. Interpersonal behaviour may include both verbal communication and nonverbal cues, such as body language or facial expressions.
5. According to the psychological definition of social norms' behavioural component, norms have two dimensions: how much a behaviour is exhibited, and how much the group approves of that behaviour.
6. The Code of Professional Ethics for teachers provides a framework of principles to guide them in discharging their obligations towards students, parents, colleagues and community.

## 8.9 SUMMARY

- Human relation management and motivation theory are important aspects of managing higher education institute. The institute cannot survive for long, if it does not manage human relation and resources.
- Mayo experimented on the workers at a Western Electric Plant in Cicero and found that worker productivity increased by 112 per cent when workers believed that they were being watched, observed, and studied. Thus, we can say that carefully observing the works of the faculties may result in higher production, which the manager of educational institute can practice.
- It is very essential to understand human behaviour in today's world as the existence of the organization depends on the employees/individuals. Without understanding human behaviour it is very difficult to work in an organization.
- All organizations are composed of individuals, with different personality, attitudes, values, perception, motives, aspirations and abilities. The main reason to understand behaviour is that individuals are different. No two individuals are similar.

## NOTES

- Behaviour of individuals is caused, and follows a pattern, because of this, behaviour is unpredictable. Study of behaviour is however, rewarding and necessary for management. It is doubtful whether the manager can perform his tasks satisfactorily without developing a fair degree of understanding of the people around him.
- Interpersonal behaviour is the behaviour and actions that are present in human relationships. The way in which people communicate, and all that this entails, is considered interpersonal behaviour. Interpersonal behaviour may include both verbal communication and nonverbal cues, such as body language or facial expressions.
- Norm refers to attitudes and behaviours that are considered normal, typical or average within that group. All societies have cultural norms. Even though norms influence every facet of our lives, including what we value, our attitudes, and how we behave, we are often unaware that we are influenced at all.
- A code of ethics is a guide of principles designed to help professionals conduct business honestly and with integrity. A code of ethics also referred to as an “ethical code,” may encompass areas such as business ethics, a code of professional practice and an employee code of conduct.
- The concept of conflict, being an outcome of behaviours, is an integral part of human life. Wherever there is interaction there is conflict. Conflict can be defined as a disagreement between two or more individuals or groups, with each individual or group trying to gain acceptance of its view or objectives over others.

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### 8.10 KEY WORDS

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- **Maslow’s hierarchy of needs:** It is a description of the needs that motivate human behaviour. In 1943, Abraham Maslow proposed five different kinds of human needs, beginning with the most basic: survival. Physiological needs, such as food and shelter, are followed by needs related to safety.
- **ERG theory:** ERG theory from 1969 condenses Maslow’s five human needs into three categories: Existence, Relatedness and Growth.

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### 8.11 SELF ASSESSMENT QUESTIONS AND EXERCISES

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#### Short Answer Questions

1. State the different levels of Maslow’s theory of ‘Hierarchical Needs’.
2. Write a short note on behavioural norms.

## NOTES

3. State the different causes of conflict.
4. Differentiate between assertive and non-assertive behaviour.

### Long Answer Questions

1. Discuss the implications of different code of ethics for teachers.
2. Explain the process of conflict management and resolution.
3. Analyse the need of human resource management in educational organizations.
4. Why is it essential for managers to understand behaviour of its employees?  
Comment.

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## 8.12 FURTHER READINGS

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**BLOCK - III**  
**PROFESSIONAL GROWTH AND TECHNIQUES IN**  
**MANAGEMENT, CHANGES IN EDUCATION**

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*Professional Growth of  
Educational Personnel*

**NOTES**

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**UNIT 9    PROFESSIONAL GROWTH  
OF EDUCATIONAL  
PERSONNEL**

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**Structure**

- 9.0 Introduction
- 9.1 Objectives
- 9.2 Concept of Professional Growth
  - 9.2.1 Factors Facilitating Professional Growth
- 9.3 Personnel Services
  - 9.3.1 Evaluation of Professional Growth
- 9.4 Financial Resources: Allocation and their Efficient Use
- 9.5 Budgeting: Concept, Forms and Process of Budgeting
  - 9.5.1 Concept of Budgetary Control
  - 9.5.2 Forms and Process of Budgetary Control
- 9.6 Classification of Budgets
- 9.7 Answers to Check Your Progress Questions
- 9.8 Summary
- 9.9 Key Words
- 9.10 Self Assessment Questions and Exercises
- 9.11 Further Readings

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**9.0    INTRODUCTION**

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In education, the term professional growth and development may be used in reference to a wide variety of specialized training, formal education, or advanced professional learning intended to help administrators, teachers, and other educators improve their professional knowledge, competence, skill, and effectiveness.

In recent years, state and national policies have focused more attention on the issue of ‘teacher quality’—i.e., the ability of individual teachers or a teaching faculty to improve student learning and meet expected standards for performance.

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**9.1    OBJECTIVES**

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After going through this unit, you will be able to:

- Discuss professional growth and development

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- Analyse the factors facilitating professional growth
- Describe professional growth and personnel services
- Discuss the allocation and efficient use of financial resources
- Discuss the meaning and process of budgeting

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## 9.2 CONCEPT OF PROFESSIONAL GROWTH

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Professional growth is personalized, individualized learning pathways that help each staff member be their personal best. Within our culture of learning, there will be interests and passions that interest some, but not everyone. Professional growth opportunities will tap into those interests and strengths in support of helping people reach their next goal as professionals. Not all professional growth opportunities will have pay associated with them. These activities will be designed for people who want to expand their knowledge in order to improve their own performance. Professional growth is all about gaining new skills and experience. That means your development is either related to your current role or the role you want to do next.

Professional development can take on many forms, but the foundational level helps everyone in our system have a common understanding (of an instructional framework, of content standards, of expectations, etc.). Professional development helps us ensure we are speaking a common language about teaching and learning (as well as other job functions) in order to ensure that all students learn at high levels.

Personal development fits alongside professional growth — so if you want to progress in your career, you will need to develop personally first. That is the only way you will be able to handle your fears, take on more responsibility, and succeed with greater challenges.

### Importance of Professional Growth and Development

Professional growth and development is not only about climbing the greasy pole or earning more money. It is also about avoiding stagnation in your career and future-proofing you.

When you expand your skills beyond your current role you are preparing yourself for more and that makes you more valuable to employers.

### Examples of professional development opportunities

An opportunity either enhances your brand or takes your career where you want to go. Opportunities include:

- Managing bigger budgets, more people or larger projects
- Attending professional training or gaining sought-after qualifications
- Volunteering as a buddy or taking on corporate charity work



- Taking on a role to gain specific experience, knowledge or skills
- Raising your profile by public speaking or leading a sales presentation

*Professional Growth of  
Educational Personnel*

### 9.2.1 Factors Facilitating Professional Growth

Factors facilitating professional growth and ways to manage your personal and professional development:

#### 1. Set a clear goal about what you want to achieve

Once you have a clear goal, you will find it easier to manage your personal and professional development. You will be able to choose the training that stretches you personally and gives you the experience you need to grow professionally.

#### 2. Be intentional and plan your development

One of the best ways to develop yourself and your career is to ensure you keep learning. Work out a training plan for each year and aim to complete at least one piece of significant training each quarter.

#### 3. Look for and take the right opportunities

Training is not all about the learning. You also need to find opportunities to use your new knowledge and skills. But not all opportunities will be right for you and may not fit your personal brand, so choose carefully.

#### 4. Discuss your career plans with your manager

When it comes to personal and professional development, it helps if your manager is on board with your career plans. Since your manager will be signing off on your training, select the right one to take on new projects when those chances appear.

#### 5. Set goals and measure your progress

The best way to manage your development is to ensure you go through a regular process of planning, taking action and reviewing your progress. You will be clear about how you could improve your performance while seeing beyond day-to-day frustration.

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## 9.3 PERSONNEL SERVICES

Teachers must continue to grow in their profession. Thankfully, there are many avenues open for professional growth and development. The purpose of the following list is to give ideas into ways that you can grow and develop as teachers no matter what level of experience you currently have.

**Books on the teaching profession:** An easy way to learn new methods for lesson preparation, organization, and creating effective classroom systems can be found in books.

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**Professional development courses:** Professional development courses are a great way to find out the latest research in education. Courses on topics like brain research and assessment creation can be very enlightening. You should approach your department head and administration if you hear of a course that would be great to bring to your school district. Alternatively, online professional development courses are on the rise and provide you more flexibility in terms of when you actually do the work.

**Additional college courses:** College courses provide teachers with more in-depth information on the topic chosen. Many states provide teachers with incentives for completing additional college courses. For example, in the state of Florida, college courses provide teachers with a means to be recertified. They might also provide you with monetary and tax incentives so check with your state's Department of Education.

**Journals:** Established websites provide wonderful ideas and inspiration to teachers. Further, professional journals can help enhance lessons throughout the curriculum.

**Visiting other classrooms and schools:** If you know of a great teacher at your school, arrange to spend a little time observing them. They don't even have to teach in your subject area. You can pick up different ways to deal with situations and to help with basic housekeeping tasks. Additionally, visiting other schools and seeing how other teachers present their lessons and deal with students can be very enlightening. Sometimes we get in a rut thinking that the way that we are teaching is the only way to do it. However, seeing how other professionals handle the material can be a real eye-opener.

**Joining professional organizations:** Professional organizations provide members with resources to help them in and out of the classroom. Further, many teachers find associations specific to their subject matter give them a wealth of material to help build and enhance lessons. English, math, science and social studies are just a few examples of subjects that have their own associations.

**Attending teaching conferences:** Local and national teaching conferences occur throughout the year. See if one is going to be near you and try and attend. Most schools will give you the time off to attend if you promise to present the information. Some might even pay for your attendance depending on the budgetary situation. Check with your administration. The individual sessions and keynote speakers can be truly inspirational.

### 9.3.1 Evaluation of Professional Growth

Professional development is about change. The purpose of professional development is to improve learner outcomes by changing instructional behaviour to achieve a pre-determined goal, whether in teaching or administering programs, in designing professional development activities, or in teaching students. While learning about such innovations may be relatively easy, applying them in a consistent

and insightful manner is another matter. As Guskey (1986) notes, practitioners appear to be most motivated to change as they observe learner success and satisfaction and this cannot occur immediately. Furthermore, for professional development, like learning, to be successful, it must be adapted to the complex and dynamic characteristics of specific contexts. (Guskey, 1995). This change process takes time. Therefore, it is unreasonable to expect that individual professional development activities will immediately result in altered long-term instructional behavior, improved learner performance, or changed organizational structures and practices. The role of evaluation, then, is not only to provide information on the impact of professional development, but also to provide data for refining and adjusting professional development activities to ensure that services can be improved on an ongoing basis.

Evaluation of the impact of professional development activities must address the following two questions:

1. Does professional development alter long-term instructional behavior?
2. How do we know that professional development activities do, in fact, improve learner performance?

Evaluation of the process of professional development can tell program staff how well professional development activities within the program are working.

Five questions must be considered when using evaluation as a mechanism to promote continuous program improvement:

### **1. What would we like to see happen?**

Examine goals identified in needs assessments. When correctly done, needs assessments detail the learning needs of participants, which are then reflected in professional development activities. Such assessments should provide a clear reading of the specific objectives of professional development activities. Evaluation is a logical step of needs assessments in that evaluation provides information as to whether (and to what extent) goals identified through needs assessments have been met.

### **2. How can we make that happen?**

Design a professional development plan that includes information on delivery, timing, and use of professional development approaches, and evaluation questions that need to be answered.

### **3. How is it going?**

Collect information and monitor progress on an ongoing basis.

### **4. What are the results? (Assess the extent of both short and long-term changes.)**

### **5. What should be done with the results? (Evaluate options and make decisions.)**

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Evaluation data are used in all stages of the professional development process, including planning, implementing, and reviewing and revising professional development activities. It emphasizes that evaluation is continuous, rather than a single event that occurs at the end of professional development activities. The professional development framework implies that time is required before professional development activities can be expected to show success, and needs assessments are a critical component of evaluation.

To discuss the framework for evaluating process and impact, we will consider Kirkpatrick's (1994) sequential levels of evaluation for training programs.

The four stages of evaluation can be:

1. Reaction
2. Learning
3. Behaviour and actions
4. Results

**Reaction:** Measures how those who participate in professional development activities react to what has been presented. Although typically characterized as “the happiness quotient,” participants need to have a positive reaction to a professional development activity if information is to be learned and behavior is to be changed.

**Learning:** Measures the extent that professional development activities have improved participants' knowledge, increased their skills, and changed their attitudes. Changes in instructional behavior and actions cannot take place without these learning objectives being accomplished.

**Behaviour:** Measures what takes place when the participant completes a professional development activity. It is important to understand, however, that instructors cannot change their behavior unless they have an opportunity to do so.

**Results:** Measures the final results that occurred because an instructor participated in professional development activities. Evaluating results represents the greatest challenge in evaluating professional development approaches.

These levels differ by their specific purposes and types of program decisions which they can inform, and especially when attempting to evaluate changed behaviours and results, become more time consuming and expensive to conduct. Kirkpatrick emphasizes the importance of progressing through all four stages sequentially because as he notes, if information/skills are not learned (Level 2), it is unlikely that instructors can change their instructional behaviors (Level 3) or that the programs will change their procedures and learning gains will result (Level 4).

## 9.4 FINANCIAL RESOURCES: ALLOCATION AND THEIR EFFICIENT USE

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In order to ensure the effective implementation of high-quality professional development, states and districts must have a plan for financing the costs of professional learning activities. This part of the text, discusses approaches to accessing the resources needed to fund high-quality professional development proposals after examining the current allocations. It also highlights the need to schedule time for these professional learning activities and provides an example of what might constitute an adequate amount of activities for a given school.

The economic climate should optimize the discretionary resources that states, districts, and schools have at their disposal. Budget cuts have become the norm, dampening the availability of funds and hindering efforts to enhance classroom practice through content focused, long-term, job-embedded professional development. However, shrinking budgets can actually provide the impetus needed to examine current expenditures to determine whether they contribute to the quality of teaching and learning in the district or school. Decision makers should consider funds spent on professional development and, more comprehensively, the allocation of resources in general.

Determining the resources currently spent on professional development and what exactly those resources are buying is an important first step, which facilitates the decision to fund only those professional learning activities that enhance classroom practice. However, making this determination is not an easy task. Lack of a shared definition of what constitutes professional development makes it difficult to decide which activities to include and exclude. As Desimone (2009) points out, opportunities from formal or informal learning communities among teachers to structured, topic-specific workshops may all be considered professional development, and determining the impact of any particular activity is a challenge. Even with the guidance provided by these frameworks, decisions about which activities should constitute professional development require a number of judgment calls.

Some examples of activities that may be difficult to categorize or to decide whether to build into cost estimates include the following:

A weekly staff meeting that is now used entirely for professional learning activities rather than administrative business. The time for the weekly staff meeting should be built into the teacher contract; however, it should be a part of the time during which teachers in this school receive professional development.

Teacher time spent in collaborative planning. This time also may be built into the contract and may or may not actually be used in ways that improve teaching and learning.

How does one decide whether these expenditures should be considered professional development? One answer is to include only activities that, based on

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anticipated outcomes, can be directly tied to a change in instructional practice. Even when there is agreement about which learning activities should constitute professional development, it can be difficult to track the supporting resources because activities tend to be funded by multiple sources—state, federal, and private grants at varying levels—at the district and school sites. Often, an analysis of professional development spending at the district level is incomplete because it does not include the professional learning activities provided at the school level and vice versa. This issue is difficult to disentangle because of the nature of resource allocations. If one used the district description of this professional development strategy without understanding this nuance, it would result in a miscalculation of the actual resources allocated. In addition, these analyses need to extend beyond professional development to include the district’s or school’s overall allocation of resources meant to support the human capital development continuum—from recruitment to advancement.

Check Your Progress

1. State some professional opportunities.
2. State the purpose of professional development.
3. What are the four stages of evaluation?

9.5 BUDGETING: CONCEPT, FORMS AND  
PROCESS OF BUDGETING

Budget is generally recognized as a plan of action to be pursued by an organization during a defined period of time in order to achieve its objectives. It is a statement of anticipated results expressed either in financial or non-financial terms. According to Williamson (2003) *A budget is a formal plan of action expressed in monetary and other quantitative terms*. Gordon and Shillinglow (1974) state, *Budget is a pre-determined detailed plan of action developed and distributed as a guide to current operations and as a partial basis for the subsequent evaluation of performance*.

CIMA (1991) defines *A budget is a financial or quantitative statement prepared prior to a definite period of time of the policy to be pursued during that for the purpose of attaining a given objective*.

Sizer (1979) explains *Budgets are financial and/or quantitative statements prepared and approved prior to a defined period of time of the policy to be pursued during that period for the purpose of attaining given objective*.

A budget is a detailed schedule of the proposed combinations of the various factors of production which the management deems to be the most profitable for the defined period. It may be a forecast of sales, production costs, distribution

costs, and administrative and financial expenses—and, therefore, of profit or loss. It serves as a road map for executives and makes them aware when the company is straying from its planned route.

### 9.5.1 Concept of Budgetary Control

Commercial organizations always aim to attain the highest volume of sales at the minimum cost in order to maximize their profits. To attain this objective, organizations need to realize that planning and control of activities become essential absolutely. It is, in fact, the system of budgetary control that provides the organizations with the framework which helps them to achieve this objective.

Budgetary control is a systematic process designed to plan and control the major activities of a firm's business through budgets prepared in advance with an objective to ensure effective use of resources. In the words of Batty (1978), *Budgetary control is a system which uses budgets as a means of planning and controlling all aspects of producing and/or selling commodities or services*. According to Scott (1970), *it is the system of management control and accounting in which all operations are precast and so far as possible planned ahead and the actual results compared with the forecasted and planned ones*.

CIMA (1991) defines budgetary control as, the establishment of budgets relating to the responsibilities of executives to the requirements of a policy and the continuous comparison of actual with budgeted results, either to secure by individual action the objective of that policy or to provide a basis for its revision.

In the opinion of Brown and Howard (1975), Budgetary control is a system of controlling costs which includes the preparation of budgets, coordinating the departments and establishing responsibilities, comparing actual performance with the budgeted and acting upon results to achieve maximum profitability.

Budgetary control is a process of managing an organization in accordance with an approved budget in order to keep total expenditure within authorized limits. It is designed to assist the management in deciding the future course of action and to develop the basis for evaluating the efficiency of operations. Thus, a budgetary control consists of:

- Preparation of budgets for major activities of the business;
- Measurement and comparison of actual results with budgeted targets;
- Computation of deviation, if any; and
- Revision of budget, if required.

Thus, budgetary control requires preparation and designing of the budgets revealing clearly the financial responsibilities of executives in relation to the requirements of the overall policy of the company followed by a continuous comparison of actual business results with budgeted results to secure the objectives of the policy. If the principles of budgeting are carried out in a proper manner, the

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company can be assured that it will efficiently use all of its resources and achieve the most favourable results possible in the long run.

### Objectives of Budgetary Control

The main objectives of budgetary control are as under:

- To provide useful, accurate and reliable information to enable managers formulate future business policies
- To help the organizations in exercising control over costs by preparing separate budgets for each department. To evaluate the results of various policies and facilitate supervision over the various factors of production
- To eliminate the danger of over capitalization and under capitalization by determining the total capital requirements of a business firm with the help of production budget and working capital estimates
- To locate deficiencies in production system by preparing separate production capable of ascertaining the efficiency of production
- To promote research and development activities of an organization as budgetary control policies and programmes are usually based on past experience

### Benefits of Budgetary Control

Budgetary control is perhaps the most useful tool used by the management for planning and controlling major activities of the business. However, the system of budgetary control in itself does not ensure good planning or control but it helps executives to plan ahead and exercise control over people and operating events. In fact, such a system not only provides information on probable future business results but also the resources like money, men, materials and facilities required to achieve such results. The most notable benefits derived from the system of budgetary control are as follows:

- Through its disciplined approach, it coordinates the planning of all functional executives towards the common profit making goal.
- Motivates executives to think ahead by impressing upon them to formalize their planning efforts.
- Provides managers an opportunity for self-evaluation by offering them goals and objectives against which they can evaluate their performance without any difficulty. Such an arrangement makes each member of the organization clear about his role and contribution in attaining organizational goals.
- Enables an organization to predetermine the benefits and costs of the projects under various alternative operating conditions. Such a comparative analysis helps it to evaluate the most appropriate allocation of resources.
- Provides a framework that specifies measurable periodic objectives for each phase of planning.



- Helps managers to identify expected operation problems from business activities but also provides them the basis for solving these problems or avoiding them before they occur.
- Make employees of the organization conscious of the needs to conserve business resources.
- Maximize benefits of decentralization.
- Makes it obligatory for the enterprise to maintain adequate financial records that can be associated with the budget.
- Serves as an excellent vehicle and effective communication system for the exchange of ideas and coordination of plans among various levels of management.
- Reveals budgets prepared for efficient and effective use of resources.
- Increases participation of employees in the preparation and execution of budgets thereby boosting the morale among them which in turn contributes to the output.
- Helps a company meet market competition efficiently by keeping the cost at the minimum level.

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### Limitations of Budgetary Control

Despite the benefits mentioned earlier, budgetary control suffers from serious limitations. Management must keep such limitations in mind while using the tool of budgetary control. The major limitations of budgetary control system are summarized below:

- Since budget estimates are based on approximations and personal judgements, therefore, they are always doubtful. In fact, the quality of budgets is always associated with the intelligence, skills and experience of the budget persons.
- The premises of the budgetary control system change rapidly with the change in business conditions. As a result, business executives face a lot of difficulties in the execution of budgets.
- The success of budgetary control largely depends on its execution which in turn depends on the cooperation and participation of all levels of management. Every member of the organization must direct his efforts to achieve the objectives of the budget. Any lapse in their coordination or cooperation may result in poor performance.
- The installation of budgetary control system is a costly affair, and therefore, small organizations may not afford it. Even financially sound enterprises must adopt this system only after analysing properly its cost and benefits.
- Budget targets sometimes are considered as pressure tactics which lower the morale of the employees.

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- The formulation of the budgets is a time-consuming process as a good amount of time is wasted in their preparation, evaluation and revision.
- There is an old saying to the effect that 'a man is usually down or what he isn't upon'. Often executives do not realize the utility of the budgetary control system.
- Under budgetary control system every budget centre tries to achieve its objectives without taking into consideration the objectives of other budget centres and overall objectives of the budgetary control system. This creates conflict among various units of the organization which ultimately interrupts the efficiency of the system.

### Essential Characteristics of a Good Budgetary Control

A good budgetary control must possess the following characteristics:

- There must be a common authority to enjoy the rights and privileges as well as to fulfil the obligation. Actual users must be consulted before actually allocating different resources.
- The supervisory staff must be held responsible for all the functions of the business and proper utilization of all the resources of the business.
- Independence of action must be ensured for the administration in those matters for which they are accountable. In such matters, they must be consulted and their views should be given due weightage.
- One who gives orders must also provide facilities for the execution of those orders.
- There must be test checking of the work at regular intervals and the results must be compared with the targets. Shortcomings must be ascertained and measures should be suggested to overcome them.
- There must be some system for rewarding better results and penalizing poor results. Incentives for better work must be provided. Inefficiency must not be condoned.

### Requirements for Budgetary Control

The prerequisites for good budgetary control are essentially the same as for sound business management. For effective budgetary control, the firms need to:

- develop the statement of objectives and policies to guide management in reaching its business goals;
- build up a sound plan for the organization with clearly defined responsibilities and authorities for each management and supervisory position;
- establish a clear understanding of cost behaviour and product cost structure;
- develop a plan of operations over a given period of time to achieve objectives efficiently and effectively;

- provide for measurement of performance through timely comparative control reports;
- take necessary action in the execution of plans to set right unsatisfactory performance;
- revise the budgets when required.

The concept of budgetary control formalizes the process implied in these requirements by incorporating the above steps into a comprehensive financial plan or budget. It should be obvious that the financial plan or budget is not just a forecast or a summary of the business results a year ahead. It is instead a plan of operation. The plan must be based on good operating practices and soundly conceived management strategy. It should have a certain extent of flexibility, a 'stretch' in it. This means that operating men should incorporate in the budget performance, goals that are attainable by hard work and dedicated effort. An easy test of whether or not a business budget has been built on good planning and control concept is to check these points:

- Sales and production requirements should be defined in terms of quantities by products.
- The variable and total costs of producing each product should be identified on a predetermined basis in the budget.
- Budgeted costs and expenses should be stated for each responsibility centre.
- The degree of capacity utilization of major equipment and facilities should be clearly defined in the budget plan.
- All departmental budgets should be based on the same volumes of product and service requirements and should meet an acceptable profit goal.

If an organization's budgetary control system does not meet these tests, functional executive need to discuss the lapses with the budget personnel to seek improvements in the system.

### 9.5.2 Forms and Process of Budgetary Control

The proper organization of a budgetary control system helps the management in coordinating the entire operational activity. Therefore, the management need to take due care in the installation of a sound budgetary control system which requires the following:

- Budget committee
- Budget period
- Budget manual
- Budget centre
- Principal budget factor

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### Budget Committee

For an effective budgetary control system, someone must be responsible for the preparation of budgets in the organization. In small concerns this job is assigned to financial managers, however, in large enterprises a budget committee is generally formed for this purpose. The committee establishes the budget procedures, collects and coordinates the relevant data and prepares the final budget-which is then communicated to various budget levels. Further, the committee is also responsible to resolve the conflicts between various units of the enterprise regarding any issue related to budgets. Thus, the budget committee is a high-powered decision making body that formulates the budget planning for key areas of the enterprise. In order to discharge its responsibilities efficiently, the Committee must constitute the members from all departments that are involved in the execution of budgets. The Committee is usually chaired by the Chief Executive who is known as *budget controller* or *budget officer*. The budget programme is usually organized and administered by finance executive. The major functions of budget committee are:

- To formulate the essential guidelines for the preparation of the budgets;
- To gather and disseminate necessary information for budget preparations;
- To reconcile divergent views of various budget members to avoid conflicts;
- To receive, review and coordinate budgets submitted by various departmental heads;
- To approve budgets and latter revise them in the light of changes;
- To offer technical consultancy to various budget units;
- To receive and analyse periodic reports on the progress of the company; and
- To suggest measures for the improvement in the financial and operational efficiency of the enterprise.

### Budget Period

A firm may budget for any time period. The time span for budgeting will vary from organization to organization depending on a number of factors such as nature of business, the degree of risk and uncertainty, financial resources, economic conditions, etc. The length of the budget period may be a week, a month, quarter of a year, or even more than a year. Firms do not have any set interval of time. The formal budget most often is prepared for a year and is divided into months or quarters of a year. This approach clearly reveals the influence of financial accounting and the annual cycle of operations on management's thinking towards business planning.

Long-range budgets are usually concerned with capital investments and may include a period of five or more years into the future. The plans for later years will probably be somewhat indefinite, because they are based upon long-term prospects. Such budgets should be revised in the light of current economic and business conditions which have changed with the passage of time.

A shorter period may be deceptive as it will not reflect all seasonal conditions while a larger period increases the difficulty of accurate forecasting. However, comparatively budget for a shorter period can be formulated with more accuracy than the one with a longer period. Thus for specific decisions and planning situations, budgets for periods less than one year are always preferred. As a result, *rolling* or *progressive budgets* are becoming very popular. This approach to budgeting covers a period of twelve months which is extended to one more month into the future when a month expires. This provides the management an opportunity to incorporate changing business conditions in the formulation of budgets for future months. Budgeting is then a continual process and that is why such budgets are also known as continuous or perpetual budgets. Management experts claim that rolling approach to budgeting is superior to all other approaches as it has a wide planning horizon.

Under normal business conditions, it may be profitable to have at least a condensed budget for one year in advance as a basis for broad plans and policy decisions. The condensed budget should be revised quarterly to keep it a year ahead. At the same time, it is prescribed to have capital investment budgets running as much as five years ahead.

### **Budget Manual**

Budget manual sets out the responsibilities of the various executives concerned with the budgetary control system. According to the CIMA (1991) budget manual is *a document which sets out, inter alia, the responsibilities of the persons engaged in, the route of, and the forms and records required for budgetary control*. Thus budget manual is a document which contains the essential information required for the construction, administration, and execution of the budget. It further indicates the reporting and communicating system within the organization. The budget manual may also give details of periodical budgetary reviews and the forms and procedures necessary for such reviews for exercising budgetary control (Shankaraih, 1983). Thus, the main contents of a budget manual are:

- principles and objectives of the budgetary control system
- responsibilities of persons engaged in a budgetary programme
- procedures to be followed for the preparation of budgets
- details of periodical budgetary reviews
- time schedule indicating the various stages in the process of budget
- role of various executives in the organization of the budget
- essential records to be maintained
- reporting and communication system to be installed
- scope, period and areas of budgets.

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A detailed budget manual serves a ready reference for the executives connected with the budgeting system as it provides them proper guidelines in the organization and preparation of budgets. Thus, it forms an essential component of the budgetary control system. Therefore, it is necessary for every commercial enterprise to maintain a budget manual. Commenting on the importance of budget manual, a corporate controller of reputed American firm is of the opinion:

‘Budget manuals serve to define and clarify many matters. Numerous uncertainties may be discovered, and through clarification, a better understanding of the parts and the whole may evolve. Periods of training may be reduced when oral instructions are supplemented by written procedures. Less embarrassment may occur if answers to questions can be obtained from a manual. Reliance on memory is eliminated when a procedure is reduced to writing. Furthermore, unless procedures have been reviewed and written down, employees’ turnover and the passage of time may help change procedures without the knowledge or consent of superiors’ (Bullock et al., 1983).

### **Budget Centre**

The budget centre represents the segment of the organization for which a budget is prepared. According to the CIMA (1991), a budget centre is *a section of the organization of an undertaking defined for the purpose of budgetary control*. Each such centre is under the control of a responsible officer who is accountable to the management for the proper execution of the budget in his centre. Budget evaluation becomes easy with the establishment of budget centres.

### **Principal (Key) Budget Factor**

The ‘principal budget factor’ or ‘limiting factor’ as it is often called is the key constraint in the system for the particular budget period. According to the CIMA (1991), a principal budget factor is *the factor the extent of whose influence must first be assessed in order to ensure that the function budgets are reasonably capable of fulfilment*. A company may be limited by the amount of service or volume of products that can be sold to the customers. Thus, the amount of sales is the principal budget factor due to slack demand. Ordinarily, a commercial or industrial enterprise may have the following principal budget factors:

- non-availability of material
- non-availability of key personnel
- non-availability of finance
- inadequate space
- low market demand

- poor management resources
- production capacity.

### Considerations in Preparing Budget

The following important points must be borne in mind while preparing budget:

- Budgets are prepared to achieve the objectives of the business. No useful budget can be prepared without a complete knowledge of the objectives, nature and policies of the business.
- The duration of the budget must be determined according to the special circumstances of each business. Ordinarily, every company needs both short-term as well as long-term budgets. Short-term are usually in the form of income, expenditure, cash and sales. Similarly, the examples of long-term budgets are capital expenditure, training of business personnel, and expansion of the business.
- The persons who prepare the budgets must be honest and sincere. They should possess full knowledge of the nature, targets and the resources of the company. They must have foresight and competence to prepare well-balanced budgets.
- Adequate, accurate and reliable statistical information must be available for the preparation of a good budget. Past experience helps in projecting future.
- Budget must be reasonably elastic and flexible. It must be capable of being adjusted and changed according to new changes.
- An overenthusiastic business may fix-up extraordinarily high targets. They may prove to be unrealistic or incapable of being achieved. Efforts made in preparing the budgets may go waste. To avoid these dangers, budgets must be prepared by men of experience and foresight. On the one hand, they will try to fix up the targets according to their resources and on the other hand, they will keep the targets of the previous budgets quite separate from the new targets.

#### Check Your Progress

4. How have Gordon and Shillinglow defined budget?
5. What is budgetary control?
6. State any two limitations of budgetary control.
7. What are the major functions of a budget committee?

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## 9.6 CLASSIFICATION OF BUDGETS

Different authorities have given different classifications of budgets. Some classify them on the basis of functions involved, period covered, nature of transactions while others classify them according to activity levels. Accordingly, the following classifications are given:

Budgets according to activity levels:

- Fixed budget
- Flexible budget

Classification on the basis of nature of transactions:

- Operating budget
- Capital budget

Period classification:

- Long-term budget
- Short-term budget

Functional classification:

- Master budget
- Subsidiary budget

However, classification on the basis of functions is more popular and common almost in every business concern.

### Fixed Budget

Although this approach to budgeting is not popular among the firms yet a few firms do use fixed budget in certain areas of expenses management. Generally fixed budget is referred to as predetermined costs projected at a particular capacity level. That is, once capacity is projected at a particular level, the individual department gathers and classifies their costs at that level. The budget thus prepared is known as a fixed budget. Such budgets assume that the amount of rupees shown in the budget is triggered by the passage of time irrespective of production levels or the volume of activity. The CIMA (1991) defined fixed budget as a budget which is designed to remain unchanged irrespective of the level of activity actually attained. In the words of Wilson (1975) *a fixed budget is one that is compiled for a given set of assumed operating conditions and for a clearly specified but estimated level of activity, and which management proposes to leave unchanged during the period to which it relates—regardless of changes in the actual level of activity experienced or in the conditions facing the company during that period*. Thus, fixed budget is a plan that expresses only one level of estimated activity or volume. Such a budget is also known as static budget. The



term ‘fixed budget’ is probably a misnomer because this budget really is never fixed. Business and economic conditions constantly change and the management has to review and change the budgets in the light of those changes.

### Flexible Budget

Firms that recognize the tendency of fixed overhead to vary with substantial changes in production prefer to use a flexible budget. This is simply a series of fixed budgets that apply to varying levels of production. According to CIMA (1991), a flexible budget is *a budget which, by recognizing the difference between fixed, semi-fixed and variable costs, is designed to change in relation to the level of activity attained*. Thus, a flexible budget is a series of cost budgets, each prepared for a different level of capacity. The capacity levels are set at percentages of capacity or at the production of a specified number of units at set levels of capacity. In fact, costs are broken down into fixed, variable, and semi-variable under various levels of capacity. Although flexible budgets generally do not distinguish between variable and fixed overhead yet they provide a single rate for both types of overheads. This rate is established by dividing estimated overhead at the normal production level by the normal volume of production.

Flexible budgeting can be incorporated in one of two ways—*step budget*, wherein budgets are developed for different levels of operation, or *variable budget*, where budgets are prepared on a variable cost basis providing progressively greater budget allowances as the volume of activity increases. Business executives prefer the technique of flexible budgeting as it can be easily understood by the supervisors at all levels and with all degrees of education because of the realistic way in which such budgets accommodate actual operating conditions in the plant. The major significance of flexible budgeting is that it provides completely realistic budget amounts. There are very less chances for variances, which too can be the result of inefficient control or changes in operating conditions.

**Illustration 9.1** The cost details obtained from financial records of Safa Ltd., for production of 500 units are given below:

| <i>Particulars</i>                                    | <i>Per Unit (₹)</i> |
|-------------------------------------------------------|---------------------|
| Material                                              | 40                  |
| Labour                                                | 30                  |
| Variable overhead                                     | 12                  |
| Selling and distribution expenses (20 per cent fixed) | 10                  |
| Administrative expenses (40 per cent variable)        | 15                  |
| Fixed overheads (₹ 7,500)                             | 15                  |
| Selling cost per unit                                 | 122                 |

You are required to prepare a budget for production of:

(i) 700 units; and (ii) 900 units.

### NOTES

## Solution

*Safa Ltd.*  
*Flexible Budget*

## NOTES

|                          | <b>OUTPUT</b>    |                   |                  |                   |                  |                   |
|--------------------------|------------------|-------------------|------------------|-------------------|------------------|-------------------|
|                          | <b>500 Units</b> |                   | <b>700 Units</b> |                   | <b>900 Units</b> |                   |
|                          | <b>Per Unit</b>  | <b>Amount (₹)</b> | <b>Per Unit</b>  | <b>Amount (₹)</b> | <b>Per Unit</b>  | <b>Amount (₹)</b> |
| Material                 | 40               | 20,000            | 10               | 28,000            | 40               | 36,000            |
| Labour                   | 30               | 15,000            | 30               | 21,000            | 30               | 27,000            |
| Variable overhead        | 12               | 6,000             | 12               | 8,400             | 12               | 10,800            |
| Selling & distribution   |                  |                   |                  |                   |                  |                   |
| Expenses:                |                  |                   |                  |                   |                  |                   |
| Fixed (20 per cent)      | 2                | 1,000             | 1.43             | 1,000             | 1.11             | 1,000             |
| Variable (80 per cent)   | 8                | 4,000             | 8                | 5,600             | 8                | 7,200             |
| Administrative Expenses: |                  |                   |                  |                   |                  |                   |
| Fixed (60 per cent)      | 9                | 4,500             | 6.43             | 4,500             | 5                | 4,500             |
| Variable (40 per cent)   | 6                | 3,000             | 6                | 4,200             | 6                | 5,400             |
| Fixed overhead           | 15               | 7,500             | 10.71            | 7,500             | 8.33             | 7,500             |
| Total Cost of Sales      | 122              | 61,000            | 114.5            | 80,000            | 110.44           | 99,400            |

## Operating Budget

The operating budget is a plan of the expected revenues and expenses from normal operations and activities to be carried out by the organization in the future. Such a budget contains a detailed programme of activities that a firm desires to perform during the budget period which normally consists of one year. The profit and loss items like sales, production, distribution expenses and administrative overheads are also projected in this budget. In fact, the budget often states such performance measures which are not apparently seen in the financial statements. The best examples of operating budgets are raw material budget, inventory budget, labour force budget, and so on.

## Capital Budget

Capital budget is a plan reflecting the investments of the business in fixed assets and often includes amounts for large expenditure that have a long-term impact on the firm's financial position and growth. The activities that fall within the scope of capital budget mainly consists of programmes on infrastructure development, output expansion, and increase in productive resources. Since the outlay of capital budget is normally higher as compared to operating budget, they require careful planning, analysis and evaluation. Such budgets, in fact, aim to contribute maximum to the organizational goals and objectives.

## Short-term Budget

Short-term budgets refer to such budgets which cover activities of the business for a period of a year or shorter. Generally, firms prefer to prepare such budgets

for sales and cash overheads. However, such budgets can be broken down to shorter periods of 6 months, 3 months and possibly even one month. Experts generally believe that managers enjoy more flexibility by breaking down the period of budget in shorter periods. Normally, departmental executives are responsible for the preparation of short-term budgets. Various departments of the enterprise need to work in coordination for the preparation of short-term budgets as the top-level management coordinates the final budget on the basis of short-term budgets.

### **Long-term Budget**

To meet the demands of growing business and competition, firms need to move beyond the short-range plan to look ahead for more than one year. Long-term budgets may cover periods of one, three, five and even more years depending upon the nature of the business. According to the National Association of Accountants, America, a long-term budget is *a systematic and formalized process for purposeful directing and controlling future operations towards a desired objective for periods extending beyond one year*. The responsibility for the preparation of long-term budgets generally rests with top-level management. The top-level management is generally responsible for strategic decisions concerned with growth and prosperity of business. Since the preparation of such a budget demands the study of both internal factors as well as external factors like industry competition, economic growth, social and cultural change, and technological development, it calls for strategic capabilities on the part of management.

### **Master Budget**

The master budget sets out a firm's plan for the operations and resources expressed in financial terms for a given period. It is a summary of the budget schedules in capsule form made for the purpose of presenting in one report the highlights of the budget period. The CIMA (1991), defines it as, *The summary budget, incorporating its component functional budgets which is finally approved, adopted and employed*.

Davidson and others state, *The master budget, sometimes called the comprehensive budget is a complete blueprint of the planned operations of the firm for a period*.

Thus, the master budget is an overall budget of a firm which includes all other small departmental budgets. It is network consisting of many separate budgets that are interdependent. In fact, the master budget contains consolidated summary of all the budgets prepared by the organization. Such a budget coordinates various activities of the business, directing them towards a common goal. Few top executives of the business are supplied with copies of master budgets. Such a

## **NOTES**

budget is of no use to departmental executives. It draws the attention of the management to those issues which must require immediate attention or which must be avoided without any delays in the interest of the business.

## NOTES

**Preparation of a Master Budget:** It is a complex process that requires much time and effort by the management at all levels. It includes the preparation of a projected profit and loss account (income statement) and projected balance sheet. The preparation of master budget involves the preparation of:

- Sales budget
- Production cost budget
- Cost budget
- Cash budget
- Projected profit and loss account on the basis of information collected from the above stated four steps
- Projected balance sheet from the information available in last year's balance sheet and with the help of the steps stated above.

The format of the master budget is given in Tables 9.1 and 9.2.

**Table 9.1** ..... Co. Ltd., Master Budget  
(For the year ending as on .....)  
Projected Profit and Loss Account for the Year Ending .....

| Particulars                                        | Previous<br>Period<br>Amount<br>(₹) | Budgeted<br>Period<br>Amount<br>(₹) | Particulars                    | Previous<br>Period<br>Amount<br>(₹) | Budgeted<br>Period<br>Amount<br>(₹) |
|----------------------------------------------------|-------------------------------------|-------------------------------------|--------------------------------|-------------------------------------|-------------------------------------|
| To cost of product (as per production cost budget) |                                     |                                     | By sales (as per sales budget) |                                     |                                     |
| Direct material ₹                                  |                                     |                                     | (a) x product ...              |                                     | xxx                                 |
| (.....Units@ ₹....) xxx                            |                                     |                                     | units @ ₹.....                 |                                     |                                     |
| Direct wages xxx                                   |                                     |                                     | (b) x product.....             |                                     | xxx                                 |
| Prime cost                                         |                                     | xxx                                 | units @ ₹                      |                                     |                                     |
| Factory overheads                                  |                                     |                                     |                                |                                     |                                     |
| (a) Variable xxx                                   |                                     |                                     |                                |                                     |                                     |
| (b) Fixed xxx                                      |                                     | xxx                                 |                                |                                     |                                     |
| Work cost                                          |                                     | xxx                                 |                                |                                     |                                     |
| Administrative, selling and distribution overheads |                                     | xxx                                 |                                |                                     |                                     |
| To Net Profit                                      |                                     | xxx                                 |                                |                                     |                                     |
|                                                    |                                     | xxx                                 |                                |                                     | xxx                                 |

**Table 9.2** Budgeted Balance Sheet

Professional Growth of  
Educational Personnel

| <i>Liabilities</i>           | <i>Previous<br/>Period<br/>Amount<br/>(₹)</i> | <i>Budgeted<br/>Period<br/>Amount<br/>(₹)</i> | <i>Assets</i>            | <i>Previous<br/>Period<br/>Amount<br/>(₹)</i> | <i>Budgeted<br/>Period<br/>Amount<br/>(₹)</i> |
|------------------------------|-----------------------------------------------|-----------------------------------------------|--------------------------|-----------------------------------------------|-----------------------------------------------|
| <i>Shareholder's Equity:</i> |                                               |                                               | <i>Fixed Assets:</i>     |                                               |                                               |
| Pref. share capital          |                                               |                                               | Plant & Machinery        |                                               |                                               |
| Equity share capital         |                                               |                                               | Building                 |                                               |                                               |
|                              |                                               |                                               | Furniture                |                                               |                                               |
| <i>Current Liabilities:</i>  |                                               |                                               | <i>Current Assets:</i>   |                                               |                                               |
| Bill payable                 |                                               |                                               | Bill Receivable          |                                               |                                               |
| Sundry creditors             |                                               |                                               | Sundry debtors           |                                               |                                               |
| Bank loan                    | _____                                         | _____                                         | Cash in hand and at bank | _____                                         | _____                                         |
|                              |                                               |                                               | Inventories              | _____                                         | _____                                         |

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### Subsidiary Budget

Subsidiary budgets are those budgets which show income or expenditure appropriate to or the responsibility of a particular activity of the business. They are prepared on the basis of the guidelines framed by the master budget. There may be different kinds of subsidiary budgets depending on the size, nature and policy of the concern but the following are frequently prepared:

- Sales budget
- Production budget
- Production cost budget
- Materials budget
- Labour budget
- Manufacturing overhead budget
- Expenses budget
- Plant budget
- Cash budget.

**Sales Budget:** It is an estimate of future sales expressed in quantities and/or money. Such a budget, in fact, calls for projection of a firm's sales on a periodic basis. The preparation of an effective sales budget demands the study of both internal and external factors. The internal factors to be considered for the purpose are past activity, present and projected plant capacity, proposed management policies, financial position, sales force size, availability of materials, and promotional campaign. The external factors that must be analysed to enable managers prepare sales budget include extent of competition, government policies and regulations, economic conditions of the country and general trade prospectus. The management

## NOTES

should constantly review the above-mentioned factors in order to find out the quantum of change in them and its impact on product demand.

Generally, sales budget is recognized as the key budget that leads to the preparation of all other functional budgets. The success of any commercial enterprise largely depends upon the quick turnover of its production. Against this background, every company wants to maximize its sales. However, the maximization of sales has always remained a complex problem that requires proper attention from the management. Every effort must be made to achieve sales targets. The sales budget can be broken down by:

- Product lines
- Geographic territories
- Time span
- Types of customers.

A forecast of sales on an industry-wide basis must be broken down so that it applies to a particular firm. Each firm studies its position relative to the total market and calculates its share of the market. In some areas and in certain product lines, one firm may dominate while in other areas and in other product lines, the sales may be shared by the firms in different proportions. The following techniques are used for sales forecasts:

- Past trends
- Sales executive's opinion
- Survey methods

The following illustration will further clear the idea about the preparation of sales budget.

**Illustration 9.2** MAS Co. Ltd. operates two sales divisions by selling two quality cement products—White and Black in them. For the purpose of submission of sales budget to the budget committee, the following information has been made available.

Budget sales for the current year were as follows:

| <i>Product</i> | <i>Division I</i> | <i>Division II</i> |
|----------------|-------------------|--------------------|
| White          | 800 at ₹ 100      | 600 at ₹ 100       |
| Black          | 400 at ₹ 80       | 500 at ₹ 80        |

Actual sales for the current year were as follows:

| <i>Product</i> | <i>Division I</i> | <i>Division II</i> |
|----------------|-------------------|--------------------|
| White          | 1,000 at ₹ 100    | 700 at ₹ 100       |
| Black          | 600 at ₹ 80       | 450 at ₹ 80        |

The sales division of the company has taken the following decisions at a meeting:

- (i) The sales manager observed that product White is popular but underpriced. Therefore, the price of product should be increased by ₹ 20.
- (ii) The product Black has less market and the main reason responsible for it is the over price of the product. However, if the price of the product is reduced by ₹ 5, it is expected to generate more demand.

On the basis of these price changes and reports from the sales force, the following estimates have been prepared by divisional sales manager:

Percentage increase in sales over current budget.

| Product | Division I | Division II |
|---------|------------|-------------|
| White   | 5          | 20          |
| Black   | 10         | 10          |

You are required to prepare a sales budget to be presented to the budget committee.

### **Solution**

#### **Sales Budget MAS Co. Ltd.**

| Division | Product | Budget for<br>Future Period |              |              | Budget for<br>Current Period |              |              | Actual Sales for<br>Current Period |              |              |
|----------|---------|-----------------------------|--------------|--------------|------------------------------|--------------|--------------|------------------------------------|--------------|--------------|
|          |         | Qty.                        | Price<br>(₹) | Value<br>(₹) | Qty.                         | Price<br>(₹) | Value<br>(₹) | Qty.                               | Price<br>(₹) | Value<br>(₹) |
| I.       | White   | 840                         | 120          | 1,00,800     | 800                          | 100          | 80,000       | 1,000                              | 100          | 1,00,000     |
|          | Black   | 440                         | 75           | 33,000       | 400                          | 80           | 32,000       | 600                                | 80           | 48,000       |
|          | Total   | 1,280                       |              | 1,33,800     | 1,200                        |              | 1,12,000     | 1,600                              |              | 1,48,000     |
| II.      | White   | 720                         | 120          | 86,400       | 600                          | 100          | 60,000       | 700                                | 100          | 70,000       |
|          | Black   | 550                         | 75           | 41,250       | 500                          | 80           | 40,000       | 450                                | 80           | 36,000       |
|          | Total   | 1,270                       |              | 1,27,650     | 1,100                        |              | 1,00,000     | 1,150                              |              | 1,06,000     |
| Total    | White   | 1,560                       | 120          | 1,87,200     | 1,400                        | 100          | 1,40,000     | 1,700                              | 100          | 1,70,000     |
|          | Black   | 990                         | 75           | 74,250       | 900                          | 80           | 72,000       | 1,050                              | 80           | 84,000       |
|          | Total   | 2,550                       |              | 2,61,450     | 2,300                        |              | 2,12,000     | 2,750                              |              | 2,54,000     |

**Illustration 9.3** Super National Company Ltd. has three items in its product line—EX, YEE and ZED. These products are sold in two markets—Super and Superior. The following information on the sales of these products in these markets is available:

| Product Units | Budget Sales for Current Year |                            | Actual Sale of Current Year |                            |
|---------------|-------------------------------|----------------------------|-----------------------------|----------------------------|
|               | Super Market<br>(Unit)        | Superior<br>Market (Units) | Super<br>Market<br>(Unit)   | Superior Market<br>(Units) |
| EX            | 18,000                        | 22,000                     | 20,000                      | 25,000                     |
| YEE           | 9,000                         | 12,000                     | 7,000                       | 10,000                     |
| ZED           | 15,000                        | 8,000                      | 12,000                      | 7,000                      |

### **NOTES**

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The EX product is sold at ₹ 5 per unit whereas products YEE and ZED are sold for ₹ 4 and ₹ 7 respectively, in both markets.

The research department of the company submitted the follow-ing proposals to be kept in mind while preparing sales budget:

- Product EX has stiff competition in future and as a result of which the sales may decline. To maintain present state of demand the price of the product may be reduced by 10 per cent.
- Product YEE is popular but underpriced. It is reported that if its price is increased by 25 per cent it will still find a ready market.
- The sale of product ZED may decline by 10 per cent due to entrance of new firms in the industry.
- With the help of an intensive campaign 5 per cent additional sales over the estimated sales are expected in all products in both markets except of product ZED in superior market.

The management has approved the proposal without any change. You are required to prepare a budget for sales incorporating the above proposals.

### Solution

#### *Sales Budget* *Super National Company Ltd.*

| Market and Product | Budget for Future Period |           |           | Budget for Current Period |           |           | Budget for Current Period |           |           |
|--------------------|--------------------------|-----------|-----------|---------------------------|-----------|-----------|---------------------------|-----------|-----------|
|                    | Qty. (Units)             | Price (₹) | Value (₹) | Qty. (Units)              | Price (₹) | Value (₹) | Qty. (Units)              | Price (₹) | Value (₹) |
| Super              |                          |           |           |                           |           |           |                           |           |           |
| EX                 | 18,900                   | 4.50      | 85,050    | 18,000                    | 5.00      | 90,000    | 20,000                    | 5.00      | 1,00,000  |
| YEE                | 9,450                    | 5.00      | 47,250    | 9,000                     | 4.00      | 36,000    | 7,000                     | 4.00      | 28,000    |
| ZED                | 14,250                   | 7.00      | 99,750    | 15,000                    | 7.00      | 1,05,000  | 12,000                    | 7.00      | 84,000    |
| Total              | 42,600                   |           | 2,32,050  | 42,000                    |           | 2,31,000  | 39,000                    |           | 2,12,000  |
| Superior           |                          |           |           |                           |           |           |                           |           |           |
| EX                 | 23,100                   | 4.50      | 1,03,950  | 22,000                    | 5.00      | 1,10,000  | 25,000                    | 5.00      | 1,25,000  |
| YEE                | 12,600                   | 5.00      | 63,000    | 12,000                    | 4.00      | 48,000    | 10,000                    | 4.00      | 40,000    |
| ZED                | 7,600                    | 7.00      | 53,200    | 8,000                     | 7.00      | 56,000    | 7,000                     | 7.00      | 49,000    |
| Total              | 43,300                   |           | 2,20,150  | 42,000                    |           | 2,14,000  | 42,000                    |           | 2,14,000  |
| Total (Summary)    |                          |           |           |                           |           |           |                           |           |           |
| EX                 | 42,000                   | 4.50      | 1,89,000  | 40,000                    | 5.00      | 2,00,000  | 45,000                    | 5.00      | 2,25,000  |
| YEE                | 22,050                   | 5.00      | 1,10,250  | 21,000                    | 4.00      | 84,000    | 17,000                    | 4.00      | 68,000    |
| ZED                | 21,850                   | 7.00      | 1,52,950  | 23,000                    | 7.00      | 1,61,000  | 19,000                    | 7.00      | 1,33,000  |
| Total              | 85,900                   |           | 4,52,200  | 84,000                    |           | 4,45,000  | 81,000                    |           | 4,26,000  |

**Production Budget:** After the preparation of sales budget, the management turns its attention to the preparation and designing of a production budget.



Production budget is a component of the master budget that establishes the level of production planned for budget period. It fixes the target for the future output. In a broader sense, production budget attempts to estimate the number of units of an item of the product line that a company is planning to produce during the budgeted period. Sufficient amount of goods will have to be available to meet sales needs of the budgeted period and the quantity of inventory needed at the end of the period. A portion of these goods will already exist in the form of an opening inventory. The remainder will have to be produced. The quantity to be produced is decided after taking into consideration the following:

- Opening and closing levels of inventories; and
- Quantity required to meet projected sales.

Further, a budget executive has also to analyse the factors mentioned below to enable himself prepare the production budget:

- Maximum production capacity of the business;
- Production planning of the organization;
- Managing policy regarding produce or purchase of components;
- Available storage facilities; and
- Amount of investment required.

The production department must schedule its production in such a way so as to ensure prompt deliveries to the customers. To achieve this objective, the sales department must be closely coordinated with the production department. Neither department can plan and direct its activities in isolation. The department of sales has to depend on production from the production department and at the same time, the production department guides its production levels on the basis of sales estimates as submitted by the sales department.

A format of a detailed production budget is given as under:

..... Co. Ltd.  
*Production Budget*  
January, February and March 20xx

| <i>Particulars</i>                      | <i>January</i> | <i>February</i> | <i>March</i> |
|-----------------------------------------|----------------|-----------------|--------------|
| Sales in quantity (as per sales budget) | xxx            | xxx             | xxx          |
| Add: Desired inventory at the end       | xxx            | xxx             | xxx          |
| Total quantity required                 | xxx            | xxx             | xxx          |
| Less: Stock at beginning                | xxx            | xxx             | xxx          |
| Quantity to be produced                 | xxx            | xxx             | xxx          |

**Illustration 9.4** From the following information prepare a production budget for 3 months of NICE Cement Co. Ltd.

- The estimated sales for the budget period as reported by sales manager are:

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| Division | Types of Products |                   |                 |                   |
|----------|-------------------|-------------------|-----------------|-------------------|
|          | White<br>(Tonnes) | Black<br>(Tonnes) | Red<br>(Tonnes) | Green<br>(Tonnes) |
| North    | 7,000             | 12,000            | 16,000          | 10,000            |
| South    | 5,000             | 8,000             | 10,000          | 3,000             |

(ii) Estimated stock on June 1, 2012

| Type of Product | Tonnes |
|-----------------|--------|
| White           | 1,200  |
| Black           | 1,500  |
| Red             | 1,800  |
| Green           | 1,200  |

(iii) Desired closing stock on 31st August, 2012

| Type of Product | Tonnes |
|-----------------|--------|
| White           | 1,500  |
| Black           | 1,800  |
| Red             | 1,400  |
| Green           | 1,000  |

### Solution

Production Budget for Three Months from June to August, 2012

| Estimated Sales<br>During Budget Period                       | Types of Products |                   |                 |                   |
|---------------------------------------------------------------|-------------------|-------------------|-----------------|-------------------|
|                                                               | White<br>(Tonnes) | Black<br>(Tonnes) | Red<br>(Tonnes) | Green<br>(Tonnes) |
| North                                                         | 7,000             | 12,000            | 16,000          | 10,000            |
| South                                                         | 5,000             | 8,000             | 10,000          | 3,000             |
| Total                                                         | 12,000            | 20,000            | 26,000          | 13,000            |
| Add: Desired stock on<br>31st August, 2012<br>(closing stock) | 1,500             | 1,800             | 1,400           | 1,000             |
|                                                               | 13,500            | 21,800            | 27,400          | 14,000            |
| Less: Estimated stock<br>on June 1st, 2012<br>(opening stock) | 1,200             | 1,500             | 1,800           | 1,200             |
| Quantity to be<br>produced                                    | 12,300            | 20,300            | 25,600          | 12,800            |

**Production Cost Budget:** It is followed by production cost budget that includes the summaries of direct material budget, direct labour budget and manufacturing overhead budget. Each of these budgets must consider the quantities to be produced as reflected in the production budget and the prices of the factors which a firm expects to prevail during the budget period.

**Materials Budget:** It is prepared with a view to ensure regular supply of the required quantity of raw materials as per the production schedules. A schedule of materials requirement is prepared indicating the unit quantities of each material required per unit of finished product. A firm multiplies the raw material requirements

per unit of product by the projected production of each product which gives it the total production requirements.

The quantity of material so calculated must be increased by some pre-determined percentage to allow for waste and spoilage. The quantity of material required for production and the required inventory level will yield the quantities of each material which will have to be available during the budget period. The available quantity of material estimated should be deducted by the inventories of raw material at the beginning of the budget period; the resultant material quantity is the quantity of material to be purchased during the budget period.

The estimation of material requirements is the responsibility of the production engineering department while the estimation of price at which the raw material could be procured from the market is the responsibility of the purchasing department. Materials budget helps the firms not only in keeping wastage of raw material under control but also in the determination of economic order quantity.

The format of detailed materials budget is given as under:

..... Co. Ltd.  
*Materials Budget*  
(For the Year Ending .....)

| <i>Particulars</i>                                 | <i>Units</i> |
|----------------------------------------------------|--------------|
| A. Quantity to be purchased                        | xxx          |
| Units to be consumed<br>(as per production budget) |              |
| Add: Minimum ending inventory                      | xxx          |
| Total raw material requirements                    | xxxx         |
| Less: Stock at the beginning                       | xx           |
| Purchase requirements                              | xxx          |
| B. Cost involvement                                | ( )          |
| ----- units @ ₹ ...                                | xx           |
| Carriage inwards                                   | xx           |
| Cost of purchases                                  | xxxx         |

**Illustration 9.5** Super Max manufactures two type of products—BEE and TEE. The sales department reports that 35,000 and 48,000 units of BEE and TEE respectively are sufficient to meet the estimated demand during the budget period.

The Engineering department submits the following report in respect of material requirements:

*Product Type and Quantity of Material Required Per Unit*

|     | <i>Type</i> | <i>Qty. (Units)</i> |
|-----|-------------|---------------------|
| BEE | TT          | 2                   |
|     | PP          | 3                   |
| TEE | FM          | 4                   |
|     | FT          | 2                   |

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## NOTES

Management had adopted the following policy in respect of inventories:

(a) Opening Balance

|                      |              |
|----------------------|--------------|
| (i) Finished product |              |
| BEE                  | 7,000 units  |
| TEE                  | 4,500 units  |
| (ii) Raw materials   |              |
| Material TT          | 20,000 units |
| Material PP          | 18,000 units |
| Material FM          | 15,000 units |
| Material FT          | 13,000 units |

(b) Closing balances

|                      |              |
|----------------------|--------------|
| (i) Finished product |              |
| BEE                  | 10,000 units |
| TEE                  | 7,000 units  |
| (ii) Raw Materials   |              |
| Material TT          | 7,000 units  |
| Material PP          | 5,000 units  |
| Material FM          | 3,000 units  |
| Material FT          | 2,000 units  |

Draw up a material purchase budget.

### Solution

#### Materials Budget (for the Year Ending.....)

|                                                                                              | Product BEE         |                     | Product TEE         |                     |
|----------------------------------------------------------------------------------------------|---------------------|---------------------|---------------------|---------------------|
|                                                                                              | Material TT (Units) | Material PP (Units) | Material FM (Units) | Material FT (Units) |
| Material required to produce 38,000 units of BEE product and 50,500 units of TEE product (A) | 76,000              | 1,14,000            | 2,02,000            | 1,01,000            |
| Add: Desired closing balance of material at the end of the year                              | 7,000               | 5,000               | 3,000               | 2,000               |
|                                                                                              | 83,000              | 1,19,000            | 2,05,000            | 1,03,000            |
| Less: Opening balance of material at the beginning of the year                               | 20,000              | 18,000              | 15,000              | 13,000              |
| Materials required to be purchased during the year                                           | 63,000              | 1,01,000            | 1,90,000            | 90,000              |

### Working Notes:

(A) Calculation of production during the year:

| Particulars                                     | BEE (Units) | TEE (Units) |
|-------------------------------------------------|-------------|-------------|
| Estimated sales                                 | 35,000      | 48,000      |
| Add: Desired closing stock of finished products | 10,000      | 7,000       |
|                                                 | 45,000      | 55,000      |
| Less: Opening stock of finished products        | 7,000       | 4,500       |
| Quantity to be produced                         | 38,000      | 50,500      |

**Labour Budget:** It is developed directly from the production budget. It indicates the quantity and cost of direct labour required to meet production needs. Labour budget discloses the requirement of the skilled as well as unskilled workers for carrying out the budget output. It fixes up the number and class of workers, their wages, incentives, training and other conditions of workers. To ensure effective planning, coordination and control of labour, this budget has to provide sufficient details including the amount of each specific labour operation required to produce each product. This budget helps personnel department in designing appropriate hiring and training of qualified personnel. Thus, labour budget is essential not only for production planning but also for planning personnel resources.

The quantity of labour required to meet production needs can be estimated either from standards or from records of past performance. The simple way to compute the quantity of labour requirement is to divide the required number of units of finished products by the number of direct labour hours required to produce a single unit. For a labour mix, a separate calculation is to be made for each type of labour. The resultant is multiplied by the labour cost per hour as is shown in Illustration 9.6.

**Illustration 9.6:** The Great Ess Industries Ltd. manufactures three products—X, Y and Z. The enterprise has decided to produce 2,500, 4,000 and 7,000 units of X, Y and Z respectively for the month of March.

The estimated labour hours required to produce each unit are:

| <i>Product</i> | <i>Labour Hours</i> |
|----------------|---------------------|
| X              | 3                   |
| Y              | 4                   |
| Z              | 2                   |

The cost per labour hour is estimated to ₹ 4

Draw up a labour budget showing (A) quantity and (B) cost of labour.

### Solution

**Great Ess Industries Ltd.**  
**Labour Budget**  
**for the Month of March**

|                                 | <i>Products</i> |          |          |
|---------------------------------|-----------------|----------|----------|
|                                 | <i>X</i>        | <i>Y</i> | <i>Z</i> |
| Estimated production (units)    | 2,500           | 4,000    | 7,000    |
| Labour hour per unit            | 3               | 4        | 2        |
| (A) Total labour hours required | 7,500           | 16,000   | 14,000   |
| Labour cost per hour            | ₹ 4             | ₹ 4      | ₹ 4      |
| (B) Total labour cost           | 30,000          | 64,000   | 56,000   |

**Manufacturing Overhead Budget:** The manufacturing overhead budget is a schedule showing the expected amount of manufacturing cost that will be incurred for the budgeted level of activity. Manufacturing overheads consists of fixed, variable and semi-variable cost components. As discussed earlier, variable

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overhead costs change proportionately with the volume of production whereas fixed overhead costs remain constant irrespective of output. The semi-variable overhead costs also change with the output but not proportionately. Management has to use some equitable basis to apportion the fixed overheads and the fixed elements of the semi-variable overheads to the various budget centres. Therefore, the preparation of the manufacturing overhead budget requires experience, knowledge, expertise and intelligence on the part of those preparing the budget.

**Expenses Budget:** Once the production plans have been designed, the overheads need to be determined to produce the products. Departmental managers ordinarily prepare their own budgets for indirect labour and overhead factors. Expenses budget consists of several sections, namely, factory overheads, administration expenses, and sales and distribution expenses. These budgets are prepared on the basis of figures of income statements of the previous years. A proper distinction of recurring and non-recurring is made while preparing these budgets.

The expenses budget format is given as under:

..... Co. Ltd.  
*Expenses budget (For the Year Ending .....)*

|                                         | (₹) | (₹)  |
|-----------------------------------------|-----|------|
| <i>Factory overheads:</i>               |     |      |
| Fuel and power                          | xxx |      |
| Water                                   | xxx |      |
| Depreciation                            | xxx |      |
| Supervisor's salary                     | xxx | xxxx |
| <i>Administration expenses:</i>         |     |      |
| Salaries                                | xxx |      |
| Printing and stationery                 | xxx |      |
| Rent and rates                          | xxx |      |
| Lighting                                | xxx |      |
| General expenses                        | xxx | xxxx |
| <i>Sales and distribution expenses:</i> |     |      |
| Salesmen's salaries                     | xxx |      |
| Salesmen's commission                   | xxx |      |
| Advertising                             | xxx |      |
| Entertainment and car expenses          | xxx |      |
| Shop display                            | xxx |      |
| Display                                 | xxx | xxxx |
| Total expenses                          |     | xxxx |

**Plant Budget:** In large-scale industries where production is carried on with the help of costly machines, plant budget is prepared to ensure maximum utilization of available machines.

**Cash Budget:** The availability of cash in adequate quantity at proper time at a reasonable cost is essential for smooth operation of a business. The cash budget attempts to estimate cash requirements of a business well ahead of time. According to Soloman, (1968) ‘the cash budget is an analysis of flow of cash in a business over a future, short or long period of time. It is a forecast of expected cash intake and outlay’. The cash budget converts all planned actions into cash inflows and cash outflows. Thus, it shows the anticipated flow of cash and the timing of receipts and disbursements based upon projected revenues and expenses. This budget is significant because it helps management in planning to avoid unnecessary idle cash balances on the one hand and avoidable expensive borrowings on the other. It indicates not only the total amount of financing required but its timing as well. The cash budget generally consists of the following two major sections, viz., receipt section and payment section.

Normally, the major source of cash receipts for any business is sales. For credit sales, accounts receivable are eventually converted into cash as debtors pay their accounts. However, in this connection, management has to estimate properly the time taken to collect outstanding accounts. At the same time, provisions must be made for discounts, returns, allowance granted and uncollectible accounts. From a study of past records and recent experience in the rate of collection, it should be possible to predict approximate receipts on accounts.

Special items such as increase in cash from sale of equipment, issuance of shares, borrowing, and so on must be considered in the estimation of cash receipts. Thus, cash receipts are expected to be generated from the following sources:

- cash sales;
- collection from debtors,
- non-operating incomes like dividend, commission, interests, and so on,
- sale proceedings from capital assets;
- share capital and debentures; and
- loans and overdrafts.

The payment section of the cash budget consists of all cash payments that are planned for the budget period. These payments will include payments for merchandise and overhead acquired or incurred for the current budget period as well as for payables on the past budget period. Payments on various accounts are not made simultaneously with the cost incurred or materials and services used. The expenditure on various items like insurance, rent and advertising are often paid in advance while payments for materials, labour and other costs of operation frequently follow acquisition and use. Capital expenditures for expansion and replacement in addition to mandatory expenditures for a variety of other purposes such as taxes, donations, repayments of loans, dividends, and so on must be taken into account. The major items of payments are:

- payment for various inputs like materials, labour and machinery;
- payment of loans and deposits;

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- redemption of capital and debentures; and
- investments.

The difference between cash receipts and payments represents *cash overage* or *shortage*. If a shortage exists, the company will have to arrange the cash through bank loans or other financing methods. If an excess exists, funds borrowed in previous period can be repaid, or the idle funds can be temporarily invested.

How frequently cash budget should be prepared and the time intervals covered by the budget depend on the individual company's circumstances, problems and objective. However, cash budget should be broken down into time periods that are as short as feasible. Many organizations maintain cash budgets on a weekly basis and even some prefer to do it on daily basis. But firms prefer to have cash budgets on a monthly basis. However, a firm might be interested to prepare a cash budget every quarter if it is considering expansion.

Cash budgets may be prepared in three ways with varying formats and appearances. However, all forms require the same estimates and result in the same forecast. The methods are

- Receipt and payment method;
- Adjusted profit and loss method; and
- Balance sheet method.

### Check Your Progress

8. What is the functional classification of budgets?
9. What is capital budget?
10. State the techniques used for sales forecast.

## 9.7 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. Professional opportunities include:
  - Managing bigger budgets, more people or larger projects
  - Attending professional training or gaining sought-after qualifications
  - Volunteering as a buddy or taking on corporate charity work
  - Taking on a role to gain specific experience, knowledge or skills
  - Raising your profile by public speaking or leading a sales presentation
2. The purpose of professional development is to improve learner outcomes by changing instructional behaviour to achieve a pre-determined goal, whether in teaching or administering programs, in designing professional development activities, or in teaching students.



3. The four stages of evaluation can be:

- Reaction
- Learning
- Behaviour and actions
- Results

4. Gordon and Shillinglow (1974) state, Budget is a pre-determined detailed plan of action developed and distributed as a guide to current operations and as a partial basis for the subsequent evaluation of performance.

5. Budgetary control is a systematic process designed to plan and control the major activities of a firm's business through budgets prepared in advance with an objective to ensure effective use of resources.

6. Two limitations of budgetary control are:

- The premises of the budgetary control system change rapidly with the change in business conditions. As a result, business executives face a lot of difficulties in the execution of budgets.
- The success of budgetary control largely depends on its execution which in turn depends on the cooperation and participation of all levels of management. Every member of the organization must direct his efforts to achieve the objectives of the budget. Any lapse in their coordination or cooperation may result in poor performance.

7. The major functions of budget committee are:

- To formulate the essential guidelines for the preparation of the budgets;
- To gather and disseminate necessary information for budget preparations;
- To reconcile divergent views of various budget members to avoid conflicts;
- To receive, review and coordinate budgets submitted by various departmental heads;
- To approve budgets and latter revise them in the light of changes;
- To offer technical consultancy to various budget units;
- To receive and analyse periodic reports on the progress of the company; and
- To suggest measures for the improvement in the financial and operational efficiency of the enterprise.

8. The functional classification of budgets is as follows:

- Master budget
- Subsidiary budget

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9. Capital budget is a plan reflecting the investments of the business in fixed assets and often includes amounts for large expenditure that have a long-term impact on the firm's financial position and growth.
10. The following techniques are used for sales forecasts:
  - Past trends
  - Sales executive's opinion
  - Survey methods

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## 9.8 SUMMARY

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- Professional growth is personalized, individualized learning pathways that help each staff member be their personal best. Within our culture of learning, there will be interests and passions that interest some, but not everyone.
- Professional development can take on many forms, but the foundational level helps everyone in our system have a common understanding (of an instructional framework, of content standards, of expectations, etc.). Professional development helps us ensure we are speaking a common language about teaching and learning (as well as other job functions) in order to ensure that all students learn at high levels.
- Teachers must continue to grow in their profession. Thankfully, there are many avenues open for professional growth and development. The purpose of the following list is to give ideas into ways that you can grow and develop as teachers no matter what level of experience you currently have.
- Professional development is about change. The purpose of professional development is to improve learner outcomes by changing instructional behaviour to achieve a pre-determined goal, whether in teaching or administering programs, in designing professional development activities, or in teaching students.
- Evaluation data are used in all stages of the professional development process, including planning, implementing, and reviewing and revising professional development activities. It emphasizes that evaluation is continuous, rather than a single event that occurs at the end of professional development activities.
- In order to ensure the effective implementation of high-quality professional development, states and districts must have a plan for financing the costs of professional learning activities. This part of the text, discusses approaches to accessing the resources needed to fund high-quality professional development proposals after examining the current allocations.
- The economic climate should optimize the discretionary resources that states, districts, and schools have at their disposal. Budget cuts have become the norm, dampening the availability of funds and hindering efforts to enhance

classroom practice through content focused, long-term, job-embedded professional development.

- Budget is generally recognized as a plan of action to be pursued by an organization during a defined period of time in order to achieve its objectives. It is a statement of anticipated results expressed either in financial or non-financial terms.
- Budgetary control is perhaps the most useful tool used by the management for planning and controlling major activities of the business. However, the system of budgetary control in itself does not ensure good planning or control but it helps executives to plan ahead and exercise control over people and operating events.
- The proper organization of a budgetary control system helps the management in coordinating the entire operational activity. Therefore, the management need to take due care in the installation of a sound budgetary control system.
- Budget manual sets out the responsibilities of the various executives concerned with the budgetary control system. According to the CIMA (1991) budget manual is *a document which sets out, inter alia, the responsibilities of the persons engaged in, the route of, and the forms and records required for budgetary control.*
- Different authorities have given different classifications of budgets. Some classify them on the basis of functions involved, period covered, nature of transactions while others classify them according to activity levels.

## NOTES

### 9.9 KEY WORDS

- **Budget centre:** A budget centre is a section of the organization of an undertaking defined for the purpose of budgetary control.
- **Fixed budget:** A fixed budget is one that is compiled for a given set of assumed operating conditions and for a clearly specified but estimated level of activity, and which management proposes to leave unchanged during the period to which it relates.
- **Flexible budget:** A flexible budget is a budget which, by recognizing the difference between fixed, semi-fixed and variable costs, is designed to change in relation to the level of activity attained.

### 9.10 SELF ASSESSMENT QUESTIONS AND EXERCISES

#### Short Answer Questions

1. State the objectives of budgetary control.
2. What are the essential characteristics of a good budgetary control?

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3. Write a short note on budget manual.
4. Differentiate between short-term and long-term budget.

### Long Answer Questions

1. 'Different authorities have given different classifications of budgets.' Analyse the statement.
2. Describe the factors facilitating professional growth.
3. What are some of the personnel services for the professional services of teachers? Describe.
4. Describe the process of the evaluation of professional growth.

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## 9.11 FURTHER READINGS

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## UNIT 10 TECHNIQUES IN MANAGEMENT

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### NOTES

#### Structure

- 10.0 Introduction
- 10.1 Objectives
- 10.2 Programme Evaluation and Review Technique (PERT)
- 10.3 Planning Programming Budgeting System (PPBS)
- 10.4 Management by Objectives (MBO)
- 10.5 Total Quality Management (TQM)
- 10.6 Answers to Check Your Progress Questions
- 10.7 Summary
- 10.8 Key Words
- 10.9 Self Assessment Questions and Exercises
- 10.10 Further Readings

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### 10.0 INTRODUCTION

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The management has at its disposal a number of control techniques, which it can employ depending upon the type of situation that exists.

A control technique or tool is a specific method or procedure which deals with the pertinent organizational information in such a manner that the management is able to implement a suitable control strategy in order to assess the performance and growth of the organizational operations. Some of such techniques are discussed here.

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### 10.1 OBJECTIVES

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After going through this unit, you will be able to:

- Analyse the significance of Programme Evaluation and Review Technique
- Describe the technique of planning programming budgeting system
- Discuss the concept of management by objectives (MBO)
- Explain the major aspects of total quality management (TQM)

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### 10.2 PROGRAMME EVALUATION AND REVIEW TECHNIQUE (PERT)

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PERT stands for Program Evaluation and Review Technique or Project Evaluation and Review Technique. It evolved from the Gantt chart of the late 1950s and was

## NOTES

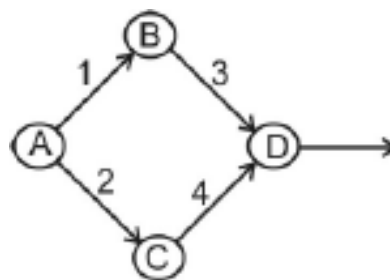
developed by U.S. Navy in 1957-58 in connection with Polaris Weapons System. It is a visual network and is most appropriate for controlling complex, unique, one time projects such as large weapon system, building projects, shipbuilding, airport facilities building, etc.

Essentially, this technique expresses the total program or operation as a network of discrete events and their interrelationships with each other. The construction of PERT network requires the most detailed analysis and assessment of each component of the total project. The management has a clear focus on the various sequences of activities needed to accomplish an overall goal. Each event and activity should be optimally timed since the total project is highly time-critical.

PERT can be used as a planning tool as well as a controlling tool. In its planning function, it is used to compute the total expected time needed to complete a project and it can identify “bottleneck” activities that have a critical effect on the project completion date. As a control activity, it is possible, to estimate the probability of meeting project deadlines as well as completion of its component part so that the entire process can be put under close watch to see if there are any deviations from the most probable projected times of completion.

A PERT network is developed with the following requirements.

- (a) The entire activity must be broken down into its individual parts or tasks. Those tasks must be visualized in a clear manner to be put down in a network. These tasks comprise of events and activities. An event is a particular phase of the program completed at a point in time. An activity represents the efforts and resources including time required to progress from one event to the next. Activities extend over a period of time. The events usually are indicated as circles in the network chart and activities will be indicated by arrows as shown.



In the above sample diagram, A, B, C, and D are the events and 1, 2, 3, and 4, are the activities which take time to complete.

- (b) The events and activities are placed in the chart in a highly logical, interdependent, sequential and integrated way. The ground rules for this placement include that no event is considered completed until all predecessor events have been completed. No activity may start until its preceding event has been completed.

(c) Time estimated are made for each activity under the following three criteria.

- (i) *Most optimistic results.* This is based upon the estimate of minimum time an activity will take under the best conditions. Best conditions occur when everything goes right and all resources are available when needed and all operations run smoothly.
- (ii) *Most likely results.* This is an estimate of the normal time on an activity and is computed on a probabilistic basis that things will happen in the most probable manner.
- (iii) *Most pessimistic results.* This is the estimate of the time that an activity is expected to take under the worst conditions, excluding such factors as “catastrophic events” of fire, power failure, strikes etc.

The empirical formula for the most realistic estimated PERT time ( $T_e$ ), is computed as follows:

$$T_e = \frac{T_o + 4T_m + T_p}{6}$$

Where:

$T_o$  = Optimistic time.

$T_m$  = Most likely time.

$T_p$  = Pessimistic time.

- (d) A critical path through the network must be determined. The critical path is simply the longest path through the network in terms of the amount of time the entire project will take. It is the sum of times of each sequence of tasks and is the longest time in the chain. This path is known as the critical path. If the events on the critical path are delayed, then the entire project will be delayed and the scheduled completion date will not be met.

Any path other than the critical path is known as the sub-critical path, which is always shorter than the critical path and the difference in time between the critical path and any sub-critical path is known as the slack and it provides a cushion for the sub-critical sequence.

PERT is an excellent tool for planning, controlling and monitoring the progress of one time only complex projects and the emphasis is on time-scheduling, as the example, construction of a new plant. If an activity runs over or under the estimated time, then the management can re-assign manpower and resources so that the entire project does not fall behind schedule.

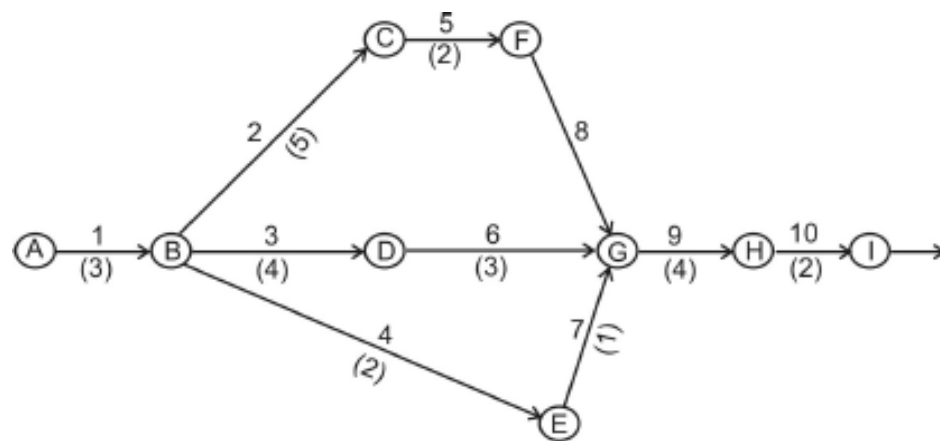
## NOTES

## NOTES

PERT can best be explained by an example. Let us assume that we have to build a new small car. For simplicity, we will assume the construction at three different levels that are under operation simultaneously. Let these operations be:

- (a) Preparation of frames for the car.
- (b) Building of bodies which will be joined to the frames.
- (c) Building of engines and transmissions to be put in at assembly point.

It is also assumed that the bodies and the frames can be fabricated at the plant while the engine and transmission parts have to be ordered from outside and assembled at the plant. The network for the project is shown below which indicates the events, the activities and the PERT times for each activity.



In the diagram above:

- From A to I are PERT events.
- From 1 to 10 are PERT activities.
- Te is the time in days, which is the PERT estimated time and is put in parenthesis under each activity.

The PERT events are as follows:

- A = Receive the contract or the order to build the car.
- B = Begins construction. (It takes three days after the contract is received, to make blue prints and other plans for construction).
- C = Receive parts for the engine and transmission (Drive train).
- D = Bodies are ready for testing.
- E = Frames are ready for testing.
- F = Drive trains are ready for testing.
- G = Bodies, frames and drive train components ready for assembly.
- H = Cars are assembled.
- I = Cars inspected and shipped.



The PERT activities are:

- 1 AB = Preparation of final blue prints. Estimated PERT time.  
 $T_e = 3$  days.
- 2 BC = Order the parts required for drive trains and receive them.  
 $T_e = 5$  days.
- 3 BD = Fabricate the bodies.  $T_e = 4$  days.
- 4 BE = Fabricate the frames.  $T_e = 2$  days.
- 5 CF = Build drive trains from the parts received.  $T_e = 2$  days.
- 6 DG = Test bodies after they have been fabricated.  $T_e = 3$  days.
- 7 EG = Test frames after they have been fabricated.  $T_e = 1$  day.
- 8 FG = Test drive trains after they have been built.  $T_e = 1$  day.
- 9 GH = Assemble all parts together.  $T_e = 4$  days.
- 10 HI = Test the assembled car and make them ready for shipment  
 $T_e = 2$  days.

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This should be noted that event G is where all parts come together for final assembly. It should also be noted that:

- (a) The drive train route is ABCFGHI and this takes a total time of  $3+5+2+1+4+2=17$  days.
- (b) The bodies route is ABDGHI and this takes a total time of  $3+4+3+4+2=16$  days.
- (c) The frames route is ABEGHI and this takes a total time of  $3+2+1+4+2=12$  days.

The critical path is the longest path in this network and that is 17 days. This means that the entire project should be completed in 17 days from the beginning to the end. The other two paths are sub-critical paths.

Since G is the final assembly point, it takes 8 days for drive trains to arrive at this point. This is the path from point B to point G along BCFG.

The fabricated bodies reach the assembly point G in 7 days along the route BDG, but since the drive trains will not be ready for assembly at this point these fabricated bodies cannot be utilized and must wait for drive trains to arrive. Hence this difference in time is known slack period. Same argument goes for fabricated frames which take only 3 days to arrive at assembly point G and must wait for 5 days before they can be utilized.

It should be understood however that it is not necessary or even likely, that the same path will remain critical throughout life of the project.

## Stochastic PERT

In the previous discussion on PERT, it has been assumed that the PERT times are accurately known. Hence this technique is known as “deterministic technique.”

## NOTES

This is usually not the case. For most projects these activity times are random variables. If these random variables have significantly different times than the estimated PERT time  $T_e$ , then the critical path will be significantly different, thus making the analysis invalid.

To compensate for this uncertainty to some degree, it is necessary to make some subjective and probabilistic judgments about these activity times. Assume the subjective time estimates to be:

$o_i$  = The most optimistic time required for activity.

$l_i$  = The most likely time required for activity.

$p_i$  = The most pessimistic time required for activity.

These estimated times can be used to define a probability distribution of time for each activity. The empirical investigation of these distributions suggest that these PERT times correlate with a "Beta Distribution". The mean of this distribution is determined in the same manner as for deterministic PERT times, as follows.

$$t_i = \frac{(o_i + 4l_i + p_i)}{6}$$

where  $t_i$  is the PERT expected time for activity  $i$ .

The standard deviation of the "Beta Distribution" can be approximated by using:

$$\sigma_i = \frac{(p_i - o_i)}{6}$$

The parameters of mean and standard deviation can be used in computing the probability that the project will be completed as scheduled for completion or before that completion date.

*Time trade-off.* Both in Deterministic PERT and Stochastic PERT, time estimates are assigned to the activities in the network. These time estimates are partially on the basis of manpower assignment and resource allocation. Since all paths along the network, other than the critical path require less time, hence they possess a certain degree of slack. Listing of activities having such slack identifies the area of effort where trade-off in time, resources or technical performance may improve the schedule along the critical path.

All activities must be carefully studied and analysed in order to identify these as critical, less critical and non-critical activities. This would assist in resource planning and allocation and project control. When necessary the resources can be diverted from non-critical path when the planned progress on the critical path cannot be maintained. The progress can be measured frequently and on the basis of this progress decisions can be made relative to resource reassignments or any other desirable changes.

## Advantages and Limitations of PERT

*Techniques in  
Management*

### (A) Advantages

1. It forces managers to plan their projects critically and analyse all factors affecting the progress of the plan. The process of the network analysis requires that the project planning be conducted in considered detail from the start to the finish.
2. It gives the management a tool for predicting the impact of schedule changes and be prepared to correct such situations. Bottlenecks and potential trouble spots are discovered early enough so as to apply some preventive measures or corrective actions.
3. A large amount of data can be presented in a highly ordered fashion. The task relationships are graphically represented for easier evaluation and individuals in different locations can easily determine their role in the total task requirements.
4. The PERT time ( $T_e$ ) is based upon 3-way estimate and hence is the most objective time in the light of uncertainties and results in greater degree of accuracy in time forecasting. Similarly the Stochastic PERT time ( $t_i$ ) is computed to be the most probabilistic time for a given activity, making it logical to forecast the most likely total time for project completion.
5. It results in improved communications; the network provides a common ground for various involved parties such as designers, contractors, project managers etc. and they must all understand each other's role and contributions.

The network will highlight areas that require attention of higher priority so that concentration can be applied to the key jobs without ignoring the lower priority tasks. This gives the management an opportunity to shift attention to any critical task so that the entire project is completed in time.

### (B) Limitations

Some of the limitations and problems that arise are:

1. Uncertainty about the estimate of time and resources. These must be assumed and the results can only be as good as the assumptions.
2. The costs may be higher than the conventional methods of planning and control. Because of the nature of networking and network analysis, it requires a high degree of planning skill and greater amount of details which would increase the cost in time and manpower resources.
3. It is not suitable for relatively simple and repetitive processes such as assembly line work which are fixed-sequence jobs.

### NOTES

Hence PERT is not very effective in manufacturing operations, since it deals in the time domain only and does not deal with the quality information which is necessary in manufacturing processes.

## NOTES

### Check Your Progress

1. State the full form of PERT.
2. Why is PERT not very effective in manufacturing operations?
3. State one use of PERT.

## 10.3 PLANNING PROGRAMMING BUDGETING SYSTEM (PPBS)

Planning, Programming, and Budgeting System (PPBS) is in effect an integration of a number of techniques in a planning and budgeting process for identifying, costing and assigning a complexity of resources and then setting priorities and strategies for the main programme and for planning for costs, expenses, etc., in the immediate financial year.

In many organizations, like the United States' Department of Defence, leaders have been using their planning, programming, and budgeting system for integrating the operational requirements with financial obligations. Also the branches of the department of education typically divide the process into plans, programs and budgets. Educational planning, programming and budgeting continue throughout the year and PPBS shows the sequential and annual process of the annual plan, followed by a main programme, then a budget. PPBS require planners focus on operational requirements, programmers link the plans to a six-year financial plan and budgeters prepare a two-year congressional budget.

## 10.4 MANAGEMENT BY OBJECTIVES (MBO)

As the organizations became more complex both in organizational structure as well as the extent of operations, the need for more sophisticated techniques of management arose. The conglomerates by mergers, acquisition, or expansion became sufficiently complicated so that it became necessary to devise new methods of managing that would ensure that the desired results are achieved effectively. Additionally as the patterns of the workforce changed so that they became more aware and educated, it was felt that their participation in the affairs of the organization would be useful both for the workers and the company. That is how the more modern concept of participative management evolved.

This type of management is known as “*Management By Objectives*” or *MBO*.

The ideas behind MBO were advocated and popularized by Peter Drucker, who stressed that “business performance requires that each job be directed towards the objective of the whole business.” Even though it is comparatively a new area, a lot of attention has been paid to it, notably by John Humble in England and George Odiorne in America.

MBO is a process by which managers and subordinates work together in identifying goals and setting up objectives and make plans together in order to achieve these objectives. These objectives and goals are consistent with the organizational goals. George Odiorne has explained the concept as follows:

The system of management by objectives can be described as a process whereby the superior and subordinate managers of an organization jointly identify its common goals, define each individual’s major areas of responsibility in terms of results expected of him and use these measures as guides for operating the unit and assessing the contribution of each of its members.

MBO then can also be referred as *Management by Results* or *Goal Management*, and is based on the assumption that involvement leads to commitment and if an employee participates in goal setting as well as setting standards for measurement of performance towards that goal, then the employee will be motivated to perform better and in a manner that directly contributes to the achievement of organizational objectives.

John Humble seems to be highly excited about this new and challenging concept and defines MBO as “A dynamic system which integrates the company’s need to achieve its goals for profit and growth with the manager’s need to contribute and develop himself. It is a demanding and a rewarding style of managing a business.”

MBO by definition is a goal-oriented process and not a work-oriented process. Just being busy and doing work is not important, if it does not effectively lead to achievement. It is both an aid to planning as well as a motivating factor for employees. By its proper use, some of the planning errors can be eliminated or minimized. It is a comprehensive system based upon set objectives in which all members participate. These objectives are common objectives for all participants and the extent or rewards for each member would be determined by the degree of achievement. This leads to a fair appraisal system. Additionally, a good MBO plan involves regular and face-to-face superior-subordinate communication and hence it improves the communication network.

### **The MBO Process**

Some of the elements in the MBO process can be described as follows:

1. *Central goal setting*. The first basic phase in the MBO process is the defining and clarification of the organizational objectives. These are set by

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the central management and usually in consultation with the other managers. These objectives should be specific and realistic. This process gets the group managers and the top managers to be jointly involved. Once these goals are clearly established, they should be made known to all the members of the organization and be clearly understood by them.

2. *Manager-subordinate' involvement.* After the organizational goals have been set and defined, the subordinates work with the manager in setting their individual goals. Such joint consultation is important because people are much more motivated in achieving objectives that were set by them to start with. The goals of the subordinates are specific and short range and primarily indicate what the subordinate's unit is capable of achieving in a specified period of time. The subordinates must set goals in consultation with the individuals who comprise his unit. In this manner, everyone gets involved in the goal setting.
3. *Matching goals and resources.* The objectives in themselves do not mean anything unless we have resources and means to achieve those objectives. Accordingly, management must make sure that the subordinates are provided with necessary tools and materials to effectively achieve these goals. If the goals are precisely set then the resource requirements can also be precisely measured thus making the resource allocation easier. However, just like goal setting, the allocation of resources should also be done in consultation with the subordinates.
4. *Freedom of implementation.* The manager-subordinate task force should have adequate freedom in deciding on the utilization of resources and the means of achieving the objectives. As long as these means are within the larger framework of organizational policies, there should be minimum interference by the superiors.
5. *Review and appraisal of performance.* There should be periodic reviews of progress between manager and the subordinates. These reviews would determine if the individual is making satisfactory progress. They will also reveal if any unanticipated problems have developed. They also help the subordinate understand the process of MBO better. They also improve the morale of subordinates since the manager is showing active interest in the subordinate's work and progress. However, the performance appraisal at these intermediate reviews should be conducted, based upon fair and measurable standards. These reviews also will assist the manager and the subordinates to modify either the objectives or the methods, if necessary. This increases the chances of success in meeting the goals and makes sure that there are no surprises at the final appraisal.

## Advantages of MBO

Henri Tosi and Stephen Carroll have done extensive work in this area and described some of the pros and cons of MBO. Some of the advantages of MBO are:

1. Since MBO is a result-oriented process and focusses on setting and controlling goals, it encourages managers to do detailed planning. As the planning process is improved, it helps in a better overall management system.
2. Both the manager and the subordinates know what is expected of them and hence there is no role ambiguity or confusion.
3. The managers are required to establish measurable targets and standards of performance and priorities for these targets. Since these measurable targets are tailored to the particular abilities of the subordinates, it obtains maximum contribution from them thus providing optimum utility of human resources. In addition the responsibilities and authority of the personnel is clearly established.
4. It makes individuals more aware of the company goals. Most often the subordinates are concerned with their own objectives and the environment surrounding them. But with MBO, the subordinates feel proud of being involved in the organizational goals. This improves their morale and commitment.
5. MBO often highlights the area in which the employees need further training. By taking keen interest in the development of skills and abilities of subordinates, the management provides an opportunity for strengthening those areas needing further refinement thus leading to career development.
6. The system of periodic evaluation lets the subordinates know how well they are doing. Since MBO puts strong emphasis on quantifiable objectives, the measurement and appraisal can be more objective, specific and equitable. These appraisal methods are superior to trait evaluation which is based upon factors such as cooperation, likeability, self-discipline, loyalty, etc. since they focus on results and not on the same subjective intangible characteristics. This evaluation being more objective can be highly morale-boosting.
7. It improves communication between management and subordinates. This continued feedback helps clarify any ambiguities and it helps in the process of control so that any deviations can be easily and quickly corrected.

## Disadvantages of MBO

1. In a classical established structure of our organizations, the authority flows from top to bottom. This creates discipline and better performance. Hence the top management is usually reluctant to support the process of MBO in

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which their subordinates would take equal part. Accordingly MBO can only succeed if it has the complete support of top management.

2. MBO may be resented by subordinates. They may be under pressure to get along with the management when setting goals and objectives and these goals may be set unrealistically high. This may lower their morale and they may become suspicious about the Philosophy behind MBO. They may seriously believe that MBO is just another of the management's ploy to make the subordinates work harder and become more dedicated and involved.
3. The emphasis in MBO system is on quantifying the goals and objectives. It does not leave any ground for subjective goals. Some areas are difficult to quantify and even more difficult to evaluate.
4. There is considerable paperwork involved and it takes too much of the manager's time. Too many meetings and too many reports add to the manager's responsibility and burden. Some managers may resist the program because of this increased paperwork.
5. The emphasis is more on short-term goals. Since the goals are mostly quantitative in nature, it is difficult to do long range planning because all the variables affecting the process of planning cannot be accurately forecast, due to constantly changing socio-economic and technological environment, which affect the stability of goals.
6. Most managers may not be sufficiently skilled in inter-personal interaction such as coaching and counselling which is extensively required.
7. The integration of MBO system with other systems such as forecasting and budgeting etc., is very poor. This makes the overall functioning of all systems more difficult.
8. Group goal achievement is more difficult. When the goals of one department depend on the goals of another department, cohesion is more difficult to obtain. For example, the production department cannot produce a set quota if it is not sufficiently supplied with raw materials and personnel.

### **Suggestions for improving the Effectiveness of MBO**

1. It is important to secure top management support and commitment. Without this commitment, MBO can never really be a success. The top managers and their subordinates should all consider themselves as players of the same team. This means that the superiors must be willing to relinquish and share the necessary authority with subordinates.
2. The objectives should be clearly formulated, should be realistic and achievable. For example, it is not realistic for the R & D department of an organization to set a goal of, say, 10 inventions per year. These goals should



be set with the participation of the subordinates. They must be properly communicated, clearly understood and accepted by all. MBO works best when goals are accepted.

3. MBO should be an overall philosophy of management and the entire organization, rather than simply a divisional process or a performance appraisal technique. MBO is a major undertaking and should replace old systems rather than just being added to it. Felix M. Lopex has observed, “When an organization is managed by objectives, it becomes performance oriented. It grows and it develops and it becomes socially useful”.
4. The goals must be continuously reviewed and modified as the changed conditions require. The review technique should be such that any deviations are caught early and corrected.
5. All personnel involved should be given formal training in understanding the basics as well as the contents of the program. Such education should include as to how to set goals, the methods to achieve these goals, methods of reviews and evaluation of performance and provisions to include any feedback that may be given.
6. MBO system is a major undertaking based upon sound organizational and psychological principles. Hence it should be totally accepted as a style of managing and should be totally synthesized with the organizational climate. All personnel involved must have a clear understanding of their role authority and their expectations. The system should be absorbed totally by all members of the organization.

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### 10.5 TOTAL QUALITY MANAGEMENT (TQM)

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Total Quality Management (TQM) can be defined as a management system for a customer-focused and satisfaction organization that involves all employees in their continuous improvement. It uses strategic approaches, data, and effective communications to integrate the quality aspects of discipline into the work culture and activities of the organization.

TQM is a process to ensure the maximum satisfaction to the customer from the entire organization. TQM in education consists of Input-Process-Output aspects of education. It includes the arrangements of human and material resources engaged in the educational system. The total institutional planning, execution, implementation, feedback are also the part of TQM in education. Moreover, administration, management and organization are also important considerations of TQM. The process of TQM in education focuses on the following:

- Vision and commitment inclined within the organization;
- Understanding of customer need and process adopted to satisfy the need of the customers;

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- The design of various sub-systems within the broad system of educational organization and the investment made in the development of team on performance management system on team work as organizational activity;
- Carried out specific challenging goals of the organization to significant increases or performance outcomes; and
- Regular systemic of organization through the use of effective tools for measurement and feedback.

From the above points, we may come to state a clear cut concept of TQM is;

It is a comprehensive and structured approach to organizational management that achieves best quality of products and services through using effectively refinements in response to continuous feedback, and through using them effectively in order to deliver best value for the customer, while achieving long term objectives of the organization.

Let us discuss the concept of TQM through a model shown in Figure 10.1.

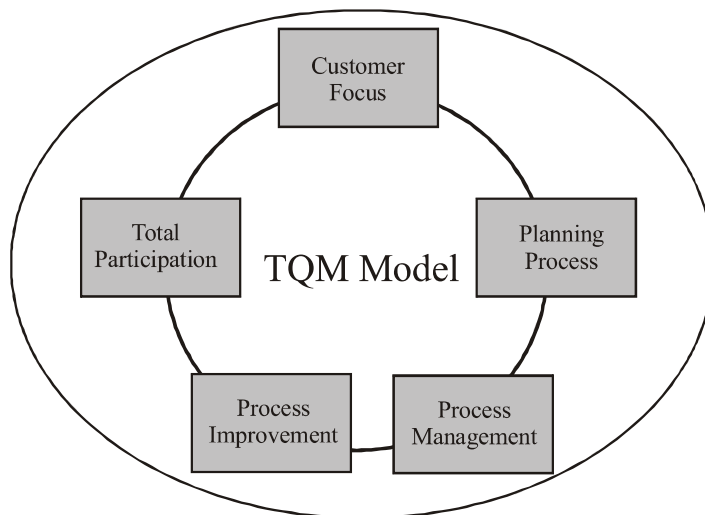


**Fig. 10.1** Total Quality Management (TQM) Model

(Source: <http://www.edrawsoft.com/TQM-Diagrams.php>, retrieved on 01.04.2013)

The above TQM Model describes five major aspects of assuring quality in the management process. The first aspect 'Customer focus' depicts the processes that continuously collect, analyses, and act on customer information. It always prepares a system which is based on the need of the customer and work for satisfying them.

Secondly the planning process includes all the activities practiced and carry out in the TQM. Process management and the process improvement, many a time depends up on the feedback of the customers.

The last aspect of the TQM model is total participation. TQM process believes that all tasks are performed by the people with their leadership. In TQM organizations, the higher management is personally accountable for putting into practice, fostering and streamlining all TQM operations. It makes sure that the workforce is well-trained, competent and dynamically takes part in achieving organizational success. Management and employees work together to create an empowered environment where people are valued and it shows the path of improvement and progress of the institute.

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### Check Your Progress

4. Who popularised the idea behind MBO?
5. What is total quality management in education?
6. What is the last aspect of TQM model?

## 10.6 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. PERT stands for Program Evaluation and Review Technique or Project Evaluation and Review Technique.
2. PERT is not very effective in manufacturing operations, since it deals in the time domain only and does not deal with the quality information which is necessary in manufacturing processes.
3. PERT is an excellent tool for planning, controlling and monitoring the progress of one time only complex projects and the emphasis is on time-scheduling, as the example, construction of a new plant.
4. The ideas behind MBO were advocated and popularized by Peter Drucker, who stressed that “business performance requires that each job be directed towards the objective of the whole business.”
5. TQM in education consists of Input-Process-Output aspects of education. It includes the arrangements of human and material resources engaged in the educational system.
6. The last aspect of the TQM model is total participation. TQM process believes that all tasks are performed by the people with their leadership.

## 10.7 SUMMARY

- PERT stands for Program Evaluation and Review Technique or Project Evaluation and Review Technique. It evolved from the Gantt chart of the

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late 1950s and was developed by U.S. Navy in 1957-58 in connection with Polaris Weapons System.

- It is a visual network and is most appropriate for controlling complex, unique, one time projects such as large weapon system, building projects, shipbuilding, airport facilities building, etc.
- PERT can be used as a planning tool as well as a controlling tool. In its planning function, it is used to compute the total expected time needed to complete a project and it can identify “bottleneck” activities that have a critical effect on the project completion date.
- PERT is an excellent tool for planning, controlling and monitoring the progress of one time only complex projects and the emphasis is on time-scheduling, as the example, construction of a new plant. If an activity runs over or under the estimated time, then the management can re-assign manpower and resources so that the entire project does not fall behind schedule.
- Both in Deterministic PERT and Stochastic PERT, time estimates are assigned to the activities in the network. These time estimates are partially on the basis of manpower assignment and resource allocation. Since all paths along the network, other than the critical path require less time, hence they possess a certain degree of slack.
- Planning, Programming, and Budgeting System (PPBS) is in effect an integration of a number of techniques in a planning and budgeting process for identifying, costing and assigning a complexity of resources and then setting priorities and strategies for the main programme and for planning for costs, expenses, etc., in the immediate financial year.
- MBO often highlights the area in which the employees need further training. By taking keen interest in the development of skills and abilities of subordinates, the management provides an opportunity for strengthening those areas needing further refinement thus leading to career development.
- Total Quality Management (TQM) can be defined as a management system for a customer-focused and satisfaction organization that involves all employees in their continuous improvement. It uses strategic approaches, data, and effective communications to integrate the quality aspects of discipline into the work culture and activities of the organization.
- TQM Model describes five major aspects of assuring quality in the management process. The first aspect ‘Customer focus’ depicts the processes that continuously collect, analyses, and act on customer information.
- Secondly the planning process includes all the activities practiced and carry out in the TQM. Process management and the process improvement, many a time depends up on the feedback of the customers.

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## 10.8 KEY WORDS

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- **PERT:** The Program Evaluation and Review Technique (PERT) is a network model that allows for randomness in activity completion times. PERT was developed in the late 1950's for the U.S.
- **Management by objectives (MBO):** It is a strategic management model that aims to improve the performance of an organization by clearly defining objectives that are agreed to by both management and employees.
- **Total Quality Management (TQM):** It can be defined as a management system for a customer-focused and satisfaction organization that involves all employees in their continuous improvement.

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## 10.9 SELF ASSESSMENT QUESTIONS AND EXERCISES

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### Short Answer Questions

1. State the use of PERT in the planning function.
2. Write a short note on scholastic PERT.
3. Write a short note on Planning Programming Budgeting System (PPBS).
4. What are the suggestions for improving the effectiveness of MBO?

### Long Answer Questions

1. Analyse the requirements of the PERT network.
2. Describe the advantages and limitations of PERT.
3. Explain the elements of the MBO process.
4. 'TQM is a process to ensure the maximum satisfaction to the customer from the entire organization.' Comment.

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## 10.10 FURTHER READINGS

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# UNIT 11 CHANGES IN EDUCATION

## Structure

- 11.0 Introduction
- 11.1 Objectives
- 11.2 Need for Change in Population Growth
- 11.3 Technological and Scientific Development
- 11.4 Education Growth and Diffusion of Knowledge
- 11.5 Planning for Change: Concept and Objectives of Planned Change Process
  - 11.5.1 Importance of Planned Change
  - 11.5.2 Steps in Planned Change
- 11.6 Answers to Check Your Progress Questions
- 11.7 Summary
- 11.8 Key Words
- 11.9 Self Assessment Questions and Exercises
- 11.10 Further Readings

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### 11.0 INTRODUCTION

The rapid changes and increased complexity of today's world present new challenges and put new demands on our education system. There has been generally a growing awareness of the necessity to change and improve the preparation of students for productive functioning in the continually changing and highly demanding environment.

In confronting this challenge it is necessary to consider the complexity of the education system itself and the multitude of problems that must be addressed. Clearly, no simple, single uniform approach can be applied with the expectation that significant improvements of the system will occur. This unit will discuss some of such concerns in detail.

### 11.1 OBJECTIVES

After going through this unit, you will be able to:

- Analyse the need for changes in population growth and education
- Describe the changes in terms of technological and scientific development
- Understand the concept of diffusion of knowledge and educational growth
- Describe the concept and objectives of planned change process

## 11.2 NEED FOR CHANGE IN POPULATION GROWTH

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In 2014, an analysis of United Nations data by the journal *Science* concluded that a halt to population growth in this century was unlikely and projected that between 9.6bn and 12.3bn people would be living on the planet by 2100.

When the Pew Research Center asked American scientists whether the expanding world population presented a problem, 82% agreed it would strain the planet's natural resources. Other concerns range from food insecurity and the social implications of rising unemployment to the acceleration of climate change.

Population growth is uneven. Many developed countries, for example, have seen their fertility rate fall below the replacement rate of 2.1 children per woman. Some, like Bulgaria, have seen their population fall from 9m in 1990 to about 7.3m today, says Wolfgang Lutz, founding director of the Wittgenstein Centre for Demography and Global Human Capital. At the other end of the scale is Nigeria, where, he says, average birth rates are 5.5 to 6 children per woman. According to the United Nations, the country's population could surpass that of the US by 2050 and, if unchecked, the country could rival China in population size by the end of the century.

When it comes to slowing population growth, some governments have attempted to use legislation to limit the number of children born. Tempting as it is, enforcing a "one child" policy does not work — as the experience of China shows, it turns a problem of population growth into one of an ageing society.

More sustainable options include encouraging women to have fewer children and to have them later in life by increasing access to reproductive healthcare services, raising the legal age of marriage and enabling women's active participation in the workforce by, for example, increasing access to credit.

Bangladesh, for instance, used communications and awareness-raising to change people's attitudes to family size and to increase the use of contraceptives among married women. As a result, fertility decreased from an average of more than 6 children per woman in 1975 to slightly more than 3 today.

"One of the most powerful tools in stemming population growth will be education", says Mark Montgomery, an economics professor at Stony Brook University and a researcher at the Population Council. "We've seen some astonishing transitions, especially in the 1970s in what were then poor countries where fertility rates fell when levels of education went up. "Studies conducted by Mr. Lutz and his team support this. The researchers found that, on average, uneducated Malian women gave birth to almost 7 children. For the better-educated, the number was about four. "Education leads to lower birth rates and slows population growth," he says. "This makes it easier for countries to develop a



more-educated workforce also makes poverty eradication and economic growth easier to achieve.”

In addition to improvements in clean energy and energy efficiency, education will also play a role. “Many surveys show that environmental consciousness is linked to education,” says Mr Lutz. To that end, his organization developed an online tool that provides policymakers with data and analyses to help them develop programmes that balance social, economic and environmental goals with demographic shifts.

The developing countries had set goals relating to education including the achievement of universal primary education, the eradication of illiteracy, and the provision of secondary and tertiary education to meet manpower needs. One reason for shortfalls in the achievement of educational goals is rapid population growth, especially of school-age groups; for instance the total population aged 6-11 in Indonesia increased by 89.3%. The curtailment of secondary and tertiary education or a reduction to some extent of their unit costs is a priority that should be pleasing to educational planners. Some of the reasons why a higher level of education in women is likely to be associated with lower fertility are:

- education increases the opportunities for a career outside the home;
- it increases aspirations for upward social mobility which acts as a counter attraction to motherhood;
- it increases expectations for the better education and employment of children, which are better achieved with small families;
- it delays the age of marriage of span of childbearing years; and
- it is conducive to the development of attitudes regarding better quality of life and smaller families.

Greater levels of education should decrease mortality by spreading health care knowledge and thus educational structures need to be developed for developing countries to achieve these goals.

Population’s effects on education and the labor force will influence the opportunities available for the current generation of young people, the largest in history. The demographic transition—the combination of falling mortality rates followed by falling fertility rates—provides countries with a growing number of youth who can be educated and productively employed. With effective government policies and investments, this transition can create an engine for economic growth.

India holds an important place in the global education industry. India has one of the largest networks of higher education institutions in the world. However, there is still a lot of potential for further development in the education system.

Moreover, the aim of the government to raise its current gross enrolment ratio to 30 per cent by 2020 will also boost the growth of the distance education in India.

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India has the world's largest population of about 500 million in the age bracket of 5-24 years and this provides a great opportunity for the education sector. The education sector in India is estimated at US\$ 91.7 billion in FY18 and is expected to reach US\$ 101.1 billion in FY19.

### 11.3 TECHNOLOGICAL AND SCIENTIFIC DEVELOPMENT

Developments in science and technology are fundamentally altering the way people live, connect, communicate and transact, with profound effects on economic development. To promote tech advance, developing countries should invest in quality education for youth, and continuous skills training for workers and managers.

Science and technology are key drivers to development, because technological and scientific revolutions underpin economic advances, improvements in health systems, education and infrastructure.

The technological revolutions of the 21st century are emerging from entirely new sectors, based on micro-processors, tele-communications, bio-technology and nano-technology. Products are transforming business practices across the economy, as well as the lives of all who have access to their effects. The most remarkable breakthroughs will come from the interaction of insights and applications arising when these technologies converge. Through breakthroughs in health services and education, these technologies have the power to better the lives of poor people in developing countries.

Access and application are critical. Service and technology are the differentiators between countries that are able to tackle poverty effectively by growing and developing their economies, and those that are not. The extent to which developing economies emerge as economic powerhouses depends on their ability to grasp and apply insights from science and technology and use them creatively. Innovation is the primary driver of technological growth and drives higher living standards.

As an engine of growth, the potential of technology is endless, and still largely untapped in developing world regions across the globe. Less developed countries not only lack skilled labour and capital, but also use these less efficiently. Inputs account for less than half of the differences in per capita income across nations. The rest is due to the inability to adopt and adapt technologies to raise productivity. The combination of computers and the Internet, and mobile devices and the "cloud", has transformed human experience, empowering individuals through access to knowledge and markets, changing the relationship between citizens and those in authority, as well as allowing new communities to emerge in virtual worlds that span the globe.

According to the United Nations International Telecommunications Union (UN-ITU), by the end of 2010 there were an estimated 5.3 billion mobile cellular

subscriptions worldwide, including 940 million subscriptions to 3g services. About 90 percent of the world's population can access mobile networks, with three-quarters of mobile subscribers living in developing economies.

However, the continued and equitable expansion of Information Communication Technology (ICT) depends on electricity. The real divide over the next 20 years will be between those who have access to reliable electricity to power these devices and those who do not.

To promote technological advances, developing countries should invest in quality education for youth, continuous skills training for workers and managers, and should ensure that knowledge is shared as widely as possible across society. The benefits that are certain to flow from technological revolution in an increasingly connected world and knowledge-intensive world will be seized by those countries and companies that are alive to the rapidly changing environment, and nimble enough to take advantage of the opportunities. Those that succeed will make substantial advances in reducing poverty and inequality.

Research by the World Economic Forum estimates that 65% of children entering primary school will find themselves in occupations that today do not exist. By 2020 it's estimated there will be 1.5 million new digitized jobs across the globe. At the same time, 90% of organizations currently have an IT skills shortage, while 75% of educators and students feel there is a gap in their ability to meet the skills needs of the IT workforce. To prepare the talent needed for the digital economy, education must adapt as fast as the demand for IT skills is growing and evolving.

Technology is helping teachers to expand beyond linear, text-based learning and to engage students who learn best in other ways. Its role in schools has evolved from a contained "computer class" into a versatile learning tool that could change how we demonstrate concepts, assign projects and assess progress. Despite these opportunities, adoption of technology by schools is still anything but ubiquitous. Knezek says that U.S. schools are still asking *if* they should incorporate more technology, while other countries are asking *how*.

However, in the following seven areas, technology has shown its potential for improving education.

1. **Global Learning:** At sites like Glovico.org, students can set up language lessons with a native speaker who lives in another country and attend the lessons via videoconferencing. Learning from a native speaker, learning through social interaction, and being exposed to another culture's perspective are all incredible educational advantages that were once only available to those who could foot a travel bill. Now, setting up a language exchange is as easy as making a videoconferencing call.
2. **Virtual Manipulatives:** Let us say you are learning about the relationship between fractions, percents and decimals. Your teacher could have you draw graphs or do a series of problems that changes just one

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variable in the same equation. Or he could give you a “virtual manipulative” and let you experiment with equations to reach an understanding of the relationship. The National Library of Virtual Manipulatives, run by a team at Utah State University, has been building its database of these tools since 1999.”You used to count blocks or beads,” says Lynne Schrum, who has written three books on the topic of schools and technology. “Manipulating those are a little bit more difficult. Now there are virtual manipulative sites where students can play with the idea of numbers and what numbers mean, and if I change values and I move things around, what happens.”

3. **Probes and Sensors:** About 15 years ago, the founders of the Concord Consortium took the auto focus sensor from a Polaroid camera and hooked it up to a computer graph program, thereby creating the ability to graph motion in real time. Today there are classrooms all over the world that use ultrasonic motion detectors to demonstrate concepts. Collecting real-time data through probes and sensors has a wide range of educational applications. Students can compute dew point with a temperature sensor, test pH with a pH probe, observe the effect of pH on an MnO<sub>3</sub> reduction with a light probe, or note the chemical changes in photosynthesis using pH and nitrate sensors.
4. **More Efficient Assessment:** Models and simulations, beyond being a powerful tool for teaching concepts, can also give teachers a much richer picture of how students understand them.” You can ask students questions, and multiple choice questions do a good job of assessing how well students have picked up vocabulary,” Dorsey explains. “But the fact that you can describe the definition [of] a chromosome ... doesn’t mean that you understand genetics any better ... it might mean that you know how to learn a definition. But how do we understand how well you know a concept?” In Geniverse, a program the Concord Consortium developed to help students understand genetics by “breeding” dragons, teachers can give students a problem that is much more like a performance assessment. The students are asked to create a specific dragon. Teachers can see what each student did to reach his or her end result and thereby understand whether trial-and-error or actual knowledge of genetics leads to a correct answer.
5. **Storytelling and Multimedia:** Through multimedia, the students can demonstrate the principle that makes flight possible by taking two candles and putting them close together, showing that blowing between them brings the flames closer together. For another example, they can hang ping pong balls from the ceiling and pull together. Asking children to learn through multimedia projects is not only an excellent form of project-based learning that teaches teamwork, but it’s also a good way to motivate students who are excited to create something that their peers

will see. In addition, it makes sense to incorporate a component of technology that has become so integral to the world outside of the classroom.

6. **E-books:** E-books hold an unimaginable potential for innovating education, though as some schools have already discovered, not all of that potential has been realized yet. “A digital textbook that is merely a PDF on a tablet that students can carry around might be missing out on huge possibilities like models and simulations or visualizations. “It takes time and it really takes some real thought to develop those things, and so it would be easy for us as a society to miss out on those kinds of opportunities by saying, ‘Hey look, we’re not carrying around five textbooks anymore. It’s all on your iPad, isn’t that great?’”
7. **Epistemic Games:** Epistemic games put students in roles like city planner, journalist, or engineer and ask them to solve real-world problems. It can provide opportunity to how immersing students in the adult world through commercial game-like simulations can help students learn important concepts. In one game, students are cast as high-powered negotiators who need to decide the fate of a real medical controversy. In another, they must become graphical artists in order to create an exhibit of mathematical art in the style of M.C. Escher. “Creative professionals learn innovative thinking through training that is very different from traditional academic classrooms because innovative thinking means more than just knowing the right answers on a test.” “It also means having real-world skills, high standards and professional values, and a particular way of thinking about problems and justifying solutions. Epistemic games are about learning these fundamental ways of thinking for the digital age.”

These seven technologies are redefining education. As student debt balloons, it’s time for society to re-evaluate postsecondary education—and our entire system. We need to create new and innovative systems that help individuals achieve their potential. The Web is changing many important functions of modern society—how we transfer money, communicate, purchase products, and more—but has been slow to transform the critical task of educating the next generation of citizens and leaders. It’s time for education to catch up with our technologically enhanced society. Students deserve a relevant, modern, customized education that helps them acquire 21st century skills.

### Check Your Progress

1. How does technology help teachers?
2. What are epistemic games?
3. Why are science and technology considered key drivers to development?

### NOTES

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## 11.4 EDUCATION GROWTH AND DIFFUSION OF KNOWLEDGE

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### NOTES

It is now fashionable to claim that economic progress depends upon knowledge and the utilization of knowledge – the so-called ‘knowledge economy’. Yet economic progress and expansion have always depended on new ideas and innovation. Indeed, it was Francis Bacon who first suggested, ‘knowledge is power’. What has changed, perhaps, is that knowledge is now recognised as being at least as important as capital (physical and financial) and natural resources as a source of economic growth. In short, knowledge is now regarded as a national economic asset and the basis of national competitive advantage. Accordingly, education at all levels, and especially higher education, with its potential to enhance productivity through research, is seen as the global panacea to economic policy. As one of the major areas of public policy investment, governments around the world, in both advanced and developing economies are restructuring education systems.

National policies for encouraging knowledge generation, knowledge acquisition, knowledge diffusion, and the exploitation of knowledge have become the most pressing priorities in the science, research and education policy regimes. The emphasis, accordingly, has focused upon the twin strategies of developing the appropriate knowledge infrastructures, including the reform of knowledge institutions, together with a strong focus on so-called ‘human resources’ or ‘human capital’; that is, people who know how to learn and who continue learning by upgrading existing skills and acquiring new skills. The knowledge economy is seen to demand meta-cognitive skills that are both broad and highly transferable, such as problem-solving and the ability to learn. Knowledge workers are now encouraged to continuously upgrade and broaden their skills, through formal education, lifelong learning, as well as through learning in the workplace and in less formal surroundings. Firms are encouraged to turn themselves into ‘learning organisations’ which can harness the synergies of human capital in the form of teams, and to avail themselves of the new techniques of knowledge management.

In a world in which the Internet makes information ubiquitous, what counts is the ability to use knowledge intelligently. Knowledge is the systemically integrated information that allows a citizen, a worker, a manager, or a finance minister to act purposefully and intelligently in a complex and demanding world. The only form of investment that allows for increasing returns is in building the stocks and flows of knowledge that a country or organization needs, an in encouraging new insights and techniques.

Adopting appropriate technologies leads directly to higher productivity, which is the key to growth. In societies that have large stock and flows of knowledge, virtuous circles that encourage widespread creativity and technological innovation

emerge naturally, and allow sustained growth over long periods. In societies with limited stocks of knowledge, bright and creative people feel stifled and emigrate as soon as they can; creating a vicious circle that traps those who remain in a more impoverished space. Such societies stay mired in poverty and dependency.

The investment climate is crucial, as are the right incentive structures, to guide the allocation of resources, and to encourage research and development.

Successful countries have grown their ability to innovate and learn by doing, by investing public funding to help finance research and development in critical areas. Everyone is involved – big and small, public and private, rich and poor.

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### 11.5 PLANNING FOR CHANGE: CONCEPT AND OBJECTIVES OF PLANNED CHANGE PROCESS

Every change should have a planned way. Planned change may help the person people to adapt with the change environment, planned change is pre- determined. It is decided in advance what is to be done in future. It is a deliberate process of preparing the entire organization, or a significant part of it, for new goals or a new direction. Its role is, therefore, to maintain stability and incorporate certainties into the organization

There are many goals of a planned change. Basically the goals are aimed to improve the ability of the organization to adjust to changes happening in the environment. Change in employee's behavior is expected and these changes to lead to improvement in organizational effectiveness and efficiency.

For making any planned change, pre thinking is supposed to be done about the outcomes and impact of change also. Despite carefulness if any negative impact is seen, one can have preparation or mental objective to face the changes.

#### 11.5.1 Importance of Planned Change

Planned change has got many benefits. By considering pros and cons, change process is initiated. That is why; there is a high possibility of importance. These points of importance of planned change are discussed below in detail:

1. **Increased productivity:** Planned change help increase productivity and service ability. On the other hand, change without plan might not help that much to increase productivity.
2. **Enhancement of quality:** Enhancement of quality deserves planned change in an organization. Quality of the goods is the condition of success of the organization.
3. **Facing completion:** If change process starts in a planned way that can help face competition successfully. Otherwise it may be difficult.

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4. **Technological change:** Planned change can also help in technological change, which type of technology is to be installed, that decision is supposed to take through a proper plan.
5. **Customer satisfaction:** Customer satisfaction is one of the prime objectives of the organizations. That satisfaction can also be increased and retained in a planned way.
6. **Expansion of market:** Every organization wants to expand its business. This expansion program should be taken with effective plan.
7. **Satisfaction of owners:** Owners and managers satisfaction is one of the prime implied objectives of establishing organization. This objective may be achieved, if it is tried in a planned way.
8. **Complying with laws:** Some changes take place in compliance with law provisions. In honor of law provisions, change is initiated.
9. **Development of manpower:** Manpower training and development is a continuous process. If this process is undertaken in a planned way that can help the organization to gain long term benefits.

### 11.5.2 Steps in Planned Change

Planned change requires managers to follow an eight step process for successful implementations, which is illustrated in figure below:

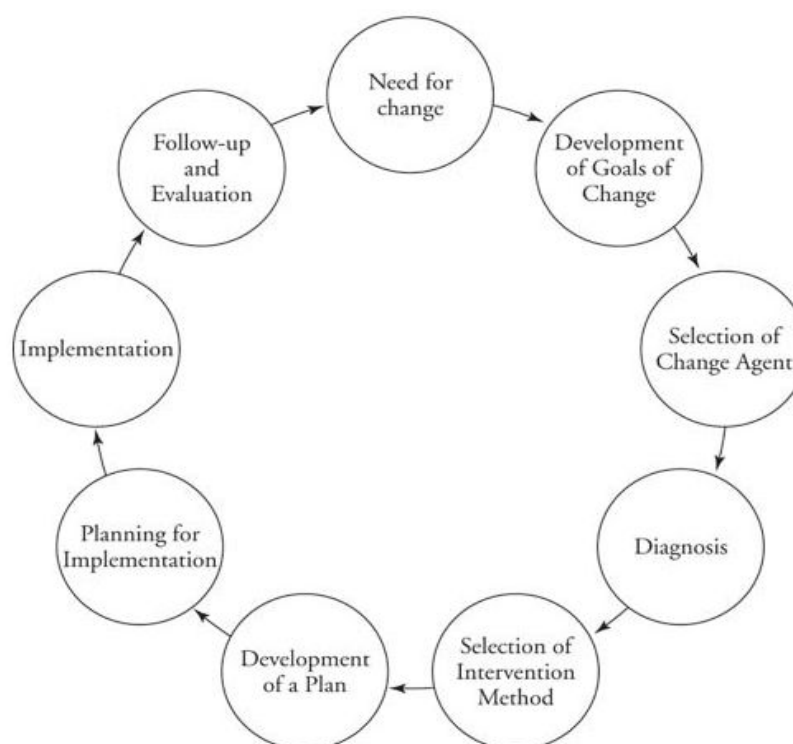


**Fig. 11.1** Eight Step Process for Planned Change



1. **Recognize the need for change.** Recognition of the need for change may occur at the top management level or in peripheral parts of the organization. The change may be due to either internal or external forces.
2. **Develop the goals of the change.** Remember that before any action is taken, it is necessary to determine why the change is necessary. Both problems and opportunities must be evaluated. Then it is important to define the needed changes in terms of products, technology, structure, and culture.
3. **Select a change agent.** The change agent is the person who takes leadership responsibility to implement planned change. The change agent must be alert to things that need revamping, open to good ideas, and supportive of the implementation of those ideas into actual practice.
4. **Diagnose the current climate.** In this step, the change agent sets about gathering data about the climate of the organization in order to help employees prepare for change. Preparing people for change requires direct and forceful feedback about the negatives of the present situation, as compared to the desired future state, and sensitizing people to the forces of change that exist in their environment.
5. **Select an implementation method.** This step requires a decision on the best way to bring about the change. Managers can make themselves more sensitive to pressures for change by using networks of people and organizations with different perspectives and views, visiting other organizations exposed to new ideas, and using external standards of performance, such as competitor's progress.
6. **Develop a plan.** This step involves actually putting together the plan, or the "what" information. This phase also determines the when, where, and how of the plan. The plan is like a road map. It notes specific events and activities that must be timed and integrated to produce the change. It also delegates responsibility for each of the goals and objectives.
7. **Implement the plan.** After all the questions have been answered, the plan is put into operation. Once a change has begun, initial excitement can dissipate in the face of everyday problems. Managers can maintain the momentum for change by providing resources, developing new competencies and skills, reinforcing new behaviors, and building a support system for those initiating the change.
8. **Follow the plan and evaluate it.** During this step, managers must compare the actual results to the goals established. It is important to determine whether the goals were met; a complete follow up and evaluation of the results aids this determination. Change should produce positive results and not be undertaken for its own sake.

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Keep in mind that a comprehensive model of planned change includes a set of activities that managers must engage in to manage the change process effectively. They must recognize the need for change, motivate change, create a vision, develop political support, manage the transition, and sustain momentum during the change.

**Check Your Progress**

4. What are the most pressing priorities in the science, research and education policy regimes?
5. What does the comprehensive model of planned change include?

## **11.6 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS**

1. Technology is helping teachers to expand beyond linear, text-based learning and to engage students who learn best in other ways. Its role in schools has evolved from a contained “computer class” into a versatile learning tool that could change how we demonstrate concepts, assign projects and assess progress.
2. Epistemic games put students in roles like city planner, journalist, or engineer and ask them to solve real-world problems. It can provide opportunity to how immersing students in the adult world through commercial game-like simulations can help students learn important concepts.
3. Science and technology are key drivers to development, because technological and scientific revolutions underpin economic advances, improvements in health systems, education and infrastructure.
4. National policies for encouraging knowledge generation, knowledge acquisition, knowledge diffusion, and the exploitation of knowledge have become the most pressing priorities in the science, research and education policy regimes.
5. A comprehensive model of planned change includes a set of activities that managers must engage in to manage the change process effectively. They must recognize the need for change, motivate change, create a vision, develop political support, manage the transition, and sustain momentum during the change.

## **11.7 SUMMARY**

- In 2014, an analysis of United Nations data by the journal *Science* concluded that a halt to population growth in this century was unlikely and projected

that between 9.6bn and 12.3bn people would be living on the planet by 2100.

- Population growth is uneven. Many developed countries, for example, have seen their fertility rate fall below the replacement rate of 2.1 children per woman. Some, like Bulgaria, have seen their population fall from 9m in 1990 to about 7.3m today, says Wolfgang Lutz, founding director of the Wittgenstein Centre for Demography and Global Human Capital.
- At the other end of the scale is Nigeria, where, he says, average birth rates are 5.5 to 6 children per woman. According to the United Nations, the country's population could surpass that of the US by 2050 and, if unchecked, the country could rival China in population size by the end of the century.
- The developing countries had set goals relating to education including the achievement of universal primary education, the eradication of illiteracy, and the provision of secondary and tertiary education to meet manpower needs.
- Population's effects on education and the labor force will influence the opportunities available for the current generation of young people, the largest in history.
- The demographic transition—the combination of falling mortality rates followed by falling fertility rates—provides countries with a growing number of youth who can be educated and productively employed.
- Developments in science and technology are fundamentally altering the way people live, connect, communicate and transact, with profound effects on economic development. To promote tech advance, developing countries should invest in quality education for youth, and continuous skills training for workers and managers.
- Service and technology are the differentiators between countries that are able to tackle poverty effectively by growing and developing their economies, and those that are not.
- The extent to which developing economies emerge as economic powerhouses depends on their ability to grasp and apply insights from science and technology and use them creatively.
- To promote technological advances, developing countries should invest in quality education for youth, continuous skills training for workers and managers, and should ensure that knowledge is shared as widely as possible across society.
- Research by the World Economic Forum estimates that 65% of children entering primary school will find themselves in occupations that today do not exist. By 2020 it's estimated there will be 1.5 million new digitized jobs across the globe.

## NOTES

## NOTES

- Technology is helping teachers to expand beyond linear, text-based learning and to engage students who learn best in other ways. Its role in schools has evolved from a contained “computer class” into a versatile learning tool that could change how we demonstrate concepts, assign projects and assess progress.
- Every change should have a planned way. Planned change may help the person/people to adapt with the change environment, planned change is pre-determined. It is decided in advance what is to be done in future.
- Recognition of the need for change may occur at the top management level or in peripheral parts of the organization. The change may be due to either internal or external forces.
- The change agent is the person who takes leadership responsibility to implement planned change. The change agent must be alert to things that need revamping, open to good ideas, and supportive of the implementation of those ideas into actual practice.

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## 11.8 KEY WORDS

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- **Nanotechnology:** It is manipulation of matter on an atomic, molecular, and supramolecular scale. The earliest, widespread description of nanotechnology referred to the particular technological goal of precisely manipulating atoms and molecules for fabrication of macroscale products, also now referred to as molecular nanotechnology.
- **Epistemic games:** These are computer games that are essentially about learning to think in innovative ways.

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## 11.9 SELF ASSESSMENT QUESTIONS AND EXERCISES

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### Short Answer Questions

1. State the reasons for a higher level of education in women to be associated with lower fertility.
2. What are the implications of population's effects on education and the labour force?
3. Write a short note on global learning.
4. How do e-books bring about innovation in education?

## Long Answer Questions

Changes in Education

1. Describe the need for changes in population growth and education.
2. 'Knowledge is now regarded as a national economic asset and the basis of national competitive advantage.' Comment.
3. Analyse the importance of planned change and describe its steps.
4. 'Science and technology are key drivers to development, because technological and scientific revolutions underpin economic advances, improvements in health systems, education and infrastructure.' Discuss the statement.

## NOTES

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**BLOCK - IV**  
**APPROACHES TO CHANGE, EDUCATIONAL**  
**COMMUNICATION AND TOTAL QUALITY**  
**MANAGEMENT**

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**UNIT 12 APPROACHES TO CHANGE**

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**Structure**

- 12.0 Introduction
- 12.1 Objectives
- 12.2 Need Oriented, People Oriented and Task Oriented
- 12.3 The Stages of Change Process: Awareness, Interest, Conviction, Evaluation, Trial, Acceptance and Adoption (Rogers, Ryan and Gross)
  - 12.3.1 Process for Diffusion of Innovation
- 12.4 Answers to Check Your Progress Questions
- 12.5 Summary
- 12.6 Key Words
- 12.7 Self Assessment Questions and Exercises
- 12.8 Further Readings

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**12.0 INTRODUCTION**

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Change management is a collective term for all approaches to prepare, support and help individuals, teams, and organizations in making organizational change.

Diffusion of innovations is a theory propounded by Everett Rogers that seeks to explain how, why, and at what rate new ideas and technology spread. Rogers argues that diffusion is the process by which an innovation is communicated over time among the participants in a social system. The management skills that support a people oriented approach to team building and high-productivity require precise management.

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**12.1 OBJECTIVES**

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After going through this unit, you will be able to:

- Analyse the different approaches to change
- Differentiate between people oriented and task oriented approaches
- Explain the various stages of change process

## 12.2 NEED ORIENTED, PEOPLE ORIENTED AND TASK ORIENTED

Change management is the term that is used to refer to the change or transitioning people, groups, companies and projects from one state to another. When this term is applied to businesses and projects, it may refer to a process of transitioning the scope of the project in such a way that it can meet changing requirements and objectives. What happens is that after a certain point in time some changes may need to be introduced as far as functioning, operations, marketing, finance or the other aspects of a business are concerned so as to improve its chances of reaching its goals. Change management involves the application of structured methods and a pre-planned framework so as to steer business from its current state to a desired state.

The main benefit or advantage of the application of change management is that it helps to increase the chances of a business staying on its budget or schedule that in turn leads to higher ROI and realization of benefits. Amidst the high competition and fast paced world, it is important for every organization to move ahead by constantly bringing about useful and structured changes and adapting to new technology and methodologies to meet customer demand.

There are several management styles that can be used in a variety of situations. Understanding management styles can help us become better managers or prepare us to take on the role of manager someday. In addition, understanding your manager's style can be beneficial to know—as it can help you relate to him or her better.

Management style ties in very closely with communication style. There is not necessarily one management style that is better than another; they are simply different and might be used in a variety of situations.

### People oriented approaches

The management skills that support a people oriented approach to team building and high-productivity require precise management. Organizations that have failed over the years are usually over managed and under fed. Too much of the wrong management and too little of the right management skills delivers poor results.

Poor leadership reduces the morale of the employees, increases dissatisfaction among them and impacts the productivity and efficiency of the organization.

### Leading and managing people

Leadership and management are different facets. Leaders play a direct and active role in their employees and in turn focus their employees in achieving the organizational goals. The managers, on the other hand, have a passive approach in helping the organization reach its goals.

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The leaders are self-driven and do not depend on title or authority conferred on them to deliver results; basically the difference is in the formal or informal authority that they hold. The managers, on the other hand, need power and position to produce results. The people work enthusiastically for the leaders. The leaders are very good on their own and can manage the affairs of the organization. The managers become tense and nervous, if they have to work on their own, without support of people.

Leadership is focused on coping with change, whereas management is focused on complexity.

Leaders have a vision for the future, communicate them to the people who work with them, get their team working on the vision, help in getting over obstacles and develop the skills required to reach the vision. Effective leaders believe in building last relationships with their team members and aim to maintain and expand their relationship network. They invest (don't spend) time in cultivating and developing the relationship with people. This is investment for the future. By helping their team to achieve their personal goals, the leaders strengthen the bond with their team. They focus on the positive traits and ignore the negative aspects of the team members.

To build relationships takes time, which the leaders understand well and wait patiently. They handle each and every member as separate individuals and give them the respect and place to perform their roles. Leader focus on drawing out the hidden talent in their team members and help them in becoming better people, who feel a sense of pride in what they are doing. When the team members look up to the leader for guidance, he's ready to help him in overcoming his problem and difficulties. Leaders have a high level of energy which is required for motivating and guiding people.

Leadership qualities include initiative, ability and desire to lead, integrity, self-confidence, ability to reason, knowledge of the industry, organization. Add charisma, creativity and flexibility to these and a good leader is born. Human and conceptual skills are key skills required to be a leader.

### Task Oriented Style

When we look at the styles of management, we see that most styles fall into one of two categories: a task-oriented management style or a people-centered style.

A manager with a task-oriented style will focus on the technical or task aspects of the job. The concern for this manager is that employees know what is expected of them and have the tools needed to do their job.

A people-oriented style is more concerned with the relationships in the workplace. The manager emphasizes the interpersonal relations, as opposed to the task. The manager is most concerned about the welfare of the employee and tends to be friendly and trusting.



**Check Your Progress**

1. Define change management.
2. State the main benefit of the application of change management.
3. What does a manager with the task-oriented style focus on?

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### **12.3 THE STAGES OF CHANGE PROCESS: AWARENESS, INTEREST, CONVICTION, EVALUATION, TRIAL, ACCEPTANCE AND ADOPTION (ROGERS, RYAN AND GROSS)**

The diffusion of innovation is the process by which new products are adopted or rejected by their intended audiences. It allows designers and marketers to examine why it is that some inferior products are successful when some superior products are not. The idea of diffusion is not new; in fact it was originally examined by Gabriel Tarde, a French sociologist, in the 19th century. However, it was not until the 1920s and 1930s that the phenomenon began to be investigated in depth by researchers.

One of the most significant early studies was conducted by Ryan and Gross in 1943. This solidified previous research into the adoption of seeds in agricultural communities and provided a strong basis for diffusion research in the future.

In his book, *Diffusion of Innovations* published in 1962, Everett Rogers, a sociology professor, provides a full framework for diffusion of innovation based on over 500 studies into the phenomenon in many different disciplines. Rogers' text, to this day, provides the formal understanding on which modern research into the diffusion of innovation is based.

It occurs through a series of communication channels over a period of time among the members of a similar social system. Ryan and Gross first identified adoption as process in 1943. Rogers' five stages (steps): awareness, interest, evaluation, trial, and adoption are integral to this theory.

#### **12.3.1 Process for Diffusion of Innovation**

Rogers' draws on Ryan and Gross's work to deliver a five stage process for the diffusion of innovation.

- 1. Knowledge (awareness and interest):** The first step in the diffusion of innovation is knowledge. This is the point at which the would-be adopter is first exposed to the innovation itself. They do not have enough information to make a decision to purchase on and have not yet been sufficiently inspired to find out more. At this stage marketer will be looking to increase awareness

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of the product and provide enough education that the prospective adopter moves to the 2nd stage.

- 2. Persuasion (conviction):** Persuasion is the point at which the prospective adopter is open to the idea of purchase. They are actively seeking information which will inform their eventual decision. This is the point at which marketers will be seeking to convey the benefits of the product in detail. There will be a conscious effort to sell the product to someone at this stage of the diffusion of innovation.
- 3. Decision (evaluation):** Eventually the would-be adopter must make a decision. They will weigh up the pros and cons of adoption and either accept the innovation or reject it. It is worth noting that this is the most opaque part of the process. Rogers cites this as the most difficult phase on which to acquire intelligence. This is, at least in part, due to the fact that people do not make rational decisions in many instances. They make a decision based on their underlying perceptions and feelings and following the decision they attempt to rationalize that decision. Thus, obtaining an understanding of the decision making process is challenging – the reasons given following a decision are not likely to be representative of the actual reasons that a decision was made.
- 4. Implementation (trial):** Once a decision to adopt a product has been made the product will, in most cases, be used by the purchaser. This stage is when the adopter makes a decision as to whether or not the product is actually useful to them. They may also seek out further information to either support the use of the product or to better understand the product in context. This phase is interesting because it suggests that designers and marketers alike need to consider the ownership process in detail. How can a user obtain useful information in the post-sale environment? The quality of the implementation experience is going to be determined, to a lesser or greater extent, by the ease of access to information and the quality of that information.
- 5. Confirmation (acceptance):** This is the point at which the user evaluates their decision and decides whether they will keep using the product or abandon use of the product. This phase can only be ended by abandonment of a product otherwise it is continual. (For example, you may buy a new car today – you are highly likely to keep using the car for a number of years – eventually, however, you will probably sell the car and buy a new one). This phase will normally involve a personal examination of the product and also a social one (the user will seek confirmation from their peers, colleagues, friends, etc.)
- 6. Adoption:** It is worth noting that adoption is the process by which a user begins and continues to use a product; diffusion is a measure of the rate of adoption. It considers the relationship not just between any given user and a product but the relationship between all users, each other and the product.

Rogers' diffusion studies offered some interesting advice for driving the rate of diffusion including:

Examining social networks (it's worth noting that Rogers wasn't talking about Facebook or LinkedIn here though the idea applies in a similar way in digital networks but rather "real life" social networks) and finding highly respected individuals and working with them to create desire for an innovation. Determining a representative group of desired users and "injecting" the innovation into that group to gain positive feedback, case studies, etc. to help make the decision making process easier for other would-be early adopters

Diffusion recognizes that adoption is not an isolated process but rather one which is influenced heavily by other members of the adoption cycle.

- **Failure of Diffusion:** Failure for a product to diffuse within a market does not always mean that there is a flaw in the product. It may mean that the product has failed due to competition from other innovations or simply because of a lack of awareness or knowledge. If the message isn't understood within a social group – the wrong message may spread quickly and impede the adoption or prevent it altogether.
- **The Take Away:** The diffusion of adoption is important to marketers and designers because it considers adoption in context of a larger social system. The aim is not just to support an individual through the adoption process but rather a community through that process. Understanding each step in the diffusion of adoption allows you to creatively examine how you might influence people at each stage – including the final stage of confirmation where a user may begin to influence others in their purchasing decisions too.

### Check Your Progress

4. What is the process of diffusion of innovation?
5. Name the five steps or stages of Rogers.

## 12.4 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. Change management is the term that is used to refer to the change or transitioning people, groups, companies and projects from one state to another.
2. The main benefit or advantage of the application of change management is that it helps to increase the chances of a business staying on its budget or schedule that in turn leads to higher ROI and realization of benefits.

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3. A manager with a task-oriented style will focus on the technical or task aspects of the job. The concern for this manager is that employees know what is expected of them and have the tools needed to do their job.
4. The diffusion of innovation is the process by which new products are adopted or rejected by their intended audiences. It allows designers and marketers to examine why it is that some inferior products are successful when some superior products are not.
5. Rogers' five stages (steps) are: awareness, interest, evaluation, trial, and adoption.

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## 12.5 SUMMARY

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- Change management is the term that is used to refer to the change or transitioning people, groups, companies and projects from one state to another. When this term is applied to businesses and projects, it may refer to a process of transitioning the scope of the project in such a way that it can meet changing requirements and objectives.
- The main benefit or advantage of the application of change management is that it helps to increase the chances of a business staying on its budget or schedule that in turn leads to higher ROI and realization of benefits.
- Amidst the high competition and fast paced world, it is important for every organization to move ahead by constantly bringing about useful and structured changes and adapting to new technology and methodologies to meet customer demand.
- Management style ties in very closely with communication style. There is not necessarily one management style that is better than another; they are simply different and might be used in a variety of situations.
- Leadership and management are different facets. Leaders play a direct and active role in their employees and in turn focus their employees in achieving the organizational goals. The managers, on the other hand, have a passive approach in helping the organization reach its goals.
- The leaders are self-driven and do not depend on title or authority conferred on them to deliver results; basically the difference is in the formal or informal authority that they hold. The managers, on the other hand, need power and position to produce results.
- To build relationships takes time, which the leaders understand well and wait patiently. They handle each and every member as separate individuals and give them the respect and place to perform their roles.
- A manager with a task-oriented style will focus on the technical or task aspects of the job. The concern for this manager is that employees know what is expected of them and have the tools needed to do their job.

- The diffusion of innovation is the process by which new products are adopted or rejected by their intended audiences. It allows designers and marketers to examine why it is that some inferior products are successful when some superior products are not. The idea of diffusion is not new; in fact it was originally examined by Gabriel Tarde, a French sociologist, in the 19th century.
- In his book, *Diffusion of Innovations* published in 1962, Everett Rogers, a sociology professor, provides a full framework for diffusion of innovation based on over 500 studies into the phenomenon in many different disciplines.
- Ryan and Gross first identified adoption as process in 1943. Rogers' five stages (steps): awareness, interest, evaluation, trial, and adoption are integral to this theory.

## NOTES

### 12.6 KEY TERMS

- **Diffusion of innovations:** It is a theory that seeks to explain how, why, and at what rate new ideas and technology spread. Everett Rogers, a professor of communication studies, popularized the theory in his book *Diffusion of Innovations*.
- **Change management:** It is a collective term for all approaches to prepare, support and help individuals, teams, and organizations in making organizational change.

### 12.7 SELF ASSESSMENT QUESTIONS AND EXERCISES

#### Short Answer Questions

1. Write a short note on people oriented approaches of change.
2. State the subject of the book *Diffusion of Innovations*.

#### Long Answer Questions

1. Differentiate between people oriented and task oriented approaches of change.
2. Analyse the process of diffusion of innovation.

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## UNIT 13 EDUCATION COMMUNICATIONS

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#### Structure

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### 13.0 INTRODUCTION

Communication is an integral part of human interaction. Similarly, teacher-student communication plays a huge role in classroom interaction. The Kothari Commission (1964) quoted that ‘the destiny of India is being shaped in her classrooms.’ Since the classroom is a place where children spend most of their formative years, it is the responsibility of the teachers to give proper guidance and direction to the students.

This is only possible through communication where communication on skills is the most essential for career growth as well as to gain social reputation. A good communicator can spellbound his audience like a magician by his magic tricks. The enjoyment of a good communication is no less than the enjoyment in having a delicious food that is served nicely with due love and care. In this unit, we will learn about the concept of communication in detail and its relevance in the teaching-learning process.

### 13.1 OBJECTIVES

After going through this unit, you will be able to:

- Analyse the different modes of communication
- Describe the different barriers to effective communication

- Explain the various principles of effective communication
- Describe the techniques of effective coordination

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### 13.2 TYPES OF COMMUNICATION

There is nothing in this world that would be achievable without the process of communication. There are different modes of communication, depending on the environment or situation and also on the number of people involved. Let us discuss all these one by one:

1. **Mode of communication:** A person can communicate with the help of both language and expression. If there is use of language it is called verbal communication. However, communication that takes place without language, with the help of expression only is known as non-verbal communication.

- (i) **Verbal communication:** Language is an important factor and base of any verbal communication. Communication which makes use of oral or written form of language is termed as verbal communication. We have different types of languages like regional, national and international, for communication. In a classroom, the teacher mostly communicates verbally and writes words or sentence on the blackboard. Verbal communication with students is through questioning, lecturing, guiding, explaining or demonstrating. In this way, we can conclude that verbal communication combines both written and oral forms, which results in effective communication. For effective verbal communication, the following things should be kept in mind:

- (a) The language must be clear and proper.
- (b) It is important for the message to be short and to the point, but absolute in every way.
- (c) The communicator must have a good vocabulary.
- (d) The message must be appealing not only to the mind but also to the spirit of the listener.

#### ***Advantages of verbal communication***

- (a) Verbal communication provides immediate feedback, which helps the communicator in knowing the receiver's response. It also helps him to change his message in such a way that it becomes easy for the receiver.
- (b) The sender can provide easy clarification of things, which have not been understood by the receiver.
- (c) Verbal messages can be transmitted in a very less time, as compared to any other form of communication.
- (d) Vocal directions and instructions are successful in taking control of the state of affairs to make sure that the objectives are fulfilled.



- (e) Oral communication is a convenient and reliable media for communicating in committees, conferences and meetings, where a number of people come together for discussion.

*Disadvantages of verbal communication*

- (a) Oral communication can be of very high-quality and useful if the conversationalist is a fine speaker.
  - (b) The verbal message may reach the receiver in a distorted form. This unclear message could be the reason of his misapprehension and misconception of it.
  - (c) Due to lack of proper recalling, people may find it problematic to remember the key ideas of realistic facts which are conveyed orally.
  - (d) Meetings can be costly in terms of time and money.
- (ii) **Non-verbal communication:** There are many ways used by people to communicate, other than verbal communication. Messages that are conveyed through body language, facial expression or code language, without taking help of verbal or written language are known as non-verbal communication. In some cases (with people who are not able to speak and listen (dumb and deaf), mentally challenged persons or who do not know the language of the sender) use of non-verbal communication becomes a compulsion. This type of communication very often used along with verbal communication to make it more effective. Non-verbal communication can be of following types:
- (a) **Body language:** Feelings, thoughts or ideas can be conveyed with the help of body language. Various postures and movements of body can convey various messages. Different people in different profession makes use of body language and convey the feelings like happiness, fear, anxieties, jealous, love and sympathy. A dancer while performing can convey feelings with the help of various postures. Similarly, a teacher can show love for the students, lawyers can very well use various postures to evoke the answers from their clients and so on.
  - (b) **Facial expression:** It is rightly said that face is a mirror for one's emotions. Intentions of a person can be very easily studied by his facial expressions. When a person is angry or happy, it can be clearly observed through the facial expression. These expressions are similar and universal all around the world. For non-verbal communication, these are most suitable and effective.
  - (c) **Language of eye:** Language of eyes can be declared as another important form of non-verbal communication. It is very simple and easy to understand the language of eyes. Widening or

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narrowing of pupils and movement of eyelids convey messages to the receiver.

- (d) **Symbolic code language:** In news bulletin for the deaf and dumb on television, special code language is used. This is easily understood by them. Even in our day-to-day activities, we use various symbols or codes to convey messages. Detectives use code language to pass on secret information.

2. **On the basis of number of people:** Communication can take place between two or more individuals. Hence, based on the number of individuals involved, we can divide communication into the following:

- (i) **One-to-one communication:** It occurs between two individuals. A friend talking to other, a teacher talking to a student or talks between a father and a son are some examples of one to one communication. It can be both formal and informal type.
- (ii) **Small-group communication:** This type of communication occurs among more than two individuals. Communication between families, neighbours and friends are examples of this type of communication.
- (iii) **Public communication:** This type of communication is mostly formal and involves a number of people. Morning assemblies in schools or preaching at religious places are examples of this type of communication.
- (iv) **Organizational communication:** This type of communication occurs within the boundaries of an organization or institution, for instance, communication in hospital, army, or any educational institute.
- (v) **Mass communication:** This type of communication is broad and it involves ways to communicate with masses. It is carried out through different types of mechanical means, appliances and mass media such as television, radio, books, videos, etc. Individuals living in any part of the world can be involved in mass communication.

3. **Communication on the basis of environment:** Communication can take place in a variety of situations or environment. Depending upon the environment, we may divide communication into two types:

- (i) **Formal communication:** When communication takes place in a well-set environment with proper rules and regulations to achieve predetermined objectives, it is called formal communication. In events that require public speaking, mass communication, official communication, etc., formal communication is used. Here, language is used more precisely and there is a higher focus on grammar.
- (ii) **Informal communication:** When communication is not pre-planned and it is free of rules and regulations with minimum formalities, it is known as informal communication. In this type of communication,

focus on the structure of language and grammar is very less. There is also lesser focus on non-verbal behaviour like attire, way of walking, stance, etc. Any type of communication between a group of friends outside the school or college can be taken as an example of informal communication.

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### 4. **Communication on the basis of its direction of flow in an organization:**

On the basis of this criteria, there are the following two types of communication:

- (i) **Upward communication:** In this type of communication, message is initiated by subordinates and is received by superiors. In an organization, people in the top management use this type of communication to be aware of the needs, requirements, problems and complaints of employees. It also helps them in sound decision-making, based on the information received from employees. This type of communication provides an opportunity to employees to communicate their issues to the top management. Upward communication takes place in meetings, counselling, correspondence, reports etc.
- (ii) **Downward communication:** This type of communication is initiated by people at higher positions in an organization. For the success of an organization, effective downward communication is very important. The communication of management with employees is necessary for organizing, coordinating and directing the operations of an organization. Downward communication flows through speeches, instructions, meetings, telephones, letters, pamphlets, etc.

Every type of communication is unique and it makes everyone special and unique. Various types of communication enable us to enhance our communication skills, verbal or non-verbal.

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## 13.3 BARRIERS TO EFFECTIVE COMMUNICATION

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Barriers to communication have made the process complex, difficult and frustrating. Communication is effective if it flows freely through an appropriate medium between the sender and the receiver. Free flow means uninterrupted transmission of information or message, correct comprehension of the message by the receiver, and relevant and appropriate feedback from him. Problems with any one of the components of communication can become a barrier to communication. Barriers to communications range from simple distracting noises to complex psychological factors. These barriers may cause simple communication gaps or total failure of communication. Some major barriers of communication are as follows:

- (i) **Lack of common language:** Language uses oral or written symbols to transmit messages from one person to another. If the sender and the receiver

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of a message do not belong to the same language group, then this deficiency will pose as an obstacle to the process of communication. The sender and the receiver will not be able to communicate with each other if they do not know a common language. Communication will not be possible between a boy who can only speak in English and another boy who can only speak in French.

- (ii) **Semantic barrier:** It is possible for one word to have many different meanings. It is not necessary for the meaning that is ascribed to a word by the communicator to be the same as that ascribed by the receiver to the same word. One word can have different meaning for different people at different points of time. Hence, it is possible that the sender and the receiver, most of the time, ascribe different meanings to the same word. Occasionally, they might possibly make use of dissimilar words to communicate the same meaning.
- (iii) **Poor listening:** Poor listening skills are one of the chief problems when communicating. If people are attentive in listening to the message, a lot of misunderstanding can be reduced. A large number of people do not pay value added attention to the message because of a variety of disturbances, feelings, enthusiasm, absence of interest, unwarranted assertiveness and roving concentration. This usually leads to misunderstanding and conflict.
- (iv) **Poor vocabulary:** Low level of vocabulary is an obstacle to the communicator in conveying the message in its exact form. It makes the message more complicated and reduces its effectiveness. If the recipient cannot figure out the words, he will not be able to comprehend the sentences.
- (v) **Noise:** A lot of noise also affects communication. Noise is usually, but not always, in the form of sounds. It can be visual, audio-visual, written, physical or psychological. Noise, in a physical form denotes the loud noise made by machines or speaker or other such things. Noise occurs when a student arrives late for a class and his arrival becomes a source of distraction for others in that class. Bad handwriting and incorrect typing leads to written noise. Psychological noise refers to mental trouble and turmoil, inattentiveness and indifference.
- (vi) **Time:** Time factor may also hinder the process of communication. For example, a phone call at midnight may irritate the receiver and he may not listen to the communicator. Thus, his communication becomes ineffective. The best of communication may prove to be ineffective if it does not take place at the right time.
- (vii) **Distance:** The distance between one who communicates the message and one who receives it may be a strong obstacle to communication. This can be due to absence of technical equipment such as telephone, telefax, etc.,

for linking them. An unfavourable system of seating in the classroom can give rise to a type of communication gap, which can be eradicated by making adjustments in the distance.

- (viii) **Attitudes and values:** People interpret message on the basis of their attitudes and values. If a message is adverse for the receiver, it will not be able to persuade him easily. Thus, personal attitudes, values and opinions are transformed into obstacles, in the process of effective communication. Negative attitude of a teacher or a student may affect communication in the classroom.
- (ix) **Emotional barrier:** Emotions refer to the way we feel about the world around us. Constructive emotions like happiness, adoration or liking make the flow of communication smooth. However, negative emotions like fear, distrust, anger, anxiety and hatred, work as powerful hindrances to efficient means of communicating.
- (x) **Different perceptions:** Different perceptions of different people have their own limitations. According to Francis Bacon, 'man prefers to believe what he prefers to be true'. Our reality is created by us with the help of selective perception. This conceals specific things that are present and reveals other more specific things, in addition to those which are already present. Every person's experience and his way of interpreting things are never the same since every person has perception his own. A communication barrier emerges, when the same object or concept is interpreted differently by two or more people.
- (xi) **Wrong channel:** At times, simple rules for selection of a channel cause more problems than they solve. In selection of a channel, the sender needs to be sensitive to things like complexity of message, consequences of a misunderstanding, knowledge, skills and abilities of the receiver and timely response on receiving the message.
- (xii) **Poor retention:** There is a limit to the functioning of human memory. Everything that is said cannot be always retained. The retention is even lower if the receiver is not interested or attentive. This causes a breakdown in the process of communication.
- (xiii) **Closed mindedness:** It is not at all easy to communicate with a person with intense prejudice. This type of a person is not ready to receive any message on a subject about which he believes that he knows everything. His mind is closed to new ideas, facts and proposals. Hence, he completely rejects the information and recommendations of the communicator, even before he knows the real facts.
- (xiv) **Physical distractions:** Physical distractions are physical things that interrupt communication. For example, uncomfortable seating arrangement makes it difficult for a learner to concentrate on the communication.

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(xv) **Lack of proper feedback:** Without feedback, communication is one-way. Feedback in terms of proper motivation, incentives, zeal and enthusiasm is needed on the part of the sender and the receiver. If, in a classroom the teacher is not getting feedback of his teaching, he may never achieve the actual goal of teaching.

(xvi) **Too much information:** Excess of information also acts as communication barrier. A lot of information faces many drawbacks and different respondents react differently to filter the information and receive only what they need. Hence for effective communication, the amount of information can be reduced.

### Check Your Progress

1. What things should be kept in mind for effective verbal communication?
2. What do you mean by wrong channel in the process of communication?

## 13.4 METHODS TO OVERCOME BARRIERS

Effective communication is the essential requirement for having an effective interaction or getting maximum advantages from the process. In this way, the degree of its effectiveness can be judged from the amount of advantages drawn through it.

Now the question arises what should be done for realizing the utmost effectiveness in communication. The answer is very well linked with our attempts in improving each component or element involved in the process of communication. Let us think over the ways and means to bring efficiency in the nature and working of these components.

Following aspects should be given attention in order to overcome barriers in communication in order to effect an effective communication:

- (i) As far as possible, clear, simple and comprehensible language should be used.
- (ii) A message should be so written that the message–receiver can understand it well.
- (iii) If there is a need to lay stress on a certain point, then this can be repeated, but to a certain extent.
- (iv) More than one channel can be used simultaneously or one after another.
- (v) There should be provision for feedback, only then it can be ascertained whether the message has been transmitted in the real sense.
- (vi) The elements delaying the process of communication should be paid attention to.

(vii) The habit of listening should be cultivated. For it, the following points should be looked into:

- (a) It is wrong to guess the message in the envelop by looking at the message-carrier or its envelope. The habit to listen to the message or message-carrier should be cultivated.
- (b) More attention should be paid to the facts mentioned in the message as compared to the views on it.
- (c) If some point has not been cleared in the class, then the problem should be presented at the end of the class instead of asking it immediately, so that the teacher can be heard without any interference from beginning to end.
- (d) Listen carefully. Don't give a false impression of listening to the speaker.
- (e) While listening, do not pay attention to other visuals or noise etc.
- (f) Whatever you are listening, listen it completely and attentively.
- (g) When you are asked something, listen properly and then answer. It is not good to guess.
- (h) Attention should be paid to the speaker's facial expressions, voice, rate of speaking etc.
- (i) Cultivate the habit of listening actively.
- (j) Keep in mind, a good listener is able to transmit well.
- (k) The message of the speaker should be heard attentively.
- (l) If somebody is speaking loudly in the proximity and you are facing difficulty in listening, tell him to shut up.
- (m) Never think that what the speaker is telling is already known to you. Even if you know it, listen attentively; it may be possible that you may get some new message in it which you did not know before.
- (n) Listen to the speaker attentively, think over it and try to find out its inner, intended and deep senses.
- (o) If you are asked a question, listen to it attentively and then determine what answer you will like to give. Your answer should be given in simple and correct language.
- (p) When you listen, listen mindfully, actively and keep noting the important points in brief.

(viii) Read the written message well. If need be, read it again. Then ask yourself the following questions:

- (a) What is being said in the message?
- (b) What is the purpose of the message?
- (c) What has been said at different points in the message?

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## 13.5 PRINCIPLES OF EFFECTIVE COMMUNICATION

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Effective communication calls for coordinated effort. Good communication like any other high-quality output is very much the result of hard work. Good communication does not occur accidentally. It calls for proper planning, understanding of human behaviour, choice of physical facilities and mechanical or electronic devices and the organizational context. It is necessary to understand the essentials of good communication and work towards achieving them.

#### **Be Clear About the Purpose**

The first essential for effective communication is to be clear about the purpose of communication. Every communication has an objective. It is a means to an end. One should be clear about what one wants to achieve through the process of communication. The objective of any communication is not just to receive or convey a message. The communicator has to ensure that the message reaches the receiver. Any message that is not backed by a clear and well-developed idea becomes purposeless communication entailing wastage of time and effort. The urge to communicate should be preceded by clarity of purpose. Ask yourself what you want to achieve or accomplish by the communication: is it to impart information, express concern, enlist support, express displeasure or imbibe skills? The objective may not be one but a combination of these purposes.

#### **Understand the Process of Communication**

Another essential for effective communication is the need to understand how the process of communication works, i.e., the principles and tools of communication. To appreciate the various steps involved in communication in terms of encoding, decoding, transmission, comprehension and feedback, it is necessary to have a good understanding of the mode, channels, types, instruments, methods and barriers relating to communication and the factors affecting it. Good communicators, like good artists, use their tools effectively.

#### **Be Clear About Your Target Audience**

The intended message cannot bring about the desired result unless it reaches the right person or group of persons. The message should address the target group. For communication to be effective, it should be properly focused. Be it a letter, a speech, a film or a presentation, make sure the receiver is connected with or is relevant to the purpose of communication. Quite often, communication loses its effectiveness because it reaches an unintended audience. Good ideas and messages reaching the wrong persons will end up as an exercise in futility. The next essential step is to develop good communication skills. Effective communication presupposes the ability to communicate under varied circumstances. The skills of communication



that need mastering are reading, writing, listening, speaking, body language and presentation. One must be clear about the merits and demerits of various types of communication and which of them is to be used under a given set of circumstances. Each of them is a different skill and requires a conscious effort to develop it.

### **Be Well Informed**

Communication quite often relates to providing information. The initiator of the communication should, therefore, be well informed about the message he wants to pass on. The initiator should also have the right perspective about the message and be in a position to appreciate the context in which the message is being communicated. Limited information or limited understanding by the sender naturally limits the sender's ability to communicate. This happens in an organizational context when the sender of the message is doing so based on incomplete information. People receiving the message often have their expectations about it and the person giving the message should take cognizance of it.

### **Plan Your Communication**

In order to be effective, any communication is to be well planned. The message to be conveyed, the words to be chosen, the action to be sought, the feedback to be obtained, are all the areas that need to be carefully considered. These aspects will have to be evolved properly before deciding on the right choices. While some routine messages can be communicated without advance planning, all important communication in organizations/ businesses need organized effort. Inadequate planning can, and often does, result in ineffective communication. Good planning should take note of the target audience and pay attention to their attitudes and expectations, as well as timings.

### **Be Positive in Approach**

Yet another requirement for effective communication is a positive approach and the right mental attitude. The communicator should have faith in the process. He should develop confidence through learning and practice. He should take responsibility for making the communication work. The communicator should learn to overcome barriers and look for positive signals. She should not bring in her own bias. He/she should recognize the power of communication and strive to achieve results through the process. She should not underestimate the reader or listener and develop the skill of dealing with every receiver of communication with respect and understanding. A positive approach begets a positive outcome and contributes to the success of the communication process.

### **Avoid Extreme Feelings**

Extreme and strong feelings are not conducive to effective communication. Anger, depression and frustration adversely impact the thought process and thereby distort what is intended to be conveyed or what needs to be conveyed. A disturbed mind

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brings out disturbed thoughts and thus distorts communication. While addressing important communications, and reacting to provocative remarks, it is essential to wait till the mind regains its balance and the severity of feelings subsides. It is absolutely essential to realize that quite often the process of communication is irreversible. A word spoken or a letter written in a fit of anger can do considerable damage. This is particularly true in work situations, market places, organizations and business. Restraint pays.

### **Be Sincere**

Effective communication demands a certain degree of honesty and sincerity on the part of the parties involved in the communication. It is necessary that the messages are given sincerely and truthfully. There should not be a deliberate attempt to mislead or manipulate the recipient of the message. If the receiver of the message loses faith in the communicator, the process of communication suffers in terms of credibility. Effective communication therefore presupposes sincerity and humility.

### **Communication Clue**

It is well recognized that magic words like, “Please”, “Thank You”, and “I am sorry” can do wonders in communication. Using them in our everyday written and spoken communication underlines sincerity.

### **Be Consistent**

Communication is mostly a regular process rather than a one-time affair. In personal dealings, in organizational settings and business places, communication takes place almost all the time. The parties involved in the communication quite often are the same. When communication takes place on a regular basis, it is necessary to be consistent. It is necessary not to contradict oneself. There may be scope for modification or correction, but not for contradiction. Further, when different methods of communication are used in conveying a particular message, contradictions have to be consciously avoided. The spoken message should be in tandem with the body language. Non-verbal communication should supplement oral messages.

### **Appreciate the Time Factor**

In any communication, especially in business communication, time is of prime importance. Speed and timeliness contribute significantly to the effectiveness of communication. In today’s world, the value of time is well recognized. Organizations and businesses set goals which have to be achieved within a given time frame. Tasks have to be completed before the allotted deadlines. All communications concerning such goals and tasks will have to appreciate the time factor. Quite often the message that is delayed is wasted. Therein lies the significance of the choice of the channel of communication. The channels selected should be such that the message is delivered well in time.

There is another dimension to the time factor in communication. The process of communication should take just the right time. Long speeches that stretch well beyond the allotted time, lengthy written communication and unusually long films and documents not only test the patience of the listener/reader/viewer, but also tend to lose their force and get diluted in the process. Communication should be in measured doses, since an overdose of even useful and relevant communication may be received without enthusiasm. The time the receiver of the communication allocates for the purpose has to be borne in mind to ensure effective communication. This factor is particularly relevant in today's context of communication overload.

### **Use Proper Modes and Channels**

The method or type of communication to be used will vary from situation to situation. Effectiveness of the communication will depend on the choice of methods and instruments. There are times when written communication cannot convey as forcefully as oral communication. There are occasions when a telephone call would be more appropriate than a letter. There may be messages which are important enough to be conveyed through fax rather than by regular mail. Similarly, some messages can go by ordinary mail, some by telex and some others by fax or even e-mail. Make the right choice and repeat the message, when essential. The choice of the wrong channel may delay or dilute the message and hamper its effectiveness.

### **Be Cost Conscious**

The process of communication quite often entails costs. There are direct and indirect costs involved in sending messages. These costs vary depending upon the method of communication and the means of transmission. Since communication in an organization is ongoing, such costs can add up to a substantial amount. The results achieved by the communicator should justify the costs incurred in the process. If not, there is no effectiveness in such communication. Organizations should, therefore, make conscious efforts to make their communication systems not only efficient, but also cost effective through proper evaluation of available options.

### **Obtain Feedback**

Feedback is another important component of the process of communication. The person communicating the message calls for feedback to reassure himself that the message has reached the target as envisaged.

Feedback provides valuable information relating to the time factor, quality of the message, understanding of the receiver and the action initiated. Such feedback helps in evaluating the efficacy and reliability of the types, methods and channels of communication used. Feedback helps in understanding the mistakes committed in encoding and decoding the message and losses in transmission. Mistakes, if any, can be dealt with by undertaking effective corrective measures.

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### Avoid Communication Overload

To be effective, communication should always be in measured doses. The communicator should take care not to overdo or overstretch the communication.

Communication is essentially a participative process, and if not within reasonable limits, the efficacy will suffer. Imagine receiving a 30-page newspaper every day, or sitting through a non-stop 4-hour speech by a single speaker, or participating in a technical workshop from morning till late in the evening. Whatever be the merit in terms of context, the response is more than likely to follow the principle of diminishing returns. Effective communicators learn to limit their communication in line with receptivity and avoid excesses.

In the foregoing paragraphs, we have made an attempt to list out the essentials for effective communication. Since communication is essentially a two-way process, both the giver and the receiver of the message will have to conform to well-defined principles and norms. The spirit of communication is as important as the modalities. When we talk about leadership qualities and other people-related dimensions in the organizational context, it is the role model type of communication that is being emphasized. Unless one practices what one preaches, words become hollow and communication loses its shine. Effective communication strives to preempt any misunderstanding and accomplish complete and clear understanding.

#### Check Your Progress

3. What is the first essential for effective communication?
4. How will communication prove effective?

## 13.6 COORDINATION

Coordination is a synchronization of group efforts to achieve a common objective.

According to E. F. L. Brech, 'Coordination is balancing and keeping together the team by ensuring suitable allocation of tasks to the various members and seeing that the tasks are performed with due harmony among the members themselves.'

According to Me Farland, 'Coordination is the process whereby an executive develops an orderly pattern of group efforts and secures unity of action in the pursuit of common purpose.' This definition views coordination as the task of integrating the individual needs with organizational goals through proper linking.

Coordination is the centre point of managerial tasks. For example, planning is ineffective if departmental plans are not properly integrated and coordinated and it is required in each managerial function.

Figure 13.1 shows that every function of management should be coordinated in order to achieve the objectives.

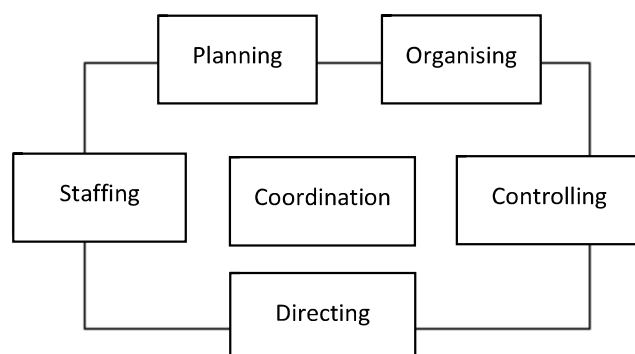


*Fig. 13.1 Functions of Management*

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### Characteristics of Coordination

Following are the characteristics of coordination:

- Coordination is not a distinct function. It represents the core of management.
- The purpose of coordination is to achieve the common objective.
- Coordination is a continuous and an ongoing process.
- Coordination does not arise spontaneously or by force. It is the result of concerted action.

## 13.7 IMPORTANCE OF COORDINATION IN EDUCATIONAL INSTITUTIONS

Coordination is a process to establish harmony among the different activities of an organization, so that the desired objectives can be achieved.

The process by which a manager integrates their activities is known as coordination. Coordination is an orderly arrangement of group efforts to maintain harmony among individual efforts towards the accomplishment of common goals of an organisation.

It is the force that integrates all functions of the management. Managers at each level are required to perform this function for smooth operations in the organisation. Thus, coordination synchronizes the efforts of different groups of persons from various units in an organisation.

In any organization, each employee has his own values and aspirations. Management tries to maintain a good bond between organisational and individual objectives. It utilizes their knowledge and experience of individuals for the achievement of organisational objectives. At the same time, it also tries to do justice to employees' objectives.

For example, the objective of employees is generally to get maximum remuneration whereas the objective of the organisation is to increase the production

and wealth. Managers coordinate both by motivating the employees to achieve higher remuneration by producing more, which ultimately helps in realizing the objectives of both sides.

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### Key Elements of Coordination

The main elements of coordination are:

(i) Integration, (ii) Balancing and (iii) Timing.

**(i) Integration:** Coordination integrates all diverse interests and efforts of all individuals to achieve common goals of an organisation.

**(ii) Balancing:** Coordination provides mutual support to various activities so that goals of different units are in line with one another.

**(iii) Timing:** Coordination adjusts the time schedules of different activities so that they can support one another to deliver the final result in time.

### Coordination – The Essence of Management

Coordination is not really a separate function of management but in fact it is the essence of management. It is like a thread of garland, flowers of which are different managerial functions. It should be performed right from the planning stage to the controlling stage. Absence of coordination weakens the effect of authority-responsibility relationships in the organisation.

Coordination activates each function of management and makes them effective and purposeful. It helps in achieving harmony among individual efforts for attaining organisational goals. It is present in all the activities of an organisation such as production, sales, finance, etc.

It synchronizes the working of different groups of persons. It helps in reducing time, cost and in increasing efficiency, morale of the employees. It establishes direct contact between the management and the employees.

### Thus, coordination

- (i) Helps in achieving organisational objectives with minimum of conflict.
- (ii) Provides the required quality, timing, amount and sequence of efforts.
- (iii) Brings harmony in efforts of different departments and individuals.

### Characteristics of coordination in an organization

#### (1) Coordination integrates group effort

The need for coordination is felt when group effort is needed for the accomplishment of an objective. In short, it can be said that coordination is related to group effort and not individual effort. The question of coordination does not arise, if the job is done by one person only.

## **(2) Coordination ensures unity of action**

The nature of coordination is of creating unity in action. It means during coordinating process an effort is made to create unity among the various activities of an organisation.

## **(3) Coordination is a continuous process**

It is not a job which can be performed once and for all, but its need is felt at every step. Many activities are performed in a business. Sometimes or the other, if any one of the activities goes on fluctuating either for more or less than required, the whole organisational balance is disrupted. Thus, a close watch has to be kept on all the activities to maintain the balance.

## **(4) Coordination is an all-pervasive function**

Pervasiveness refers to that truth which is applicable to all spheres (business and non-business organisations) and places uniformly. The nature of coordination is pervasive. Like making of time-table in an educational institution is an apt example of establishing coordination.

## **(5) Coordination is the responsibility of all managers**

Coordination is needed at all the three, i.e., top, middle and lower managerial levels. Different activities performed at all the levels are equally important. Thus it is the responsibility of all the managers that they make efforts to establish coordination. That is why, it could not be said that coordination is of more importance to any one particular managerial level or a manager.

## **(6) Coordination is a deliberate function**

Coordination is never established by itself but it is a deliberate effort. Only cooperation does not suffice but coordination is also needed. For example, a teacher aspires to teach effectively (this is cooperation) but the timetable is not prepared in the school (this is lack of coordination).

In this situation, classes cannot be arranged for. Here, the effort made by the teacher is meaningless, in the absence of coordination. On the other hand, in the absence of cooperation, coordination dissatisfies the employees. Thus, both are required at a given point of time.

From the above discussion, it can be concluded that coordination is not a separate function of management, but rather it's the essence of management. It is required at all the levels, all departments and in all managerial functions.

## **Importance of Coordination**

Let us discuss the importance of coordination.

### **1. Size of the organization**

The need of coordination arises when the organization grows in size. Growth here means increase in number of employees. Employees with different values, experiences and objectives become part of the organization to satisfy their needs.

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In order to bring harmony in the organization, management has to integrate personal goals with the organizational goals through coordination.

### 2. Functional differentiation

The organisation is divided into different departments, sections or divisions. They try to work in isolation and independently. The need of coordination is required to ensure these units remain a part of the organisation and move towards the realization of pre-determined organisation goal.

### 3. Specialisation

In modern organisation, diversification and complexities of technology give rise to specialisation. The organisation hire specialists who are competent to handle their jobs. They do not consult departmental heads. This often leads to conflict among specialists and departmental heads. Therefore, coordination is needed to reconcile differences to ensure unity of action achieve organisational objective.

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## 13.8 TECHNIQUES OF COORDINATION

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Following are the techniques of effective coordination:

- 1. Sound planning:** The first important condition for effective coordination is unity of objective. Planning helps in achieving goals with the combined effort. Sound planning sets clear-cut objectives, synchronised policies and unified procedures ensuring uniformity of action.
- 2. Simplified organization:** The organization structure should be clearly defined from top authority level to bottom. Clearly defined authority and responsibility reduce conflicts within the organization.
- 3. Effective communication:** Communication is the key to coordination. Open and regular communication helps in interchange of opinions and resolving differences between the management and employees. Thus, communication develops mutual understanding among the employees.
- 4. Effective supervision:** Effective supervision helps in achieving coordination at the planning and execution stage. A good supervisor inspires his subordinates to strive for the common objective. Sound supervision persuades subordinates to have a common outlook towards the goal and resolves the differences of opinion.
- 5. Associated departments:** For effective coordination contacts between associated departments is necessary. For example, the production, sales and marketing departments are interdependent. Therefore special coordinators should be appointed to coordinate the activities of different departments within the specified period of time.



### Check Your Progress

5. How has E. F. L. Brech defined coordination?
6. State some of the characteristics of coordination.

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## 13.9 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

1. For effective verbal communication, the following things should be kept in mind:
  - (a) The language must be clear and proper.
  - (b) It is important for the message to be short and to the point, but absolute in every way.
  - (c) The communicator must have a good vocabulary.
  - (d) The message must be appealing not only to the mind but also to the spirit of the listener.
2. At times, simple rules for selection of a channel cause more problems than they solve. In selection of a channel, the sender needs to be sensitive to things like complexity of message, consequences of a misunderstanding, knowledge, skills and abilities of the receiver and timely response on receiving the message.
3. The first essential for effective communication is to be clear about the purpose of communication. Every communication has an objective. It is a means to an end. One should be clear about what one wants to achieve through the process of communication.
4. To be effective, communication should always be in measured doses. The communicator should take care not to overdo or overstretch the communication. Communication is essentially a participative process, and if not within reasonable limits, the efficacy will suffer.
5. According to E. F. L. Brech, 'Coordination is balancing and keeping together the team by ensuring suitable allocation of tasks to the various members and seeing that the tasks are performed with due harmony among the members themselves.'
6. Following are the characteristics of coordination:
  - Coordination is not a distinct function. It represents the core of management.
  - The purpose of coordination is to achieve the common objective.
  - Coordination is a continuous and an ongoing process.

- Coordination does not arise spontaneously or by force. It is the result of concerted action.

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### 13.10 SUMMARY

- There is nothing in this world that would be achievable without the process of communication. There are different modes of communication, depending on the environment or situation and also on the number of people involved.
- A person can communicate with the help of both language and expression. If there is use of language it is called verbal communication. However, communication that takes place without language, with the help of expression only is known as non-verbal communication.
- There are many ways used by people to communicate, other than verbal communication. Messages that are conveyed through body language, facial expression or code language, without taking help of verbal or written language are known as non-verbal communication.
- When communication takes place in a well-set environment with proper rules and regulations to achieve predetermined objectives, it is called formal communication. In events that require public speaking, mass communication, official communication, etc., formal communication is used. Here, language is used more precisely and there is a higher focus on grammar.
- When communication is not pre-planned and it is free of rules and regulations with minimum formalities, it is known as informal communication. In this type of communication, focus on the structure of language and grammar is very less. There is also lesser focus on non-verbal behaviour like attire, way of walking, stance, etc.
- Barriers to communication have made the process complex, difficult and frustrating. Communication is effective if it flows freely through an appropriate medium between the sender and the receiver. Free flow means uninterrupted transmission of information or message, correct comprehension of the message by the receiver, and relevant and appropriate feedback from him.
- Effective communication is the essential requirement for having an effective interaction or getting maximum advantages from the process. In this way, the degree of its effectiveness can be judged from the amount of advantages drawn through it.
- Effective communication calls for coordinated effort. Good communication like any other high-quality output is very much the result of hard work. Good communication does not occur accidentally. It calls for proper planning, understanding of human behaviour, choice of physical facilities and mechanical or electronic devices and the organizational context.

- Coordination is balancing and keeping together the team by ensuring suitable allocation of tasks to the various members and seeing that the tasks are performed with due harmony among the members themselves.
- Coordination is a process to establish harmony among the different activities of an organization, so that the desired objectives can be achieved.
- The process by which a manager integrates their activities is known as coordination. Coordination is an orderly arrangement of group efforts to maintain harmony among individual efforts towards the accomplishment of common goals of an organisation.
- In any organization, each employee has his own values and aspirations. Management tries to maintain a good bond between organisational and individual objectives. It utilizes their knowledge and experience of individuals for the achievement of organisational objectives. At the same time, it also tries to do justice to employees' objectives.
- Communication is the key to coordination. Open and regular communication helps in interchange of opinions and resolving differences between the management and employees. Thus, communication develops mutual understanding among the employees.

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### 13.11 KEY WORDS

- **Verbal communication:** It is any communication that uses words to share information with others. These words may be both spoken and written.
- **Nonverbal communication:** It is the process of sending and receiving messages without using words, either spoken or written. Also called manual language. Similar to the way that italicizing emphasizes written language, any verbal behavior may emphasize parts of a verbal message.
- **Semantic barriers:** These refer to the obstacles caused in communication due to problems with the interpretation of word meanings.

### 13.12 SELF ASSESSMENT QUESTIONS AND EXERCISES

#### Short Answer Questions

1. Differentiate between upward and downward communication.
2. What aspects should be kept in mind in order to overcome barriers in communication?
3. What are the key elements of coordination?
4. State the importance of coordination.

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### Long Answer Questions

1. Analyse the different modes of communication.
2. Describe the different barriers to effective communication.
3. Explain the various principles of effective communication.
4. 'Coordination is a synchronization of group efforts to achieve a common objective.' Analyse the statement.
5. Describe the techniques of effective coordination.

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### 13.13 FURTHER READINGS

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# UNIT 14 EDUCATIONAL MANAGEMENT CONTROL

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*Educational  
Management Control*

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### Structure

- 14.0 Introduction
- 14.1 Objectives
- 14.2 Meaning and Need of Control and Control Process
  - 14.2.1 Control Process
- 14.3 Techniques of Evaluation
- 14.4 Quality Assurance
- 14.5 Total Quality Management (TQM)
- 14.6 ISO Certification for Education Institutions - Academic Audit
- 14.7 Answers to Check Your Progress Questions
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- 14.9 Key Words
- 14.10 Self Assessment Questions and Exercises
- 14.11 Further Readings

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## 14.0 INTRODUCTION

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The interrelationship between the functions of coordination and controlling is clearly evident. Coordination is the act of organizing, making different people or things work together for a goal or effect to fulfil desired goals in an organization. Coordination is a managerial function in which different activities of the business are properly adjusted and interlinked. Controlling, on the other hand, establishes standards of performance and compares actual results with the planned results to determine whether operations are being performed according to plans.

Control is a dynamic process, requiring deliberate and purposeful actions in order to ensure compliance with the plans and policies previously developed. This means that the managerial functions of planning and controlling are very closely related. Without proper controls planning itself has little meaning. According to Robert L. Dewelt, 'The importance of the planning process is quite obvious. Unless we have a soundly chartered course of action, we will never quite know what actions are necessary to meet our objectives. We need a map to identify the timing and scope of all intended actions. This map is provided through the planning process.'

Organizations must control their activities in order to be effective and efficient. Activities must be performed as planned and the results must be consistent with expectations. Performance must be kept under control and such control techniques can be used as would ensure minimum or no deviation from the normal operational set standards.

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### 14.1 OBJECTIVES

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After going through this unit, you will be able to:

- Describe the meaning and need of control and control process
- Analyse the techniques of evaluation
- Comment on quality assurance and quality of education
- Understand ISO certification for education institutes
- Explain the process of academic audit

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### 14.2 MEANING AND NEED OF CONTROL AND CONTROL PROCESS

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Control is very important both in organized living as well as living organizations. When things go smoothly as planned, they are considered to be under control. Self-control is a word we are all familiar with and which simply means that we discipline ourselves in such a manner that we strictly adhere to our plans for our lives and generally do not deviate from these plans. Controls are there to ensure that events turn out the way they are intended to.

#### Need for Control

Controls at every level focus on inputs, processes and outputs. It is very important to have effective controls at each of these three stages. Effective control systems tend to have certain common characteristics. The importance of these characteristics varies with the situation, but in general, need for effective control systems may be discussed under the following heads:

- **Accuracy:** Effective controls generate accurate data and information. Accurate information is essential for effective managerial decisions. Inaccurate controls would divert management efforts and energies on problems that do not exist or have a low priority and would fail to alert managers to serious problems that do require attention.
- **Timeliness:** There are many problems that require immediate attention. If information about such problems does not reach management in a timely manner, then such information may become useless and damage may occur. Accordingly, controls must ensure that information reaches the decision makers when they need it so that a meaningful response can follow.
- **Flexibility:** The business and economic environment is highly dynamic in nature. Technological changes occur very fast. A rigid control system would not be suitable for a changing environment. These changes highlight the need for flexibility in planning as well as in control. Strategic planning must

allow for adjustments for unanticipated threats and opportunities. Similarly, managers must make modifications in controlling methods, techniques and systems as they become necessary. An effective control system is one that can be updated quickly as the need arises.

- **Acceptability:** Controls should be such that all people who are affected by it are able to understand them fully and accept them. A control system that is difficult to understand can cause unnecessary mistakes and frustration and may be resented by workers. Accordingly, employees must agree that such controls are necessary and appropriate and will not have any negative effects on their efforts to achieve their personal as well as organizational goals.
- **Integration or Integrated control:** When the controls are consistent with corporate values and culture, they work in harmony with organizational policies and hence are easier to enforce. These controls become an integrated part of the organizational environment and thus become effective.
- **Economic feasibility:** The cost of a control system must be balanced against its benefits. The system must be economically feasible and reasonable to operate. For example, a high security system to safeguard nuclear secrets may be justified but the same system to safeguard office supplies in a store would not be economically justified. Accordingly, the benefits received must outweigh the cost of implementing a control system.
- **Strategic placement:** Effective controls should be placed and emphasised at such critical and strategic control points where failures cannot be tolerated and where time and money costs of failures are greatest. The objective is to apply controls to the essential aspect of a business where a deviation from the expected standards will do the greatest harm. These control areas include production, sales, finance and customer service.
- **Corrective action:** An effective control system not only checks for and identifies deviation but also is programmed to suggest solutions to correct such a deviation. For example, a computer keeping a record of inventories can be programmed to establish 'if-then' guidelines. For example, if inventory of a particular item drops below five per cent of maximum inventory at hand, then the computer will signal for replenishment of such items.
- **Emphasis on exception:** A good system of control should work on the exception principle, so that only important deviations are brought to the attention of management. In other words, management does not have to bother with activities that are running smoothly. This will ensure that managerial attention is directed towards error and not towards conformity. This would eliminate unnecessary and uneconomic supervision, marginally beneficial reporting and a waste of managerial time.

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### 14.2.1 Control Process

A business organization should be able to tailor controls suited to the particular plan or manager. Controls should be designed keeping in mind certain elements that a control process must constitute. According to Robert J. Mockler:

Management control is a systematic effort to set performance standards with planning objectives, to design information feedback systems, to compare actual performance with these pre-determined standards, to determine whether there are any deviations and to measure their significance, and to take any action required to assure that all corporate resources are being used in the most effective and efficient way possible in achieving corporate objectives.

Mockler's definition divides the process of control into four steps. These steps are described as follows:

#### 1. Establishing standards

The control process begins with the establishment of standards of performance against which organizational activities can be compared. These are levels of activities established by management for evaluating performance. These standards must be clearly specified and understood by all organizational members without ambiguity. They should be defined in measurable terms, wherever possible, such as physical units produced over a period of time, profit to be made per unit and so on. Vaguely worded standards or general goals such as 'better skills' or 'high profits' are difficult to interpret and hence lead to confusion and conflict. For example, the goal of a real estate broker may be to sell four houses per month. He can then plan the month and monitor his performance. Similarly, a vice-president in charge of production may have a goal of keeping the production cost within the assigned budget over a period of time. In attaining such a goal, he will be able to monitor the costs and take corrective actions wherever it is necessary. In another example, a college professor may have set a goal of covering ten units from a book over a period of one semester. He can plan his schedule of teaching accordingly to meet that goal. These precisely-stated standards, goals and objectives facilitate communication with all persons making the control process easier to monitor.

There are situations where it is not possible to quantify standards such as in the case of high morale, community relations, discipline or creativity. In such cases, all efforts should be made to fully understand these qualitative goals and design control mechanisms that would be useful in measuring performance in these situations. Most of these control mechanisms would be subjective in nature and decisions would be made on the basis of experience, analytical observations and intuitive judgments. Some of the quantitative standards against which performance can be measured are:

- **Time standards:** The goal will be set on the basis of time lapse in performing a particular task. It could be units produced per hour, number of pages typed per hour or number of telephone calls made per day. Managers utilize



time standards to forecast work-flow and employee output. Standard employee output also determines the extent of financial incentive plans.

- **Cost standards:** These standards indicate the financial expenditure involved per unit of activity. These could be material cost per unit, cost per person, cost of distribution per unit and so on. Budgets are established to reflect these costs and they provide monetary check-points for comparing actual costs with budgeted costs.
- **Income standards:** These relate to financial rewards received for a particular activity. Examples would be sales volumes per month, sales generated by a sales person per year and so on.
- **Market share standards:** This goal would be oriented towards the percentage of the total market that a company wants to retain or further acquire. For example, a company may want to increase its share of the market by four percentage points per year for the next five years.
- **Quality standards:** These standards express levels of quality expected of a product or service. There are quality control programs which monitor the level of quality of a product. These may be tolerances within which the quality may be accepted. For example, the space shuttle and aircraft manufacturers have zero-defect production requirement while other products may have less stringent quality standards.
- **Productivity:** Productivity or quantity standards are expressed in numerical terms as the expected number of items produced per man hour or per given activity. These goals are the key to operational efficiency and are set on the basis of past performance, degree of mechanization, employee skills and training required and motivation of employees.
- **Return on investment (ROI):** Return on investment is comprehensive and useful standard as it involves all facets of the business such as turnover, sales, working capital, invested capital, inventory levels at given times, production costs, marketing costs and so on. It is a ratio of net income to invested capital. It is superior to market share as a standard because a large market share does not necessarily mean higher profits.
- **Quantitative personnel standards:** The worker morale and dedication can be measured to some degree by some quantitative standards. These standards may be the extent of employee turnover, number of work-related accidents, absenteeism, number of grievances, quality of performance and so on.

## 2. Measuring performance

Once the standards have been established, the second step in the controlling process is to monitor and measure the actual performance. Monitoring and measuring is a continuous activity and involves collection of relevant data that represents the actual

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performance of the activity so that a comparison can be made between what is accomplished and what was intended to be accomplished. The measurement of actual performance must be in the units similar to those of predetermined criterion. The unit or the yardstick thus chosen should be clear, well-defined and easily identified and should be uniform and homogeneous throughout the measurement process.

According to Suchman, there are five types of evaluations. These are:

- (i) **Effort:** Effort reveals the extent of input and the idea is to measure such input to see if it is adequate in meeting the set objectives. For example, the number of courses offered in the Business Department at the university would indicate the extent of the business programme. Similarly, the number of patient beds in a hospital would be a measure of input for providing health care. A salesperson's performance may be measured by the number of calls he makes per day. Peter Blau gives an example of an employment agency where effort was evaluated by the number of applicants interviewed and counselled. However, the measurement of input was a poor indicator of results since simply counselling applicants did not mean that they all got jobs. Similarly, the number of beds in a hospital does not necessarily mean quality health care which is the ultimate goal.
- (ii) **Effectiveness:** As indicated above, the evaluation of input elements does not adequately convey the degree of effectiveness and results. This problem can be eliminated by measuring outputs such as the number of clients placed in jobs, in the case of the employment agency or the number of patients cured in a given period of time in the case of a hospital.
- (iii) **Adequacy:** Adequacy is the ratio of output to need and is a useful measure if the need and the output can be clearly identified and related. If the needs are satisfied then the performance can be considered as adequate.
- (iv) **Efficiency:** Efficiency relates output to input. According to Euske, in terms of efficiency, it is better if more can be done with the same amount of input or same output can be generated with less input. Efficiency measures are useful for comparing the same process at two points in time or two different processes with the same output.
- (v) **Process:** It relates to underlying processes which convert effort into outcome or input into output. It treats output as a function of input so that the focus is on evaluation of mechanisms that convert efforts into results, rather than the effort itself. This understanding of mechanism will assist in predicting the output of the organization for a given input. However, the process must be mechanistic in nature and clearly understood in order to be effective. For example, a sales person cannot know if his presentation will result in a sale even when such a presentation is done well and is well received.

### 3. Measuring devices

One of the most difficult tasks in measuring actual performance is the selection of an appropriate measure. It is very important that all performance measures used in controlling organizational and individual performances be both valid as well as reliable. Validity reflects as to how good the performance measure is and reliability describes as to how consistent such performance measure is in obtaining results. The methods of measurement established would answer the question, 'What, how and when to measure?'

The organizational objectives would determine as to 'what' is to be measured. 'How' to measure the outcome of an activity would depend upon the type of activity and whether continuous measurement or only spot checks are required. The type of activity would also determine as to 'when' measurement would take place. For example, some professors measure the performance of students only by one final examination while other professors give frequent quizzes during the semester of studies.

Some of the measuring devices used are as follows:

- (i) **Mechanized measuring devices:** This involves a wide variety of technical instruments used for measurement of machine operations, product quality for size and ingredients and for production processes. These instruments may be mechanical, electronic or chemical in nature. Some electronic devices are used to check passengers at the airport for carrying prohibited items, while some are used to detect shoplifting and unchecked books from the library. Polygraph tests are used to check people's explanations for certain acts.

Computers are becoming increasingly important as measuring devices. They can monitor operations as they occur and simultaneously analyze data so collected. Many retail stores use computerized scanning equipment that simultaneously monitors sales and prices of various items and tracks inventory by department, vendor and branch store.

- (ii) **Ratio analysis:** Ratio analysis is a powerful management tool for measuring various aspects of business operations. It describes the relationship of one business variable to another. The following are some of the more important ratios.

- (a) *Net sales to working capital:* The working capital must be utilized adequately. If the inventory turnover is rapid, then the same working capital can be re-used. Hence, for perishable goods, this ratio is high. Any change in this ratio will signal a deviation from the norm.
- (b) *Net sales to inventory:* The greater the turnover of inventory, generally, the higher the profit on investment.
- (c) *Current ratio:* This is the ratio of current assets (cash, accounts receivables) to current liabilities and is used to determine a company's ability to pay its short-term debts.

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(d) *Net profit to net sales*: This ratio measures the short run profitability of a business.

(e) *Net profit to tangible net worth*: Net worth is the difference between tangible assets and total liabilities. This ratio of net profit to net worth is used to measure profitability over a long period of time.

(f) *Net profit to net working capital*: The net working capital is the operating capital on hand. This ratio would determine the ability of the business to finance day-to-day operations.

(g) *Collection period on credit sales*: The collection period should be as short as possible. Any deviation from established collection periods should be promptly investigated.

**(iii) Comparative statistical analysis:** The operations of one company can be usefully compared with similar operations of another company or with industry averages. It is a very useful and practical performance measuring methodology. For example, farmers can compare output per acre with farmers at other locations. Any differences can be investigated and the reasons for such differences can be ascertained. Similarly, hospitals at one location can measure their medical costs against those of other hospitals, and the performance of police departments can be measured by comparing crime rates in their locality with those in other localities. Statistical models can be used for such measurements and such comparisons.

**(iv) Personal observation:** Personal observation, both formal as well as informal can be used in certain situations as a measuring device for performances, especially the performances of personnel. The informal observation is generally day-to-day routine type. A manager may walk through a store to get a general idea about how people are working. An airline officer may fly incognito to evaluate the performance of inflight attendants.

Formal observation is properly planned and requires preparation. For example, professors are periodically evaluated by their peers and their students. The inflight performance of commercial airline pilots is regularly measured by representatives of Federal Aviation Agency (FAA).

### 4. Comparing measured performance with performance standards

The next step in the control process is to compare actual performance to the standards set for such performance. This comparison is less complicated if the measurement units for the standards set and for the performance measured are the same and are quantitative in nature. Such comparison becomes more difficult when they require subjective evaluations.

The comparison shows us if anything has gone wrong in the process or operations; if there is any deviation, negative or positive and what must be done

as a restorative process for correcting such a deviation. Furthermore, this comparison not only results in the correction of the divergence, but also ensures the application of the preventive steps which could guide the conduct of operations in the future.

**Evaluation of deviation:** Before a deviation is corrected, a thorough investigation should be undertaken regarding the reasons for such a deviation. The management should look not for symptoms but for the root cause of the problem. Some of the questions to be looked into are:

- Were these deviations due to unrealistic standards?
- Could the suppliers have shipped faulty materials?
- Are the operators less efficient, dishonest about results or misinformed about applicable standards?
- Is the equipment in poor condition?
- Is the quality control department doing an adequate job?

There are many instances where projects have gone over the budget and have been delayed. In such cases, these projects should be examined in their entirety and from all angles in order to determine the root cause of such a discrepancy.

**Deviations can be of two types, namely negative and positive.**

- (i) Negative deviations.** Negative deviations are those that have negative repercussions and may be in the form of cost overruns or the project being behind schedule or the quality or quantity of the product being below the expected standards.
- (ii) Positive deviations.** Positive deviations indicate that the performance was better than expected and the goals achieved were either earlier than anticipated or less costly than planned. These positive deviations should also be fully investigated as to why underestimations were made so that new revised estimates can be established.

## 5. Taking corrective actions

Once the deviations have been detected and presented to the management for consideration, the decision must be taken as to what corrective actions are needed to remedy the situation. However, these corrective actions must be taken within the constraints of acceptable tolerance levels, outside environmental constraints such as those imposed by organizational culture or guidelines, labour unions, political and economic considerations and internal constraint of cost and personnel.

Since the actual results do not always conform to the desired results, some deviations may be expected for which no corrective action may be needed.

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However, when deviations are of a sufficiently serious nature, the following actions may be taken.

- Management must deal with the root causes of the problems and not the symptoms.
- Any corrective action should be taken promptly in order to make it most effective.
- Whenever and wherever possible, the corrective action should be built into the existing operations and these controls should be self-monitoring, i.e., the actions should be automatic such as in the case of a thermostat in controlling the heat. (This field is known as 'cybernetics').
- It must be understood that the goal itself is not a static phenomenon, but is a function of the dynamics of the environment. Hence a look into the need for altering the target itself caused by shifts in the environment may be necessary.

### Check Your Progress

1. How has Robert J. Mockler defined management control?
2. Define the standard of return on investment.
3. Differentiate between negative and positive deviations.

## 14.3 TECHNIQUES OF EVALUATION

An organizational system is a combined form of different units and positions that helps achieve organizational objectives, in a coordinated manner. Following are the six types of organizational systems and their techniques of strategic evaluation and control:

- (i) Informational system
- (ii) Control system
- (iii) Appraisal system
- (iv) Motivation system
- (v) Development system
- (vi) Planning system

### Informational system

The information system coordinates the responsibility of a division of work to the members. The information system enables the managers to know the required task and coordinate the activities with others. Management information system (MIS) is example of an information system that is broadly used to represent the

organizations arrangement. Information system helps business processes and operational control tasks.

Following are the types of tasks an information system handles:

- Records and stores accounting records that include sales, purchase, investment and payroll related data
- Provides financial statements such as income statements, balance sheets, ledgers and management reports
- Processes the operations records including production schedules, production controllers, inventory systems and production monitoring systems
- Records and stores records for human resource such as personnel data, salary data and employment histories
- Records and stores business intelligence data that includes competitor analysis data, industry data, corporate objectives and other strategic management records
- Processes the strategic management records into industry trends reports, market share reports, mission statements and portfolio models

The information systems perform all these tasks to implement, control and monitor plans, strategies, tactics, new products, new business models or new business ventures.

### **Control system**

The control system is cyclical operation that involves four steps:

1. Establishing standards
2. Measuring actual performance
3. Evaluating actual performance
4. Determining corrective action to perform the task

Control can be of two types, formal and informal. Formal control is based on quantitative and objective data. Financial control is an example of formal control and informal control is based on qualitative and subjective data. Following the ethical standards is an example of informal control. Both types of controls are applied in different levels of management. Formal controls are required at the lower level of management and at the higher level, informal controls are used. This is because as the organizational structure's complexity increases, the need for formal control arises. At the higher levels, the top management can easily control the behaviour and performance of managers who are directly communicating with them.

### **Appraisal system**

The appraisal system evaluates the manager's performance towards achieving organizational objectives. In this system, issues related to the performance of an

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employee can be considered by individual managers, groups or divisions. The appraisal system also provides information regarding the personnel's salary, determination and devotion towards work, rewards and skills, management development, placement and promotion. An organization can apply different appraisal methods such as ranking appraisal, rating forms and the behavioural method. For applying these appraisal methods, it is also important to know:

- Who makes the appraisal?
- What is the base of appraisal?
- When and how the results will be used?

The performance of an individual should be evaluated closely and the appraiser should be in close contact with the person whose performance is to be evaluated. Management by objectives (MBO) helps the manager to set the performance and objectives and to know what has prevented them to achieve the desired objectives.

### **Motivation system**

A motivation system encourages managers to work towards the achievement of an organization's objectives. It is a behaviour management system that provides a positive approach for supporting positive behaviour and correcting problem behaviours. For example, incentive positively motivates employees for achieving the organization's objectives. Incentives can be given in monetary or non-monetary forms. Monetary incentives are given in form of salary, bonus or other profit-sharing plans. Non-monetary incentives are in the form of rewards, recognition, promotion, designation, etc.

The motivation system evaluates the performance of employees based on the ability and motivation of the employees. The motivation system involves different types of motivation:

- Motivation for positive support
- Motivation for effective discipline and punishment
- Motivation for setting task related goals
- Motivation for satisfying employee's needs
- Motivation for job performance

### **Development system**

The development system which includes management development is a systematic process that involves improvement in knowledge, skills, attitudes and management.

The first step of the development process is managerial behaviour, which is the combination of individual characteristics and organizational environment. Organizational environment depends on managerial behaviour. The performance of managerial functions provides experience for the management's development.



For planned development, an organization provides education and training to employees, for example, for computerizing banks all the bank employees are provided training for the software for used for the job. For the development system, the following tasks can be performed:

- Recruiting skilled personnel to handle the new strategic tasks
- Providing education and training, either internal or external to the managers to help improve the knowledge, skills and attitude of managers for performing the strategic tasks
- Implementing organizational development in a planned way allows easily transition from one strategic phase to the next

### Planning system

The planning system is responsible for formulating the strategies. Strategy formulation is a combination of logical reasoning and examining the techniques to be used for implementation of these strategies. The planning system involves:

- Examining the critical issues and determining how the organization's strengths and skills should be applied to solve the issues related to the organization
- Analysing opportunities and strengths and exploring and choosing the best approach for an organization

During the planning of strategies, the following questions should be asked:

- Is the strategy the right solution to the problem?
- Is the strategy related to our mission?
- Is this approach economically suitable for an organization?

### Benefits and limitations of control techniques

The control techniques are vital for the smooth performance of strategic management in an organization. Let us now consider the benefits offered by these control techniques to further understand their importance in running an organization. The various benefits control are as follows:

- **Control facilitates measuring efficiency:** A control technique contains the measures that enable managers to evaluate how efficiently an organization produces goods and services. In case of a change in the method of production, these control techniques provide the managers with approximate measures for estimating the efficiency and thereby determine their extent of success.
- **Control determines the product quality:** Control is important in recognizing the product quality of an organization. It offers feedback on a product's quality to managers. If managers consistently measure the number of customer complaints and the number of newly produced goods returned for repairs, they get a good idea of the extent of quality that is involved in their product.

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- **Raised level of innovation:** Control helps raise the level of innovation in an organization. Deciding the control techniques involves maximum employee participation. This gives a feeling of belongingness and creativity to the employee and leads to more innovative ideas.
- **Increase responsiveness to customers:** Control helps managers to evaluate the customer care to monitor the employee behaviour and increase the organization's responsiveness to customers.

### Limitations of control techniques

Any control technique naturally suffers with the dilemma of too much versus too little control. It is not an easy task for strategists to decide the limits of control. Too much control may impair the ability of managers, harm initiative and creativity and create unnecessary hindrances to efficient performance. On the other hand, too less control may make the strategic evaluation process ineffective and superfluous. The limitations of control techniques are as follows:

- **Difficulties in measurement:** The process of evaluation is burdened with the danger of difficulties in measurement. These mainly relate to the reliability and validity of the measurement techniques used for evaluation, lack of quantifiable objectives or performance standards and the inability of the information system to provide valid information in time. The control system may be misrepresenting and may not give a consistent evaluation or may measure attributes that are not meant for evaluation.
- **Resistance to evaluation:** The evaluation process involves controlling the behaviour of individuals. This leads to a resistance on the part of managers who may find it difficult to control other people's behavioural patterns.
- **Preference to short term:** To practice control, managers often tend to rely on short-term implications of activities and try to measure the immediate results. This is because immediate evaluation seems to be an easy way than the tedious long-term method of analysing long-term implications. This leads to the ignorance of long-term impact of performance on strategy and the extended effect of strategy on performance.
- **Relying on efficiency versus effectiveness:** Efficiency means 'doing anything rightly' while effectiveness means 'doing the right things'. Managers are often confused regarding the constituents of effective performance. This leads to measuring wrong parameters that may create a situation where the right type of performance does not get rewarded. Conversely, if performance is evaluated on the basis of efficiency alone it that does not really contribute to the achievement may get rewarded. purchase, investment and payroll related data
  - o Provides financial statements such as income statements, balance sheets, ledgers and management reports

- o Processes the operations records including production schedules, production controllers, inventory systems and production monitoring systems
- o Records and stores records for human resource such as personnel data, salary data and employment histories
- o Records and stores business intelligence data that includes competitor analysis data, industry data, corporate objectives and other strategic management records
- o Processes the strategic management records into industry trends reports, market share reports, mission statements and portfolio models

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The information systems perform all these tasks to implement, control and monitor plans, strategies, tactics, new products, new business models or new business ventures.

### Control system

The control system is cyclical operation that involves four steps:

1. Establishing standards
2. Measuring actual performance
3. Evaluating actual performance
4. Determining corrective action to perform the task

Control can be of two types, formal and informal. Formal control is based on quantitative and objective data. Financial control is an example of formal control and informal control is based on qualitative and subjective data. Following the ethical standards is an example of informal control. Both types of controls are applied in different levels of management. Formal controls are required at the lower level of management and at the higher level, informal controls are used. This is because as the organizational structure's complexity increases, the need for formal control arises. At the higher levels, the top management can easily control the behaviour and performance of managers who are directly communicating with them.

### Appraisal system

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### Check Your Progress

4. What are the six types of organizational systems?
5. What are the different types of motivation under the motivation system?

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## 14.4 QUALITY ASSURANCE

In modern times paradigm shift in quality issues are observed. With change in time the concept of quality has also evolved. Earlier quality management meant inspecting the produced good to assure that it is meeting the pre-defined standards. Now the process of quality management involves more modern statistical methods. These statistical techniques are used for evaluation of quality as well as control of quality in production process through use of quality control chart. Now quality is a broader process that is concerned with the high quality production process and products that influences the entire organization. There is a lot of competition between the companies and they face the challenge of this competition through production of high quality products at a lower cost and ensuring major changes in their quality management programmes which involve updated quality training programmes for their employees.

Every company is nowadays trying to produce high quality products to meet the expectation of the customers. In many industries quality excellence has become a standard for doing business. Companies that do not meet this standard simply will not survive. The concept of quality is now used as the concept of total quality management which is abbreviated as TQM. The old concept of quality is reactive whereas the concept of TQM is proactive and designed to build quality into the product and process design. In our next section we will study about the concept of quality in the education sector.

### Quality of Education

Quality in education is a complex phenomenon. We all know that education deals with complex human organizations. Although education is considered as service activity but assuring quality in education is different from both the service sector as well as manufacturing sector. It is challenge for the scholars to define quality in education. Any product or service is not comparable with the education sector. In other areas products and services are temporary in nature whereas education is a part and process of life.

Every manufacturing company has certain finished products but in the process of education there is no such finished product. Even skilled graduates are not end products of education. Broadly speaking education is a lifelong process. Since it is a continuous process there will be no end product. In other words it can be stated that education is goal oriented rather than product oriented. The quality in education therefore refers to the excellence in the process of providing education.

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Different educationists and quality gurus have different opinions about the concept of quality in education. Some scholars suggested that value addition is required in the process of education. Some of the quality gurus are of the opinion that as practiced in manufacturing organizations educational organizations should focus on fitness of educational outcome and experience for its use along with its conformance to the educational objectives.

According to Holt, 'education is concerned with the development of minds of the pupils and school produces educated students'. If the schooling process is committed to quality, the students feel proud in the learning process and work hard to improve their learning. Improvement of quality is a continuous process in the case of educational institutions. The quality of education lies in the future of the learners. Hence, insight on quality indices and virtual implementation needs to be given top priority and due attention should be paid to the category in the wide range of educational institutions.

For higher quality in the educational institutions of primary to higher level an educational administrator should ensure the involvement of committed individuals to their organizations. The quality of the educational institutions lies in the eagerness of educational administrator to contribute to the improvement of their institutions.

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## 14.5 TOTAL QUALITY MANAGEMENT (TQM)

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We have already discussed certain aspects of Total Quality Management in Unit 10. Let us discuss some other aspects here.

Quality is a goal of any institution and works as a motivation for the stakeholders of education to work hard to improve the teaching-learning process. It has been mentioned earlier that the quality of a product or a service can be recognized but is not easy to define due to its complex nature. Fincher (1994) reported that there is lot of qualitative change observed in the technique, means and processes of education. According to Harvey and Green (1993) concept of quality may not be defined as absolute concept. As per their view it is a relative concept and may be defined in many ways.

### Evolution of TQM

In recent times the concept of quality is evolved differently. From inspection to TQM there is lot of changes in the concept of quality management. This can be easily understood by Figure 14.1



**Fig. 14.1** Evolution in the Process of Quality Management



Previously quality management meant fault finding in the post production review and was named as inspection. The focus is the control of workforce or controlling of involved employees. If failure is found in any product, reworking is promoted to correct that product. The process of inspection is limited to physical products. The second phase of quality management involves quality control. The control of quality is done on the basis of certain limited criteria's. It involves a paper based system and holds the supervisors responsible for quality. In the process of quality control a sense of self-inspection arises among the workers. This procedure is concerned with testing of products.

With the development of new theories the management of quality is shifted to quality assurance from quality management. Quality assurance is a more systematic process that uses statistical processes for assuring the quality. It focuses on preventive measures rather than corrective measures. The audit and accreditation is done through external agencies. Quality assurance cells were established for analysing causes of poor quality and calculating its effect on the organization. It requires delegated involvement of related employees. The most recent development in quality management issues is the development of the concept of TQM.

It is the management of quality with holistic perspective. It involves both the suppliers and customers. The aim of TQM is continuous improvement. The concerns of TQM are products and processes. The delivery of TQM is done through teamwork.

It is believed that the process of TQM will lead to all round development of the institution. It is evident for the educational organization to the same extent. Along with the improvement in teaching-learning process, TQM in schools helps the teachers, the principle and the students in their all-round development. Since education deals with improvement of human beings and the process of education plays major role in national development, the quality of education is most important for nations. The TQM is a new concept for educational management and directly has an impact on the quality of education.

### **Concept of TQM**

In our daily life we experience many products and services with poor quality. These experiences may be related to travel in a bus, train or airplane or shopping in a mall, etc. These kinds of experiences reflect the ignorance of the organization about the quality of its products or services and inadequate quality management. The attitude and skills of employees also matters. Careless or unskilled employees have a negative impact on the profit of organization. It is evident that if a company wants to take advantage of market need, it has to understand the impact of customers need on the demand in the market. A successful company is always concerned with the continuous quality improvement.

Quality management involves quality as an integrated component of each and every organizational process. TQM is an effort of an organization for improving

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the quality at each and every level. TQM is a holistic management that treats meeting the expectations of the customers as its prime concern. The meaning of quality differs from customer to customer. Generally most customers are not able to define the quality directly but are able to understand it when they experience any service or purchase a product. Till date there is no single universally accepted definition of quality. TQM has evolved with many other concepts related to quality management. Various similar concepts that were used are entitled as Continuous Quality Improvement (CQI) and Strategic Quality Management (SQM). These concepts are similar to each other but they might differ to some extent. TQM is concerned with the continuous quality improvement in all areas of education. The meaning of TQM may be understood by analysing some of its popular definitions:

1. Corrigan (1995) defined the quality as customer satisfaction. In the words of Corrigan 'TQM is a management philosophy that builds a customer-driven, learning organization dedicated to total customer satisfaction through continuous improvement in the effectiveness and efficiency of the organization and its processes'.
2. Kaufman (1992) defined the quality as a resultant of the judgment of customer. As per his opinion total quality management provides what is required by the client. It can only be possible when all the related persons show commitment to work hard to get desired results. Positive attitude and passion for quality is also required among the workers. The decisions of quality are based on performance data. TQM focuses on the fact that each related element should coordinate to turn raw materials into the products and deliverables that satisfy clients.
3. Neves and Nakhai (1993) defined TQM as 'long-term perspective, customer focus, and top management commitment, systems thinking, training and tools in quality, increased employee participation, development of a measurement and reporting system, improved communication between management and labour, and continuous improvement'.

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## 14.6 ISO CERTIFICATION FOR EDUCATION INSTITUTIONS – ACADEMIC AUDIT

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Managing quality in the education context should be handled differently from that of manufacturing or service industries (Madu & Kuei, 1993). The quality management models practiced by the business world have been adapted and applied to the education sector. The Total Quality Management (TQM) philosophy has been applied to schools and colleges in the UK, USA, and in Asian countries such as Malaysia (Kanji & Tambi, 1998). There has been a rise of TQM in education because of the market ideologies of the eighties and of the managerialism that accompanied it.

It is very important to implement TQM in educational institutions carefully or else the efforts would go to waste. The strategic management process for the implementation of TQM comprises three stages:

- (i) Formulation of strategy
- (ii) Implementation of strategy and its review
- (iii) Feedback and evaluation

The model of TQM represents the comprehensive strategic management model in the form of a diagram.

**Stage I: Strategy Formulation:** All institutions have very limited resources, which is why it is the strategist's task to decide upon the alternative strategies that would best benefit the institution. The stage of strategy formulation consists of four sub-stages:

- (i) Vision formulation
- (ii) Goals and mission
- (iii) Internal audit performance
- (iv) Initiatives of the top management

**Stage II: Strategy Implementation:** The process of strategic management does not get over after the decision has been taken by the management on the strategy they want to pursue. The chosen strategy needs to be put into action. Strategy implementation or TQM has a major impact on the entire institution as all divisional and functional areas are affected. This stage also consists of various sub-stages, namely:

- (i) Quality policy and plan formulation
- (ii) Quality cost
- (iii) Communication
- (iv) Resistance towards change
- (v) Change management

**Stage III: Strategy Review, Evaluation and Feedback:** When the internal and external environment of the institution undergoes a change, the best strategies that are formed and implemented tend to become useless. Thus, it is important for strategies to be reviewed and assessed over time. A good and timely feedback should be given from time-to-time for effective evaluation of strategy. Evaluation of strategy is a complex procedure, but it is very beneficial for all institutions.

### Seven Standards for Quality Assurance within Higher Education Institutions

The ESG (ENQA, 2007), with reference to higher institutions, integrated seven quality assurance standards. These standards are as follows:

- (i) **Policy and procedures for quality assurance:** All institutions need to have certain policies and procedures for quality assurance regarding their

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awards and programmes. They also need to completely commit themselves to the development of a culture that understands the significance of quality assurance in their institution. Institutions have to formulate and implement a strategy for constant quality enhancement. These procedures, strategies and policies should be available publically, with a significant role for stakeholders and students.

**(ii) Approval, monitoring and periodic review of programmes and awards:** The institutions need to have formal mechanisms for periodic evaluation, authorization as well as supervision of their programmes.

**(iii) Assessment of students:** Evaluation of students needs to be based on procedures, published criteria as well as regulations that are constantly applicable.

**(iv) Quality assurance of teaching staff:** It is necessary for institutions to uphold their quality, especially when it comes to their teaching staff. They should recruit teachers who are qualified and competent enough to teach at those institutions. They should also cooperate with the reviewers and evaluators.

**(v) Student support and learning resources:** It is the duty of the institutions that ample resources are available for the support of student learning. These resources need to be adequate and appropriate for every programmed offered by the institution.

**(vi) Information systems:** In order to maintain effective management with regards to the programmes of study, the institutions should collect and analyse relevant information.

**(vii) Public information:** It should be mandatory for institutions to publish their information on regular intervals regarding the programmes and awards they are offering. This information should be impartial and objective in nature.

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## 14.7 ANSWERS TO CHECK YOUR PROGRESS QUESTIONS

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1. According to Robert J. Mockler: Management control is a systematic effort to set performance standards with planning objectives, to design information feedback systems, to compare actual performance with these pre-determined standards, to determine whether there are any deviations and to measure their significance, and to take any action required to assure that all corporate resources are being used in the most effective and efficient way possible in achieving corporate objectives.
2. Return on investment is comprehensive and useful standard as it involves all facets of the business such as turnover, sales, working capital, invested capital, inventory levels at given times, production costs, marketing costs

and so on. It is a ratio of net income to invested capital. It is superior to market share as a standard because a large market share does not necessarily mean higher profits.

3. Negative deviations are those that have negative repercussions and may be in the form of cost overruns or the project being behind schedule or the quality or quantity of the product being below the expected standards. Positive deviations indicate that the performance was better than expected and the goals achieved were either earlier than anticipated or less costly than planned.
4. The six types of organizational systems are:
  - Informational system
  - Control system
  - Appraisal system
  - Motivation system
  - Development system
  - Planning system
5. The motivation system involves different types of motivation:
  - Motivation for positive support
  - Motivation for effective discipline and punishment
  - Motivation for setting task related goals
  - Motivation for satisfying employee's needs
  - Motivation for job performance
6. According to Harvey and Green (1993) concept of quality may not be defined as absolute concept. As per their view it is a relative concept and may be defined in many ways.
7. In the words of Corrigan 'TQM is a management philosophy that builds a customer-driven, learning organization dedicated to total customer satisfaction through continuous improvement in the effectiveness and efficiency of the organization and its processes'.

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### 14.8 SUMMARY

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- Control is very important both in organized living as well as living organizations. When things go smoothly as planned, they are considered to be under control.
- Self-control is a word we are all familiar with and which simply means that we discipline ourselves in such a manner that we strictly adhere to our plans for our lives and generally do not deviate from these plans. Controls are there to ensure that events turn out the way they are intended to.

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- Controls at every level focus on inputs, processes and outputs. It is very important to have effective controls at each of these three stages. Effective control systems tend to have certain common characteristics.
- A business organization should be able to tailor controls suited to the particular plan or manager. Controls should be designed keeping in mind certain elements that a control process must constitute.
- The control process begins with the establishment of standards of performance against which organizational activities can be compared. These are levels of activities established by management for evaluating performance. These standards must be clearly specified and understood by all organizational members without ambiguity.
- Ratio analysis is a powerful management tool for measuring various aspects of business operations. It describes the relationship of one business variable to another.
- An organizational system is a combined form of different units and positions that helps achieve organizational objectives, in a coordinated manner. Following are the six types of organizational systems and their techniques of strategic evaluation and control:
  - o Informational system
  - o Control system
  - o Appraisal system
  - o Motivation system
  - o Development system
  - o Planning system
- The appraisal system evaluates the manager's performance towards achieving organizational objectives. In this system, issues related to the performance of an employee can be considered by individual managers, groups or divisions.
- In modern times paradigm shift in quality issues are observed. With change in time the concept of quality has also evolved. Earlier quality management meant inspecting the produced good to assure that it is meeting the pre-defined standards. Now the process of quality management involves more modern statistical methods.
- Quality is a goal of any institution and works as a motivation for the stakeholders of education to work hard to improve the teaching-learning process. It has been mentioned earlier that the quality of a product or a service can be recognized but is not easy to define due to its complex nature.

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## 14.9 KEY WORDS

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- **Ratio analysis:** Ratio analysis is a powerful management tool for measuring various aspects of business operations. It describes the relationship of one business variable to another.
- **Appraisal system:** The appraisal system evaluates the manager's performance towards achieving organizational objectives. In this system, issues related to the performance of an employee can be considered by individual managers, groups or divisions.

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## 14.10 SELF-ASSESSMENT QUESTIONS AND EXERCISES

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### Short-Answer Questions

1. State the need of control.
2. What are the limitations of control techniques?
3. Write a short note on quality assurance and quality of education.
4. Write a short note on the planning system for implementing strategies.

### Long-Answer Questions

1. What are the four steps of the control process? Discuss.
2. Analyse the six types of organizational systems and their techniques of strategic evaluation.
3. Describe the process of evolution of Total Quality Management.
4. 'The strategic management process for the implementation of TQM comprises three stages.' What are the three stages? Discuss.

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## 14.11 FURTHER READINGS

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