

CIVIL SERVICE REFORMS IN INDIA: POLICY AND PERSPETIVES

*A thesis submitted to the University of Hyderabad in partial fulfillment of the
requirement for the award of degree of*

**DOCTOR OF PHILOSOPHY
in
POLITICAL SCIENCE**

by

CHERUKU JEEVAN KUMAR
Registration No: 06SPPH02

Under the Supervision of
Professor I. RAMABRAHMAM



**DEPARTMENT OF POLITICAL SCIENCE
School of Social Sciences
UNIVERSITY OF HYDERABAD
Hyderabad-500 046, India**

March, 2015



CERTIFICATE

This is to certify that the thesis entitled “**CIVIL SERVICE REFORMS IN INDIA: POLICY AND PERSPETIVES**” is submitted by CHERUKU JEEVAN KUMAR, Registration No: 06SPPH02 to the University of Hyderabad in partial fulfillment of the requirements for the award of the degree of DOCTOR OF PHILOSOPHY IN POLITICAL SCIENCE and this is an original work under my guidance.

Prof.I.Ramabrahmam

SUPERVISOR

Prof.G. Sudarshanam
HEAD OF THE DEPARTMENT
Department of Political Science
School of Social Sciences
University of Hyderabad

Prof.Aloka Parasher Sen
DEAN OF THE SCHOOL
School of Social Sciences
University of Hyderabad

**Department of Political Science
School of Social Sciences
University of Hyderabad**

DECLARATION

I hereby declare that the work embodied in the thesis entitled: “Civil Service Reforms in India: Policy and Perspectives” is an original research work carried out by me under the supervision of Prof. I.Ramabrahmam, Department of Political Science, for the award of Doctor of Philosophy in Political Science from the University of Hyderabad. I declare to the best of my knowledge that no part of this thesis was earlier submitted for the award of any research degree in part or full to this or other university.

CHERUKU JEEVAN KUMAR
Registration No: 06SPPH02

Date: -----

ACKNOWLEDGEMENTS

Writing a PhD thesis was a herculean task to me. I thank all those who are part of this journey. To begin with, I thank my research supervisor Prof. I. Ramabrahmam, for being a source of inspiration, motivation and encouragement. Words alone are not enough to explain his contribution to this research.

Special thanks to Prof. G. Sudarshanam and Prof. AV Raja (Doctoral Committee Members) for their comments on thesis. The thesis could not have been accomplished without the financial support provided by the University Grants Commission through Junior Research Fellowship; and Department of Political Science (UoH) for funding my visit to Ljubljana, Slovenia to attend ECPR Summer School for Research Methodology (2009).

I profoundly thank Prof. Kuldeep Mathur for providing me a right perspective in undertaking this research; and giving his feedback on my chapters throughout.

Thanks are also due to Prof. RVR Chandrasekhar Rao and Prof. K.S. Chalam for providing their inputs to my research. Dr. Suvashisha Rana, Centre for Health Psychology, University of Hyderabad (UoH) deserves a special mention here for his guidance with regard to research methods and data analysis.

I thank all the respondents of my study who spared their valuable time and provided me with valuable information required for accomplishment of this study.

I thank Prof. Meena Hariharan for her continuous support throughout my work.

I thank Dr. SN. Ambedkar, Head, Department of Public Policy, Law and Governance, Central University of Rajasthan, Dr. S Kandasamy, Dr. Jose Almin Cicily, Dr. Gyana Ranjan Panda and Mr. Anjan Kumar for their constant encouragement.

My former colleagues Dr. Waqgari Negari and Mr. Shoa Jemal at Ethiopian Civil Service University (ECSU), Addis Ababa, Ethiopia deserve special thanks. I also thank the staff of the ECSU library for providing me with access to rich source of information on civil service reforms.

I thank the staff of libraries of University of Hyderabad and Indian Institute of Public Administration (New Delhi) for giving me access to a number of books on my research.

I thank Dr. Sudhakar Babu, Ganesh, Ramana, Indira Kalyan, Satish, Sunder, Ashok, Chandra Mohiyar, Kumaraswamy, Rajasekhar, Venu, Sudhakar, Ramesh Setti, Carol, Yamlak Tsega, Ambika Prasad, Umamaheswararao, Sudhakar Vaddi, Kiran Sandhu, Srinu, vikrant, D P Negi, Sandeep Ranbhirk and S N Murty for their encouragement in my endeavours.

I thank Soumendra K. Mohanty for facilitating my research and Naveen for looking at my drafts and giving critical comments; and Sunny Raj, Ram Swarup, Praveen K and C Manoj for typing the documents. I also thank Mr. Siddheswar and Dr. Khandagale for painstaking efforts towards proof reading my chapters.

I owe my thanks to Bro. Joshua Daniel and his family members. Finally, I express my sincere and deep gratitude towards my family members who stood by me in all my endeavors.

C. Jeevan Kumar

LIST OF ABBREVIATIONS

AAP	Annual Action Plan
ACC	Appointment Committee of the Cabinet
ACR	Annual Confidential Report
AIS	All India Services
AP	Andhra Pradesh
ARC	Administrative Reforms Commission
BOLT	Build-Own-Lease-Transport
BoP	Balance of Payment
BPR	Business Process Re-engineering
BSC	Balanced Score Card
CAG	Comptroller and Auditor General
CBI	Central Bureau of Investigation
CCA	Cadre Controlling Authority
CCI	Competition Commission of India
CCT	Compulsory Competitive Tendering
CIC	Central Information Commission
CPSA	Central Public Services Authority
CSAT	Civil Service Aptitude Test
CSB	Civil Services Board
CSE	Civil Service Examination
CSO	Civil Society Organizations
CSPIP	Civil Service Performance Improvement Program
CSR	Civil Service Reforms
CSRP	Civil Service Reform Programme
CSS	Civil Service Systems
CSU	Client Services Units
CVC	Central Vigilance Commission

DFFT	Domestic Funding for Foreign Training
DGP	Director General of Police
DGTD	Director General of Technical Development
DoPT	Department of Personnel and Training
DSPE	Delhi Special Police Establishment
EA	Executive Agency
EG	Entrepreneurial Government
EO	Establishment Officer
ERP	Economic Recovery Programme
EU	European Union
FCSA	Federal Civil Service Agency
FDI	Foreign Direct Investment
FDRE	Federal Democratic Republic of Ethiopia
FMI	Financial Management Initiative
FPC	Fifth Pay Commission
GATTs	General Agreement on Trade, Tariff and Services
GD	Group Discussion
GDP	Gross Domestic Product
GoI	Government of India
GPRS	Growth and Poverty Reduction Strategy
GS	General Studies
GTP	Growth and Transformation Plan
HRM	Human Resource Management
IAS	Indian Administrative Service
IC	Information Commission
ICS	Indian Civil Service
ICT	Information, Communication and Technologies
IDA	International Development Association

IDF	Institutional Development Fund
IFoS	Indian Forest Service
IFS	Indian Foreign Service
IGP	Inspector General of Police
IIMB	Indian Institute of Management, Bangalore
IIPA	Indian Institute of Public Administration
IMF	International Monetary Fund
IP	Indian Police
IPS	Indian Police Service
IRDP	Integrated Rural Development Programme
IRTS	Indian Railway Traffic Service
IT	Information Technology
KRA	Key Result Agreement
LBSNAA	Lal Bahadur Shastri National Academy of Administration
LPG	Liberalisation, Privatisation and Globalisation.
MBO	Management by Objectives
MCS	Ministry of Civil Service
MDA	Ministries, Departments and Agency
MLA	Member of Legislative Assembly
MP	Member of Parliament
MPI	Ministry of Programme Implementation
MRTPA	Monopolies Restrictive Trade Practice Act
NCMP	National Common Minimum Programme
NDA	National Democratic Alliance
NeGP	National e-Governance Plan
NEP	New Economic Policy
NGO	Non-Government Organisation
NIRP	National Institutional Renewal Programme

NISG	National Institute for Smart Government
NPM	New Public Management
NPP	National Patriotic Party
NPR	National Performance Review/
	National Partnership for Reinventing Government
NQAT	National Quality Assurance Team
NREGA	National Rural Employment Guarantee Act
NRHM	National Rural Health Mission
NTP	National Training Policy
O&M	Organization and Methods
OECD	Organisation for Economic Cooperation and Development
OHCS	Office of the Head of the Civil Service
OSA	Official Secrets Act
PIL	Public Interest Litigation
PM	Prime Minister
PMO	Prime Minister's Office
PMS	Performance Management System
PNDC	Provincial National Defence Council
PPP	Public Private Partnership
PRS	Performance Reporting System
PSCAP	Public Sector Capacity Building Programme
PSI	President's Special Initiative
PSIP	Performance and Service Delivery Improvement Policy
PSMRP	Public Sector Management Reform Programme
PSR	Public Sector Reform
PSE	Public Sector Enterprise
RTE	Right to Education
RTI	Right to Information

SAI	Self-Appraisal Instrument
SAP	Structural Adjustment Programme
SARC	Second Administrative Reforms Commission
SC	Scheduled Caste
SEBI	Security Exchange Board of India
SEM	Sound and Efficient Management
SRC	Secretariat Re-organization Committee
ST	Scheduled Tribe
TMDD	Training and Manpower Development Division
ToR	Terms of Reference
UK	United Kingdom
UN	United Nations
UNDP	United Nations Development Programme
UPA	United Progress Alliance
UPSC	Union Public Service Commission
USA	United States of America
USSR	Union of Soviet Socialistic Republics

Preface

Civil Service Reform (CSR) in India is a major area of research that cuts across the disciplines, such as, political science, public administration and public policy. Despite constitution of several committees on improving civil service, its efficiency and capacity to deliver services remains minimal. Dearth of studies on CSR from perspective of diverse stakeholders is the motivation for undertaking this research. The study attempts to fill this gap by ascertaining views of stakeholders on CSR in India. The objectives of the study are: (i) to understand and describe the changes in the role of Indian state vis-a-vis civil service in post-globalised era; (ii) to examine the state's policy on CSR in India; and (iii) to understand the perspectives of stakeholders on CSR in India.

Researcher adopted purposive and convenient sampling. Sample is drawn from Assam, Chhattisgarh, Delhi, Himachal Pradesh, Karnataka, Maharashtra, Rajasthan, Telangana, and Uttar Pradesh. Initially a sample of 58 was planned, but only 27 respondents have agreed to be interviewed. Primary data was collected by interviewing IAS officers and allied service officers, civil service aspirants, member of a Civil Society Organisation (CSO), member of UPSC, former member of the Second ARC and policy expert. In-depth Interview was taken from respondents to get their detailed views on civil service and how to go about the reforms. Expert interview is carried with a prominent person who is well-informed about the CSR. Secondary data was collected from the relevant books on CSR, articles in peer reviewed journals and web sources. The researcher adopted thematic analysis, a method by which data was read and re-read again. By the identification of words that are repeated analysis is attempted and the most important issues in relation to the objective of the study get tested using Open Coding. Analysis is done using Axial Coding.

The study adopted thematic analysis and found out the emerging themes with regard to CSR: reengineering of civil services, selection process, building capacity,

designing performance appraisal, politicisation of civil services and leading the reforms. The major findings of the study are that: (i) State in post-globalization era transformed its roles from 'the provider' (of public services) to that of 'facilitator', by encouraging the new modes of service delivery. Civil service in India came under the increasing pressure to adjust itself accordingly. Its role has changed from being a 'commander' of the public services to that of 'partner' with the CSOs and private sector. The study found that there was huge demand from the stakeholders to transform civil service from being 'generalist' to that of 'specialist'. (iii) State's policy reform to civil service depends on the government that is in power. Its approach to reform civil service has been incremental. The study concludes that debate on CSR in India is confined to 'reformatory' aspect of civil service; it recommends that it should focus on 'transformatory' aspect of it!

TABLE OF CONTENTS

	Pages
<i>Certificate</i>	<i>i</i>
<i>Declaration</i>	<i>ii</i>
<i>Acknowledgements</i>	<i>iii-iv</i>
<i>List of Abbreviations</i>	<i>v-ix</i>
<i>Preface</i>	<i>x-xi</i>
<i>Table of Contents</i>	<i>xii-xvii</i>
<i>List of Tables</i>	<i>xviii</i>
<i>List of Figures</i>	<i>xix</i>

Chapter-1 INTRODUCTION

1.0 Introduction.....	1
1.1 Background of the Study.....	1
1.2 PRELIMINARY LITERATURE REVIEW	2
1.2.1 Globalisation and Changing Role of State	3
1.2.2 Globalisation and Governance Reforms.....	6
1.2.3 Public Management Reforms in the Developed Countries.....	8
1.2.4 CSR in Developing Countries.....	10
1.2.5 CSR and Donor Agencies.....	11
1.2.6 Quest for Good Governance and CSR.....	13
1.2.7 Governance Reforms in India.....	15
1.3 THEORETICAL FRAMEWORK.....	16
1.3.1 Max Weber's Ideal type of Bureaucracy: A Critical Review	17
1.3.2 Public Choice Theory.....	19
1.3.3 Principal-Agent Framework.....	21
1.3.4 Conceptual Framework.....	23
1.3.5 Framework of Civil Service Reforms in India.....	25
1.4 STATEMENT OF THE PROBLEM.....	27
1.5 GENERAL OBJECTIVE.....	32
1.5.1 Specific objectives.....	32
1.6 RESEARCH METHOD.....	32

1.6.1 Pilot Study.....	32
1.6.2 Study Design.....	32
1.6.3 Data Sources.....	33
1.6.4 Data collection methods.....	33
1.6.5 Analysis Plan.....	34
1.7 Scope of the Study.....	34
1.8 Significance	35
1.9 Limitations.....	35
1.10 Chapterisation.....	35
1.11 Summary.....	35

Chapter-2 CIVIL SERVICES IN INDIA: AN OVERVIEW

2.0 Introduction.....	37
2.1 EVOLUTION OF CIVIL SERVICES IN INDIA.....	37
2.1.1 Definition of Civil Service.....	37
2.1.2 The Mauryas (322 BC-185 BC).....	38
2.1.3 Delhi Sultanate (AD 1206 - AD 1526).....	39
2.1.4 The Mughals (AD 1526 - AD 1857).....	40
2.1.5 British India (1858-1947).....	41
2.1.5 (i) Macaulay Committee.....	42
2.1.5 (ii) Indian Civil Service Officers.....	43
2.2 CIVIL SERVICES IN POST-INDEPENDENCE PERIOD.....	45
2.2.1 Constitutional Status of the Civil Services.....	45
2.2.2 Classification of Civil Services.....	46
2.2.3 Characteristics of Civil Services.....	49
2.2.4 Recruitment of IAS Officers.....	49
2.2.4 (i) Exam Pattern.....	50
2.2.5 Training.....	54
2.2.6 Salary Structure and Progression of the IAS officers	56
2.2.6 (i) Institutional Framework for Promotion of IAS officers.....	59

2.3 ROLE OF CIVIL SERVICES IN GOOD GOVERNANCE: AN ASSESSMENT	60
2.4 ADMINISTRATIVE CULTURE OF CIVIL SERVICES	62
2.4.1 Politicisation of Civil Services.....	63
2.4.2 Committed Civil Service in mid 1970s.....	65
2.4.3 Stability of tenure of civil Servants.....	67
2.4.4 Undue Protection vs. Autonomy: Single Directive (Prior Permission)..	68
2.4.5 Delays in Decision Making and Unpreparedness of the Civil Servants..	69
2.5 Summary	70

Chapter-3 ADMINISTRATIVE REFORMS IN INDIA: A CRITICAL ASSESSMENT

3.0 Introduction	71
3.1 Theoretical Background of Administrative Reforms.....	71
3.1.1 <i>Administrative Reforms</i>	72
3.2 FIRST GENERATION OF ADMINISTRATIVE REFORMS IN INDIA: AN OVERVIEW	73
3.2.1 Period of consolidation (1947-66)	74
3.2.2. Period of restructuring (1966-80)	78
3.2.2 (i) <i>First Administrative Reforms Commission (ARC)</i>	78
3.2. 2 (i) (a) <i>Recommendations of First ARC</i>	79
3.2.2. (i) (b) <i>Impact of ARC on Administrative Efficiency</i>	81
3.2.2 (ii) <i>DS Kothari Committee (1974)</i>	81
3.2.3 Period of modernization (1980- 1994).....	84
3.2.4 Critical Appraisal of First Generation of Administrative Reforms.....	84
3.2.4(i) <i>Ambiguity in Conceptual Framework</i>	84
3.2.4(ii) <i>Administrative Reforms: Gaps in Implementation</i>	85
3.3 SECOND GENERATION ADMINISTRATIVE REFORM IN INDIA.....	86
3.3.1 Economic Reforms and Administrative Reforms.....	88
3.3.2 Fifth Pay Commission (1994).....	89
3.3.2(i) <i>Public Sector Reforms in India</i>	90

3.3.2(ii) <i>Restructuring the Public Sector</i>	91
3.3.2(iii) <i>Public Servants and improving their efficiency</i>	92
3.3.3 The Subsidies Committee.....	93
3.3.4 Good Governance Initiatives in the post-1997 period.....	95
3.3.5 Second Administrative Reforms Commission.....	97
3.3.5(i) Reports of Second ARC.....	97
3.4 Summary.....	102

Chapter-4 CIVIL SERVICE REFORMS: A GLOBAL PERSPECTIVE

4.0 Introduction.....	103
4.1 CSR IN EUROPE.....	103
4.1.1 The United Kingdom.....	104
4.1.1(i) Context of the Reforms.....	104
4.1.1(ii) Financial Management Initiative.....	105
4.1.1(iii) Next Steps.....	106
4.1.1(iv) Privatisation.....	107
4.1.1(v) Citizens' Charter	108
4.1.1(vi) Impact of CSR in UK	109
4.1.2 CSR in Western Europe.....	111
4.1.2(i) Politicisation of Civil Services.....	112
4.1.2(ii) Impact of CSR in Western Europe.....	113
4.2 REINVENTING THE GOVERNMENT: UNITED STATES OF AMERICA.....	113
4.2.1 (i) Impact of Reinventing Government.....	116
4.3 CIVIL SERVICE REFORMS IN AFRICA.....	117
4.3.1 GHANA.....	118
4.3.1 (i) Civil Service Reform Programme (CSRP) -1987.....	119
4.3.1(ii) Civil Service Performance Improvement Programme.....	120
4.3.1(iii) Public Sector Reform- 2004.....	121
4.3.1(iv) Performance Management.....	122
4.3.1(v) Service Delivery.....	123
4.3.1(vi) Recruitment.....	124

4.3.1(vii) Capacity Building.....	124
4.3.1(viii) Impact of CSR in Ghana.....	125
4.3.2 ETHIOPIA.....	126
4.3.2(i) Civil Service in Derg (1974-1991).....	126
4.3.2(ii) Civil Service Reform Programme (CSRP) -1996.....	128
4.3.2(iii) Business Process Reengineering- 2004.....	129
4.3.2(iv) Capacity Building.....	130
4.3.2(v) Public Sector Capacity Building Support Programme.....	130
4.3.2(vi) Growth and Transformation Plan.....	131
4.3.2(vii) Impact of CSRP.....	132
4.4 Summary.....	133

Chapter-5 CIVIL SERVICE REFORMS IN INDIA: AN OVERVIEW

5.0 Introduction.....	134
5.1 STRUCTURAL ADJUSTMENT AND CIVIL SERVICE REFORMS.....	134
5.2 ISSUES IN CIVIL SERVICE REFORMS.....	136
5.2.1 Structure.....	136
5.2.2 Recruitment.....	138
5.2.3 Capacity Building.....	145
5.2.4 Performance and Promotion.....	148
5.2.5 Professionalism and Modernity.....	150
5.2.6 Accountability.....	153
5.2.7 Generalist Vs Specialists.....	153
5.2.8 Lateral Entry.....	154
5.2.9 Redressal of Public Grievances.....	154
5.3 Summary.....	155

CHAPTER-6 RESULTS AND DISCUSSION

6.0 Introduction.....	156
6.1 State and Civil Service in India in post-globalised era.....	156
6.2 State's Policy on CSR.....	159

6.3 Perspectives on CSR.....	164
 CHAPTER-7 SUMMARY AND CONCLUSIONS	
7.1 Summary.....	174
7.2 Conclusions.....	181
7.2.1 State and Civil Service in the post-globalised era.....	181
7.2.2 State’s Policy on CSR.....	182
7.2.3 Perspectives on CSR.....	184
7.3 Recommendations.....	185
Bibliography	187 – 198
Appendices	199-247

List of Tables

Sl. No.	Title	Page No.
1.1	Total Economic Subsidies as percentage of GDP, Selected OECD Countries	5
1.2	Sampling Size.....	33
2.1	New Pattern for Preliminary Examination (from 2011).....	50
2.2	CSAT Paper I Analysis.....	51
2.3	CSAT Paper II Analysis	52
2.4	Previous Main Examination Pattern.....	53
2.5	Current Main Examination Pattern.....	53
2.6	Cadre Strength of IAS officers (as on 01.01.2014).....	57
2.7	Salary Structure and Progression of the IAS officers.....	58
4.1	Phases of Reform in USA.....	116
5.1	Strength of IAS Officers.....	137
5.2	Duration of Training for Civil Servants.....	146
5.3	Gaps in the Performance Management System.....	148
6.1	Superordinate themes and their sub-themes with specific illustrative.....	165
	Quotations	

List of Figures

Sl. No.	Title	Page No.
1.1	Civil Service Reforms Framework in India.....	26
2.1	Hierarchies of the Secretaries	56
6.1	Perspectives on Civil Service Reforms in India.....	170

Chapter - 1

INTRODUCTION

1.0 Introduction

Civil service is one of the most admired as well as criticised institutions of governance. Weber (1947), pioneer of theory of bureaucracy considers it as an efficient instrument of organisational leadership and ‘social guardian’ in representing universal interest of the state (Das, 1998). Globally, civil service occupied primacy in the development discourse up until 1970s. Times have subjected civil service to both external and internal changes. Externally, globalisation and neoliberal policies have impacted the role of civil service. Internally, increased expectations from the citizens, use of Information, Communication and Technologies (ICTs) have brought changes in civil service. It is not exaggerating to say that, no other institution in the twenty-first century has undergone changes as much as civil service had undergone.

This chapter is an attempt to understand Civil Service Reforms (CSR), followed by a preliminary review of literature which traces the origin of CSR. It includes discussion on globalisation and changing role of the State; and delineates about governance and State. It attempts to look at the relationship between the CSR and the Structural Adjustment Programme (SAP). It also provides a theoretical and conceptual framework for CSR. The subsequent paragraphs discuss the statement of the problem, objectives of the study, research method, and chapter outlines of the thesis.

1.1 Background of the Study

According to Karl Marx, ideas are moving force of history; and the idea of reforming civil service moved the history of civil service that caught the attention of scholars and policymakers in post 1960s. Across the globe, this era saw changes in the people’s perceptions about government and civil service. For instance, there has been growing dissatisfaction of people about the quality of service delivery. Both the government and civil servants have been perceived to be inefficient. Particularly civil servants have been perceived to be rule-oriented, status-quoist, corrupt, inefficient, selfish, and insensitive, defunct and obsolete in the contemporary times. Their poor performance has increasingly received negative image and pejorative meaning among the public (Peters, 1995). In nutshell, centralised bureaucracy was perceived as a

problem in Organisation for Economic Cooperation and Development (OECD) countries (Matheson and Kwon, 2001).

In addition the changes, the governments were under intense pressure to cut expenditure in the public sector due to financial crunch. There has been increasing demand from citizens for effective service delivery; thrust was laid on ICTs. On the other hand, the government had to adopt new managerial practices like Balanced Score Card (BSC) and Business Process Reengineering (BPR) to reengineer civil service in developed countries. These changes have come to define the relationship between the state, market and citizens. The entire debate culminated in the critique of civil service (Erridge, 2001). This fuelled the demand for what is defined as the ‘quest for better governance’.

Simultaneously, there was search for better governance in other parts of the world, such as the Sub-Saharan Africa and Asia during 1980s. This was attributed to the inefficient civil service in implementation of development projects (World Bank, 1989). Governance as a means to development of the country received attention in the literature of the donor agencies i.e. *World Bank’s Governance and Development Report* (1992). A strong administrative mechanism was considered key to effective service delivery and sustainable development in those countries (Chaudhry et al, 2005). Given this background, the public management reforms have been viewed as solution to these problems. Public management reforms call for the changes in the state’s role. For instance, state is expected to be ‘minimalist’ and ‘leaner’ in contrast to welfare state. It can be said that there was a search for improving its capability by reinvigorating public institutions (World Bank, 1997). It is to be noted that CSR are integral to public management¹ (Chaudhary, 2007).

1.2 PRELIMINARY LITERATURE REVIEW

The following section provides a preliminary review of literature pertaining to the debates on globalisation and its impact state, the changing role of the state, public management reforms in both developed and developing countries. The researcher consulted books, articles, and reports of both the government bodies and non-

¹ . In place of public administration, public management is frequently used.

government bodies to review literature. This review revolves around how these changes have had affected the administrative systems in India.

1.2.1 Globalisation and Changing Role of State

In the aftermath of the post-Second World War, State's responsibility to look after welfare of its citizens has increased. State used to invest in the welfare of citizens due to Great Economic Depression, and it continued eventually. For instance, State played a predominant role in socio-economic development of the society by expanding the size and scope of the government, particularly in the industrial countries. This is corroborated by a finding of the study by the International Monetary Fund (IMF), that is, the total public expenditure around the world increased from 12.6 percent of Gross Domestic Product (GDP) in 1960 to 17.3 percent in 1995 (as cited in Jackson, 2007, p.31). It is attributed to the expansion of public spending as the developing countries embraced state-dominated development strategies. State's scope has not only expanded in terms of quantitative terms, but also in the qualitative terms. In other words, the focus was also laid on the State's scope of interventions in meeting the needs of the people.

Divergent theses on globalisation have been advanced to assess its impact on the autonomy of the nation state. There are hyper globalist thesis, sceptical thesis, complex globalisation thesis, new institutionalist thesis, and ideational globalisation thesis. For the purpose of the study, two theses have been discussed, viz, hyper-globalist thesis and complex globalisation thesis. The hyper globalist thesis has been advanced by Robert Reich and Kenichi Ohmae. This thesis subscribes to the 'hollowing out of state' view; and contend that the nation-state became 'borderless' in its character due to globalisation (as cited in Marsh *et al.*, 2006). Globalisation, neo-liberal economic policies and marketisation of services restricted the autonomy of the state. According to the hyperglobalist view, globalisation facilitates the free movement of capital and goods across the borders which have implications for the role of nation-states. Globalisation allows the companies to move from one place to another place in search of markets across the world. As the government attempts to attract new companies, they have to keep the tax rates low to the extent possible. However, this in turn, as the hyperglobalists argue, reduces the tax base of the government; and it will adversely affect the expenditure on social investment such as

health and education. It is vehemently argued that it will undermine the role of national governance and lead to the end of the nation-state.

On the other hand, D.Held, P. Dicken and A. McGew have proposed the complex globalisation thesis. It rejects the hyper globalisationist thesis of 'end of the state'. According to it, globalisation is a process of the world which is not complete. Rather the world is undergoing a fundamental transformation. Globalisation is a highly complex process and it has changed the role of the state. According to Dickens, globalisation has repositioned the state due to opening of economies by the nation-states (as cited in Marsh *et al.*, 2006). It enables economies to compete with each other; and this resulted in the shift of state's power towards: *upwards* (to international organisations and movements), *downwards* (local pressure groups) and also *sideways to market actors* (multinational corporations) (Ibid). According to this school of thought, economic dimension of globalisation compelled the state to adopt neo-liberal (or market-oriented) measures, such as privatisation and liberalisation. What follows is a discussion on the changing role of the state due to globalisation.

Peters and Pierre (2006) explicate the increasing role of multiple actors in governance of the state (private sector, market, and social networks); and their impact on the governance of states. They observe that capacity of contemporary states to govern has undergone change, with the emergence of multilateral organisations such as, European Union (EU) and World Trade Organisation (WTO). According to them, the state has to share its sovereignty with other actors, and share its control with them over the important sections of their policy regimes. Unlike earlier times, the government (here the public sector) can no longer use command and control instruments. More importantly, the states have changed structurally and have decentralised and deconcentrated significantly (Ibid, p.217-9). Despite these changes, as authors argue, state is still accountable to the public as opposed to claims made under the 'hollowing out of the state' by the hyperglobalists.

Peters and Pierre further portray that the state has to play the role of 'facilitator'. It should enable and direct, yet the state 'enables' as much as it 'directs and still remains a powerful actor and continued to play a major role. According to them, state is more than an aggregation of institutions; and failure of one institution in governance is not

tantamount to failure of state in 'toto (Ibid, p.213-4). They discuss viz, debureaucratization and the alteration in the forms of service delivery, have influenced the public sector and its operations.

Bell and Hindmoor (2009) discuss the role of state in the modern society. According to them the role of public sector remains valid in the context of globalisation and governance reforms. Further, the governance should be 'state-centric relational' in which it has the capacity to govern not only by strengthening its institutional and legal capacity, but also working with the non-state actors. They outline that the governments have taken measures to cut the expenditure. This is evident in government's withdrawal from economic subsidies, exchange and credit controls and tariffs; loosening of regulatory controls on capital creation; privatisation of enterprises and deregulation of markets. Obinger and Zohlnofer (as cited in Bell and Hindmoor, 2009, p. 73) illustrate that the OECD Countries have reduced the total economic subsidies as percentage of GDP from 1980 and 2004 (See the Table 1.1 below).

Table 1.1 Total Economic Subsidies as percentage of GDP, Selected OECD Countries, 1980 and 2004

Country	Total Economic Subsidies 1980	2004	% change, 1980-2004
Australia	1.44	1.32	- 0.13
Canada	2.74	1.17	- 1.57
France	2.13	1.29	- 0.84
Germany	2.08	1.27	- 0.81
Italy	2.70	1.07	- 1.63
Japan	1.50	0.86	- 0.64
Norway	5. 15	2.25	- 2.90
Portugal	4.60	1.64	- 2.96
United Kingdom (UK)	1.96	0.53	-1.43
United States	0.35	0.34	- 0.01
Total (20 –country OECD average)	2.37	1.24	- 1.02

Source: *adapted from Bell and Hindmoor (2009, p. 73)*

The collapse of the former Union of Soviet Socialistic Republics (USSR) and Central and Eastern Europe and fiscal crisis of welfare state have given impetus to the debate on changing role of state. These changes have been captured by World Bank in its Report entitled: *'The State in a Changing World'* (1997). According to the report, state's role has been inspired by important events in the global economy. The global

integration of economies and the spread of democracy have reduced the scope for arbitrary and capricious behaviour of the government and bureaucracy. Taxes, investment rules, and economic policies have been scrutinized and expected to be ever more responsive to the parameters of a globalised world economy. Technological change has opened new opportunities for unbundling services and allowing a larger role for markets. These changes have meant new and different roles for government. It implies that State can no longer act as sole provider but as facilitator and regulator. More importantly, the states have come under pressure even where governments have previously seemed to perform well.

The report identifies that an effective state is essential for sustainable development of a country. It suggests shifting its role to traditional functions like law and order and taxes (World Bank, 1997). The report argues, instead of focusing on all the activities, state should focus on performing the core public activities that it is capable of doing. According to this report, although the expansion of public sector has resulted in delivering the health and education, it did not result in the positive outcomes. Further, state is sought to move towards the market economy and look for ways to improve its capability by reengineering public institutions. The report identifies ‘civil service’ as one of the key state institutions and it is connected to the changing role of the state.

In addition to this, the global meltdown in 2008 has put pressure on the state and its welfare responsibilities. Globalisation and concurrent developments have necessitated scholars to revisit the role and effectiveness of the state. Having discussed the changing role of the state, it is pertinent to examine how these changes have a bearing on public sector management in the developing countries.

1.2.2 Globalisation and Governance Reforms

An attempt is made in this section to understand globalisation and its resultant, that is, governance reforms. Stiglitz (2002) defines globalisation as a process. It is the closer integration of the countries and people of the world and widening, deepening and speeding up of worldwide interconnectedness in all aspects of life. It breaks the socio-political, economic and cultural barriers with regard to the flow of goods, services, capital, knowledge and people across borders.

Farazmand (1999) adds market perspective to globalisation. According to him, globalisation is a continuous process, wherein particular societies are integrated into a single worldwide market society called global market. Furthermore, it is a worldwide phenomenon which breaks the borders and enhances trade relations between the countries, governments, the economy and communities. Going by this definition one can observe that the impact of globalisation on public administration is enormous. Integration of economies, exchanges of ideas, sharing of knowledge have had impact public administration in the developing countries. In addition to this, the growing knowledge economy has made it possible to share ideas and best practices of governance. Market based NPM has caused changes in the way the administration delivers public services.

Farazmand (1999) summarises that the following five major changes occurred in the character of the modern state due to globalisation: (i) reinforcement of supra-territorial governance organisations such as IMF, World Bank, and WTO, reduces the state's autonomy; (ii) increasing interdependence among modern states; (iii) increased military and technological capability of the dominant states, especially the United States of America(USA); (iv) the growing role of governments as partners with and promoters of the private sectors; and (v) shift of the administrative state from a welfare state to a corporate state.

Scholars have made efforts have made to measure the extent and impact of globalisation on society in general; and polity and governance in particular. Marsh *et al* (2006) discussed the possible impact of economic pressure of globalisation on the nation-states. According to them, due to globalisation countries across the world have been more exposed to international economic pressures in different degree than ever before. These pressures have been mediated by economic and political structure of a country and respective policy makers' perceptions of the extent of the country's exposure to international forces. Marsh further argues that responses of the state to globalisation are multi-dimensional as it encompasses factors such as, politico-economic structure, socio-cultural and political context and existing discourse in a country. The discourse on globalisation has helped a few countries, for instance, United Kingdom (UK) to adopt neo-liberal agenda under the New Labour Government.

Simultaneously, attempts to promote globalisation have been made globally by introducing a set of both political and economic reforms. For instance, the World Bank in its report of 1994 titled '*Governance: The World Bank Experience*' outlined that public sector management is one of the major components of governance reforms (as cited in Chaudhary, 2007). Public management reforms include reforming civil service. These reforms were first introduced in the West under Ronald Regan in USA and Margaret Thatcher in UK, due to economic crisis in the respective countries. The developing countries have been influenced by these changes and resorted to implementing public management reforms.

Public management reforms have been introduced in developing countries under the auspices of multilateral and bilateral agencies such as, World Bank and IMF, under the label of 'governance reforms'. These reforms can be categorised in to first generation reforms and second generation reforms. While the objective of first generation reforms is to liberalise the economy; the second generation reforms aimed to redesign the state and its institutions. The first generation reforms complement the second generation reforms (Singh, as cited in Chaudhary, 2007, p.1).

1.2.3 Public Management Reforms in the Developed Countries

Attempts to reform public sector in OECD countries began during the 1970s and 80s. For instance, European Commission undertook a programme called 'Sound and Efficient Management' (SEM) in the year 2000, to restructure and reengineer the public sector; and make it better (Pollitt and Bouckaert, 2004, p. 8). It includes CSR that are concerned with changes in the recruitment pattern of public services and process change in the service delivery. The wave of public management reform in OECD countries swept to the other countries, due to the export and import of ideas between OECD and other countries. Impact of these reforms can be seen in the creation of Citizens' Charter² in UK, France, Belgium, Portugal and Italy; and

². Citizens' Charter was initiated by the then British Prime Minister, John Major, on 22 July 1991. It was followed by developing countries as part of improving the accountability of the civil servant so Citizens' Charter is a list of services displayed on the notice board of a government department. It outlines the kinds of services delivered, the persons responsible for service and the amount of time taken to deliver a particular service. It aimed to ensure transparency by providing the citizens with right to information. It saves time of both officer and the clientele.

creation of central government Executive Agencies³ in the UK, Netherlands, Jamaica, Tanzania, and Japan (Ibid). In sum, all these efforts aim to improve the performance of government and civil servants.

Similar efforts were attempted in USA to reform civil service during 1990s, under the label known as '*reinventing government*' movement. It was advanced by David Osborne and Ted Gaebler (the former city manager of Visalia, California), calling for reengineering the public institutions of the country. The context of this movement was that the government was caught between the depleting revenues and the increasing demand from citizens to serve better. The public institutions accomplished tasks well during 1930s and 40s and they were no longer able to deliver goods keeping abreast the ongoing technological changes in globalised era. It was perceived that the age old bureaucracy was out of context to the country. This movement is attributed to the weak capacity of civil service to deliver goods and services (Osborne and Gaebler, 1992, p.11). Those institutions were highly hierarchical, centralised and bureaucratic in nature. Reinventing government is influenced by principles of NPM that focus on attaining economy, efficiency and effectiveness in the public sector. It infused the entrepreneurial spirit in the public sector. As a result there was shift in the government carried out its activities. Like a private organisation, the public organisations were sought to run on business lines. The citizens are viewed as *customers*. Government was to have customer-orientation and mission-driven.

Denhardt and Denhardt relooked at the very foundation of public service. They argue that civil servants have to find the soul and meaning of public service by introspecting what they do and why do it. They contend that '*the government should not be run like a business; but like a democracy*' (Denhardt and Denhardt, 2007, p. 3-4). According to them it should become the guiding principle for civil servants. Further they have to learn new skills and renew their commitment to 'public interest'. Citizens and public servants are expected to work in a cooperative and mutually beneficial way. Public servants are required to understand the ideals of the public service in order to become successful in their work. Put it succinctly, this attitudinal change civil servants and

³. Executive Agencies are set by the government to deliver public services within a policy and resources framework. An Executive Agency is autonomous compared to a government department. It has advantages over a departmentally managed activity in that an agency provides far greater operating flexibility than, and far better accountability for performance.

their renewed commitment to public service has been labelled as '*New Public Service*'.

It is to be noted that state is central to these paradigm shifts. Concurrently these shifts have implication for civil service, providing a momentum for CSR across the globe. Accordingly, civil service has been expected to be strong, efficient and effective. It is expected to foster an enabling environment capable of promoting sustained socio-economic development and institutional growth (Chaudhry *et al*, 2005). CSR are located in the debate on globalisation, state and governance reforms. The discussion is in order.

1.2.4 CSR in Developing Countries

State and civil services in developing countries were succumbed to both internal and external pressures during the 1980s. External pressures on civil services emanated from globalisation, neoliberalism and the practice of new managerialism. These external pressures have brought changes in the role of the state as well as in the functioning of civil service. For instance, Raadschelders *et al* (2007) examine that thrust on ICTs and 'value for money' approach is instrumental in reengineering of civil service. Internally, Chaudhry *et al* (2005) observe that despite the expansion of the state and its apparatus during the 1950s and 1970s, bureaucracy was unable to deliver goods and services. Moreover, expansion of state's apparatus put pressure on public resources as much of its resources were spent on the pay bill of the employees. In this context, improving state's capacity to provide quality services and enhancing its relevance to the population was seen key to development. State's monopoly was questioned by the demand for effective service delivery; the need for reducing expenditure; improving the efficiency of civil service; people's demand for participation in governance and the rise of the non-state actors. In nutshell, both the internal and external pressures have compelled civil service systems to reinvigorate themselves by undergoing reforms in the developing countries.

Change, continuity, and diversity characterise the development of civil service in the past two centuries. However, CSS during the past decades have come under intense scrutiny. Main changes in the CSS can be traced to changes in the environment of government organisations in the early 1980s. These environmental changes necessitated or even dictated a fundamental overhaul and reforms of CSS also. The

list of environmental changes is impressive (Raadschelders *et al*, 2007, p.1-3). They have increasingly been influenced by changes in the institutional context. One of the changes is that the monopoly of civil service in public service delivery has gradually broken down. The second one is that the multi-level governance seems to have directly affected the very existence of CSS. Multilevel governance seeks public service delivery through policy networks, decentralised governance networks, public/private partnerships and a corporation between non-governmental bodies, consultant and government. The unified bureaucratic career civil service has been challenged by these developments (Ibid, p. 5).

Though civil service is regarded one of the most admired and effective organisations in the world (World Bank, 2003), a few dysfunctions within the administrative systems have been observed in developing countries. It is argued that inappropriate recruitment and personnel policies adopted by the governments had deprived civil service of youthful leadership and vitality (Shihata, 2005). It is to be noted that role of civil service had expanded along with the role of the state without realising the importance of private sector (Ibid, p 86). Civil servants in those countries have been marked by the corrupt practices, poor performance, low morale employees and poor image among the citizens.

Against this background, the idea of augmenting state's capacity to deliver services has been attempted in two generational reforms. The first generation reforms were introduced by the World Bank (WB) in the Latin American and the Caribbean countries during the 1980s. The focus of the first generation reform is to reform civil service. A major concern for civil service stemmed from the need to maintain sustainability of development efforts in developing countries. It was found that civil servants do not have enough implementation capacity of aid recipient countries, which is affecting the development programme of donor agencies. It was viewed that effective administrative mechanism is required to attain comprehensive and sustainable development. CSR was justified that even economic reforms in a country will be handicapped without effective administration (Chaudhry *et al*, 2005).

1.2.5 CSR and Donor Agencies

World Bank facilitated implementation of the public sector reforms in developing countries without interfering in their political affairs (Shihata, 2005, pp 92). It funded

30 projects on civil services in developing countries between 1981 and July 1991. Out of 30 projects, eight of them were carried out in eight Latin American countries, and 19 projects in African countries. World Bank took measures to support institutional reforms in developing countries by setting up of an exclusive fund called Institutional Development Fund (IDF) on June 16, 1992. IDF was meant for providing loans to the countries for institutional development and capacity building. IDF in collaboration with International Development Association (IDA) financed reforms studies and operations. More importantly, IDF provided finances to the countries in overcoming the Balance of Payment crisis (BoP).

With the persistence of BOP crisis in developing countries during 1980s, SAP was introduced in those countries by the World Bank. It is noteworthy is that, initially CSR were not part of the agenda of the World Bank while it was funding the public sector reforms. However, there was a paradigm shift in its thinking in the 1980s that success of economic reforms hinges on reforming civil administration and of the system of governance (Shihata, 2005, p. 92). Shihata observes that economic reforms and CSR are linked to each other. He justifies that the effectiveness of economic reforms in a country often depends upon reforming the institutions in it. This argument is substantiated by World Bank in its Report entitled “*Adjustment Lending and Mobilisation of Private and Public Resources for Growth*” (1992). According to this report, the countries who adopted SAP in their economies saw high rates of growth than those who did not adopt SAP. As a matter of fact, those countries that achieved considerable progress in reform during 1980s saw a remarkable decline in the budget deficits from an average of 5 percent of GDP to 3 percent; and from 8 percent to 5 percent in low income countries (p. 82). These reforms are broadly categorised as the first generation reforms.

A second generation reforms in developing countries were begun in the 1990s, particularly in Chile, Korea, Singapore and Thailand. These reforms aim at forming solid economic, legal and social institutions. They are broadly pertaining to the creation of the most appropriate conditions for investment, particularly in private sector.

One has to take note of the involvement of the donor agencies in launching the CSR. In Sub-Saharan Africa during 1980s, the World Bank and United Nations Development Programme (UNDP) have been the prime movers of the reforms. Civil servants in the sub-Saharan African countries do not have implementation capacity (Chaudhry et al, 2005). Weak capacity of the administration and the resultant poor implementation of development projects funded by donor agencies are the guiding forces of reforms in these countries. The World Bank Report (1997, p.79) identified that building institutions for a capable public sector is essential to enhance state's effectiveness. It further goes on to say that, well-functioning of the bureaucracies promote growth and reduce poverty. As an antidote to this situation, a strong administrative mechanism capable of implementing public policies was perceived as key to effective service delivery and sustainable development. These reasons compelled developing countries to initiate CSR. The following section deals with governance reforms initiated across globe to improve administrative systems.

1.2.6 Quest for Good Governance and CSR

Second generation reforms are crucial to understand the quest for good governance, across the countries in the world. The institution of civil service has been regarded as catalyst to promote economic growth and act as agent of 'social change'. The literature up until mid 1960s portrayed civil servants as social guardians of society. However, one can observe changes in the perceptions of people about civil service during the post-1960s. The assumption that *the civil bureaucracy represents universal interest* has been questioned by public choice theory. Public choice theory assumes that '*man is egoistic, rational and utility maximiser*' (Mueller, 1979). Extending the same logic, public choice to civil servants they view that that civil servants are self-centered than serving the public interest. Antony Downs observes that bureaus have an inherent tendency to expand irrespective of its social relevance (Downs, 1966).

The subsequent 1970s saw a wave of public management reform in OECD countries. NPM brought changes in the state and performance of the public sector. It is a revolutionary shift in the public administration in the mid 1980s. Three principles of NPM, such as, *economy, efficiency and economy*, have become the guiding principles of managing the public organisations. As an offshoot of globalisation, NPM believed in the liberalisation, privatisation and contracting out the services. This philosophy has been adopted by the governments of developed countries, such as, UK, USA,

New Zealand, and Australia. NPM has influenced the operation of public sector in many countries. The changes can be seen in governments' focus in improving public management through performance measurement and evaluation; cutting expenditures in budgets; reducing the size of the governments; and privatisation of public enterprise; contracting out etc (For further details see Osborne and Gaebler, 1992; Hood, 1995). As has been mentioned, these reforms were subsequently adopted by the developing countries. In India, practice of NPM began with the New Economic Policy (NEP) in the year 1991.

Under the NPM, bureaucracies are charged as power-grabbers, secretive, rule-bounded and inward looking rather than result-oriented. Further, they are regarded as institutions that encouraged corruption in the system. As a result of new findings and research, bureaucracies have been pressurized to reshape themselves as result-oriented organisations. The functional load of the bureaucracies is sought to be reduced, and to speed up its work activity (Bhattacharya, 2013). Measures have been taken in this direction to tone up its accountability. The idea that governments are less efficient than markets has become dominant theme under NPM. The increasing expenditure of running government and civil service in those countries called for downsizing the operations of the public sector as well as bureaucracy. Margret Thatcher's government's efforts in UK to downsize the public sector during 1979 were notable example. These called for redefining the relationship between the state, market and citizen.

Civil service is also considered one of the pivotal institutions of governance. However, a fresh perspective on the role and position of the age-old bureaucracy began to emerge for a variety of reasons. The monopolistic role of civil service in service delivery and its contribution to good governance has always been the focus of the scholars. Matheson and Kwon (2001) rightly pointed out that the central position of civil servants in the political-administrative and societal systems has begun to erode gradually. The rationale is that centralised bureaucracy (civil service) was perceived as a problem. In addition to this, civil servants and their functioning have increasingly attracted negative image and pejorative meaning among the public (Peters, 1995).

Added to the negative image of the bureaucracy, people expressed their dissatisfaction about the quality of public service delivered by civil servants. At this juncture the critique of public bureaucracy including civil service has been intensified (Erridge, 2001), leading to a '*quest for better governance*' in both developed and developing countries. These attempts have been given diverse nomenclatures such as, '*re-inventing process*' (USA), '*La Relve*' (Canada), '*Next Step*' (UK), the New Zealand and Australian versions of '*contractualisation*', the Irish '*Strategic Management Initiative*', the German '*Lean State*' programme and the Scandinavian reforms.

As has been discussed, wave of public management reforms has swept across the Asian countries including India. The role of state and civil service has been scrutinized by scholars and civil society. In India, the expansion of public sector in India during 1960s to 1980s was reported to have contributed to the higher cost of the government expenditure. In order to prune the expenditure of the government public management reforms have been advanced in 1990s under SAP. The role of state as well civil service has come to be re-examined. Indian State is expected to be '*minimalist*' and '*leaner*' state in place of welfare state. The new managerial techniques and practices of the private sector seemed to have brought the role of traditional civil servants under scrutiny. The perpetuation of status-quoism was criticised abreast sweeping changes taking place in society and economy. In nutshell, CSR have been initiated in developed and developing across the world as part of public management reforms.

1.2.7 Governance Reforms in India

The increasing maladies of civil service system gave an impression that civil service in India appears to have failed to do its job in a globalised era (Das, 2010). In addition to this, the technological advances, decentralisation and the increasing expectations of people for better governance have necessitated reorientation in the role of civil servants. Reforming civil services has been conceived as quintessential to good governance in India. Governance reforms in India have marked a shift in the model of development since 1991 i.e., from a centralised planning mode of development to a private sector/market based model. The Government of India has responded positively to the agenda of good governance promoted by the multilateral agencies. Under the guidance of the World Bank, it introduced SAP in the early 1990s to overcome the economic crisis impending due to BOP problems. This is reflected in the

government's official documents starting with the Tenth Five Year Plan (2002-07), where it allocated a separate chapter on 'Governance and Implementation'.

The Tenth Five Year Plan identified governance issues that include CSR. The major dimensions under CSR are: *rightsizing, transparency, accountability and professionalism*. Under the economic governance, the issues included increasing privatisation, disinvestment, corporatisation, and liberalisation/deregulation. Subsequently, National Human Development Report (2001) brought out by GoI, also highlighted that governance is essential for sustainable human development. Thus, issues of 'governance' have entered common parlance in the discourse of development in India (Choudhary, 2005, p.22-23).

Governments have recognised the role of good governance in development of a country. For instance, Governance occupied a place in the party manifestos in the parliamentary election of 2004. Congress led United Progressive Alliance (UPA)-I has included 'the institutional reforms' as the underlying theme in its National Common Minimum Program (NCMP) (2004), and fought elections on a promise of good governance in the country. Under governance dimension, emphasis has been given to enhance efficiency, effectiveness, transparency and accountability of government. In economic domain, the reforms included the 'rolling back of the state' from its commitment towards welfare of the citizens. A detailed discussion was made in the Chapter 5.

1.3 THEORETICAL FRAMEWORK

Genesis of administrative reforms is as old as human history. Administrative reforms are conceived in order to rectify administrative imperfection and improve organisational efficiency. Caiden (1969), a scholar on administrative reforms outlines that attempts to improve organisational efficiency will continue as long imperfection in administration continues. It is pertinent to look at the original design of bureaucracy before one can trace the origin and rationale of the CSR.

Bureaucracy, in the ancient political thought, has been portrayed positively. Political thinkers like Hegel and Jeremy Bentham subscribe to the view that bureaucracy is benevolent '*social guardian*', and committed to welfare of the society. It represents

the *universal interest* of the state and society. To Hegel, the exercise of power by bureaucracy manifests godly activity and it is a mission to be performed for God or society. Bureaucracy is considered to be one of the means to sustain the constitution by preserving the legal norms of the state (Shaw, 1992, p. 386). According to this view, a bureaucrat is a benevolent *social guardian* committed to achieve common good. This has been followed by the Weberian model of bureaucracy, on which the modern civil service in many administrative systems is patterned. For the purpose of discussion, researcher in this study examined three perspectives of bureaucracy⁴ such as, Weber's ideal type of bureaucracy, Public Choice Theory and Principal- Agent Framework.

1.3.1 Max Weber's Ideal type of Bureaucracy: A Critical View

Although bureaucracy has figured in earlier writings, it is Max Weber who studied bureaucracy comprehensively. Max Weber viewed the latter as one of the characteristic forms of public administration. He considered bureaucracy as an efficient instrument of administration developed on earth. He defined it as the “purely bureaucratic organisation” which is capable of attaining the highest degree of efficiency (Weber, 1947, p.337). According to him bureaucracy is a characteristic form of public administration for a state; and an “administrative body of appointed officials”. The prevailing bureaucracy is one of his classifications of bureaucracy i.e. legal-rational bureaucracy. These bureaucracies have characteristics such as impersonality, rules, hierarchy, public end and written documents (Weber, 1947). Weber conceived of bureaucrats as meritorious officers who will serve common citizens. It has distinct features such as formal rationality and money as remuneration to the employees.

The Weberian ideal type of bureaucracy has become a dominant model of bureaucracy across the countries up until the Second World War. As '*guardian of the society*' bureaucracy was considered to be instrumental in the development of countries. This notion is reflected in the World Development Report 2004 of World Bank. It portrayed civil service bureaucracy as one of most powerful innovations of

⁴ . The researcher used the term bureaucracy synonymously and interchangeably with the term 'civil service' in the thesis.

the twentieth century (World Bank, 2003). However, it started losing its fame since 1960s and 1970s (known as development decades). The report attributes it to the changing perceptions of people towards the bureaucracy. A major argument was that despite the presence of civil service in the third world countries, the latter continued to remain underdeveloped (Ibid). Allegedly, civil servants were equated with corruption and redtapism. People began to become sceptical of the nature of civil service as the latter failed to deliver goods and became inefficient. It was seen that bureaucrats' purported departure from the Weberian model led to the search for an alternative to public administration i.e. public choice theory.

Weberian Model of bureaucracy has been criticised by scholars such as Robert Merton and Phillip Selznick, Joseph La Palambora. The criticism has been forwarded on three points, viz., rationality in his model; suitability of the model to the requirement of different places in changing times; and whether this model can attain maximum efficiency as stipulated by Max Weber.

Palambora (1963) questions the suitability of Weberian model of bureaucracy. According to him, if economic development of a society is to take place through massive intervention of the public sector, it requires bureaucrats whose primary concern is maintenance of law and order (Ibid, p. 12). He points out that bureaucracy heavily dominated by the Weberian norms can be less efficacious instrument of economic change. For instance, the Indian public administration steeped in the tradition of Indian Civil Services may be less useful as development entrepreneurs than those who are not tied to high rigid notions of bureaucracy. The implementation of development programs required a different kind of bureaucracy which is not traditional and parochial. Besides they should be free-wheeling, less adhering to administrative forms, less attached to the importance of hierarchy and seniority (Ibid). Palambora (1963) further attempts to link bureaucracy's role in politics of development. According to him, the bureaucracies of the new states should not adopt American Principles of scientific management uncritically.

The Weberian model of bureaucracy has been revisited by scholars of public administration. According to Peters and Wright (1998), traditional principles of public

administration have undergone drastic changes. Three of these assumptions that are related for the purpose of thesis have been discussed here.

i. The assumption of Accountability upward:

Traditionally the bureaucrats are accountable to the political executive in democracies. However, this assumption has been revised by NPM which seeks the accountability of bureaucrats down to the citizens. This will empower citizens for whom the policies are formulated and implemented.

ii. The assumption of standardised establishment procedure:

Civil service in traditional public administration was one of the important institutions with a distinctive career structure. This has been replaced by personnel management in the private sector. Reforms in personnel management include performance measurement of civil services, changes in the recruitment pattern. Civil servants hitherto seen as providers of universal services are seen as managers and entrepreneurs. These changes are brought about by the NPM and they had a significant impact on the functioning of administrators.

iii. The assumption of an 'apolitical service':

The Wilsonian public administration emphasises 'politics-administration' dichotomy. Weberian model of bureaucracy envisages civil servants to be 'neutral' in their functioning. This assumption of 'apolitical service' has come under review, with the bureaucrats showing their allegiance to the political leaders and political parties in many European countries. This trend is evident in the developing countries also in the twenty-first century. Political leaders tend to dominate the bureaucrats. Civil servants are pressurised to be more aggressive and entrepreneurial in the organisation.

The Weberian model of bureaucracy has been influenced by these changes. Having discussed these changes, let us turn to another perspective of bureaucracy called public choice theory.

1.3.2 Public Choice Theory

Public choice theory in 1960s challenged the benevolent view of bureaucracy, and provided an alternative perspective of bureaucracy. According to this theory, '*human beings behave rationally*' (Mueller, 1979, p.1); are self-interested and utility maximisers. William Niskanen, Buchanan, and Gordon Tullock are prominent scholars belonging to the Public Choice School. They offer a sceptical view of the government and bureaucrats. They argue that bureaucrats are not motivated by the

welfare of the people; rather motivated by salary, perquisites of office, power, patronage and output of the bureau. Moreover they make their choice in the *self-interest* rather than in pursuit of the public interest. Self-centered nature drives their decision-making of bureaucrats. The bureaucrats tend to implement these decisions as long as they satisfy their personal interests, even if they are detrimental to the society. In other words, the public choice theory affirms bureaucrats are not motivated by the ‘collective good’ of the society.

While the welfare economists assumed that bureaucracy benevolent guardians of public, the public choice theorists on the other hand regard them as sources of inefficiency. Their rent-seeking nature distorts competition in service delivery. According to James Buchanan the efforts and expenditures made on the potential recipients of the monopoly are socially wasteful (Mueller, 1989, p 230). The resources invested in obtaining the privileges offered by state could have been invested to benefit the consumer. The motive of bureaucrats to join the public employment has been aptly quoted by Anne Krueger ‘*entry into government service is a competition for rents*’ (Krueger, p. 294).

According to James Buchanan and Gordon Tullock, individuals make their choice in pursuit of *self-interest* that overrides the group’s concerns. Accordingly, the actions of civil servants are motivated by the economic gains but not the ‘altruistic’ notions as perceived by Weber. The theory proposes that bureaucrats are rent-seeking in nature and pursue individual interests in the guise of public choice.

Mueller (1989, p. 323) argues goes on to say that bureaucracy is one of the reasons for expansion of the government and increasing expenditure by the government. It strives to maximise the budget in order to expand the scope of the department which in turn helps the survival of the department as well as bureaucracy. Echoing Mueller’s view, Niskanen argued that bureaucrats will be making efforts to maximise their welfare by enhancing the size of the budgets. The status-quoist nature of bureaucrats will not allow them to introduce changes in their bureaus.

In sum, Public Choice Theory enables to understand the nature of bureaucracy in relation to the expansion of state’s expenditure; as well as employment; and

continuation of patron-clientele practices. It discards the traditional notions of *benevolent social guardian*. This theory was instrumental in bringing fresh perspectives on understanding civil service; and provided the background for undertaking CSR in several countries, including UK and USA. There is a limitation to public choice theory i.e. bureaucracy cannot always be examined with the economic parameters and the public interest cannot always be measured in quantitative terms. Public choice theory provides an insight to understand the nature and functioning of bureaucracy. The problems in public bureaucracies cannot only be understood with the 'public choice theory' perspective, but also from the principal-agent framework which is discussed in the next section.

1.3.3 Principal-Agent Framework

Principal-Agent Framework is adopted from economics to understand the behaviour of civil servants vis-à-vis people. It provides a framework to understand the rationale of the CSR. This model identifies 'principal-agent problem' in the functioning of public agencies, particularly with reference to civil servants. This framework comprises of three components: principal, the agent and maximisation of utility. Like in public choice theory, this framework also premised that the individual is rational and maximiser of utility. Accordingly, both principal and agent try to maximise their benefits, which will lead to asymmetry of information between the principal and agent. In addition to this, the framework also stipulates, as the agent tends to hide information from the agent in pursuance of his or her personal interest, principal has to incur transaction cost to discourage from doing so.

Principal- Agent model can be applied to the public sphere at two levels. The first set of relationship includes people (as principal) and civil service (agent); and the second set includes the government (principal) and civil service (agent). In both sets of relations, civil servants tend to hide information from the principal i.e. people and government. Principal-Agent model assumes that providing services to the citizens is a contractual matter between civil servants (agents) and people (principal) (Ibid, p.32). It raises a fundamental question as to who will welfare is maximise the welfare in the public sector. The agents (civil servants) perform certain tasks on behalf of their principals (people) and the former tend to hide the information and keep matters secretly. This leads to accountability problems in service delivery. In order to fix

accountability problem, the principal has to take some steps, such as recruiting the right agents and the principals have to monitor agents effectively.

Since civil servants have monopoly over information on their environment, production (cost) function or technological possibilities than the government; they take advantage of being the controller of information, which in turn provides incentives to seek rents. As has been said, they take advantage of being the controller of hidden objectives in the mind without revealing them to the principal. On the other hand, the principal also intends to maximise his/her own objectives. Such asymmetry of information between the principal and agents affects service delivery adversely (Ibid).

Let's consider the second set of relation between principal and agent. In a parliamentary democracy the civil servant (agent) is individually accountable to the minister (principal) for the service delivery. According to the Principal- Agent Framework, the service provision to the citizens is a contractual matter between the political executive and civil servants. Both can control the agenda of the government. However, it is difficult for the government to monitor the output of civil service and the cost of that output. In addition to this, the principal cannot ascertain whether the bureau's choice of action is socially optimal or not. Ensuring citizens with efficient civil service is difficult in such cases. In such circumstances, the principal has to design an efficient contract between the ministers and civil servants wherein the interests of civil servants (agents) align with that of government (principal) and organisation. They need to design certain incentive scheme to reduce the extent of informational asymmetries. It is expected to induce the agent civil servant to act in a manner that aligns his/her interest with the interests of the principal.

The principal-agent problem tends to continue as long as the principal does not take note of the motives and actions of an agent. Absence of such monitoring can lead to poor performance of civil service. Lane (2005, p 32) noted that lack of such monitoring of civil service in democracies leads to its poor performance. He attributes this problem to the failure of the people (principal) to monitor the behaviour of civil servants (agents) and enforce performance standards. He suggested that civil service needs to be revamped from time to time through effective monitoring. In the absence

of such monitoring, it would give enormous scope for the agents to behave opportunistically. This may further lead to lack of accountability on the part of civil servants to their political executive as well as to the people.

The researcher used the principal-agent framework in this study to examine the problem pertaining to service delivery and accountability of civil servants to the people. Besides the role of civil servants and politicians in ensuring the success of reforms was examined. It helped the researcher to identify the accountability problems and find out the appropriate regulatory mechanism to address accountability problems. The following sections provide a conceptual framework for the CSR that includes definition of CSR, its objectives, models of implementation, monitoring and evaluation.

1.3.4 Conceptual Framework

This section lays out a conceptual framework for the CSR in general and in India. It includes definition of CSR, its objectives, models of CSR, monitoring and evaluation of CSR.

1.3.4 (i) Definition of CSR

There is no clear definition for CSR. CSR are integral to the public management reforms. Public management reforms are those that aim to bring changes to the structure and processes of the public sector; and to achieve better performance of the public sector (Pollitt and Bouckaert, 2004). This extends to reforming the structure of civil service and processes. CSR are crucial at juncture where civil servants have been viewed as more of ‘public managers’ than that of traditional ‘public administrators’ (Bovaird and Löffler, 2007). It implies restructuring the state and its role. They aim to make civil service *economic, efficient and effective* in its functioning; and transform civil service into a *lean, responsive and accountable*.

1.3.4 (ii) Context of CSR

It is to be noted that the context of introducing CSR in developing countries is different from that of developed countries. While improving inefficient administration is a major reason for introducing CSR in the developing countries; budgetary constraints due to overstaffing of civil service that were the reason for initiating CSR in the developed countries.

1.3.4 (iii) Components of CSR

CSR are about improvement in the management of public sector human resources. Reforms are composed of several elements, such as, planned downsizing, upgrading compensation packages, strengthening institutional capacity to manage human resources, improving the recruitment and retention of employees, and creating better checks on the exercise of managerial authority and accountability (Chaudhry *et al*, 2005).

1.3.4 (iv) Objectives of CSR

CSR aim at bringing back the lost shape and form of civil service. Chaudhry *et al* (2005) has identified the following objectives of the CSR:

- i) Reducing the fiscal burden to the state by controlling the size of civil service;
- ii) Cutting the costs of government operations;
- iii) Improving the performance of civil servants; and
- iv) Restructuring monolithic civil service institutions into a lean, responsive and committed to developmental and social goals; thereby raising the prestige of civil service.

1.3.4 (v) Models of CSR

Implementation of CSR can broadly be categorised into two models: centralised and decentralised models. Countries such as Japan, Korea, Singapore, Germany, France, Netherlands and the USA have centralised implementation of CSR. In this model, government controls ‘manpower’ and monitor the use of power by civil servants to prevent them from abusing authority. Besides, the government can control the input usage in financial and personnel matters such as recruitment, promotion, pay, grading, training and transfers. The centralised civil service systems cannot provide enough autonomy for them to manage their organisations.

Decentralised model of CSR is followed by countries like New Zealand, Australia, Sweden and the UK. By following this model, they aim to restructure civil service into flexible, decentralised and client-responsive organisations. Decentralised mode of CSR focuses on outputs rather than inputs; and allows civil servants to be independent in their decision-making. Decisions can be taken without delay to respond to the local needs. Decentralised system is good at investing civil servants in line positions with decisional autonomy. It puts in place a framework that holds civil servants

accountable to the outputs that they produce and deliver. According to this model, civil servants and politicians can have an agreement (Key Result Agreement) on outputs. Civil servants can be made accountable through performance agreements. Besides, it is also possible to control, coordinate and build capacity for long-term strategic planning.

1.3.4 (vi) Monitoring and Evaluation of CSR

Monitoring and evaluation of CSR depends on the objectives laid out by the government. There are no universal methods of monitoring implementation of CSR. However, from the review of literature, one can find out broad parameters to monitor and evaluate CSR. They are mix of both quantitative and qualitative indicators. The implementation of CSR can be evaluated against the objective of the reforms as mentioned in the following sections:

(a) Control the size of civil service: It is a quantitative indicator. It deals with the steps taken by the government in relation to retrenchment. These measures include civil service census, freeze on recruitment, retirement and termination of service. The indicators of this parameter include the number of posts filled in a year; number of posts reduced in a year; number of posts either retired or terminated.

(b) Cost-cutting: Another indicator to measure the amount of the expenditure cut down by the government. It signifies the performance of state in *cutback management*.

(c) Improved performance of civil service: It refers to the quality of services rendered by civil service in terms of speed, timeliness and relevance. It is a qualitative indicator.

(d) Responsive administration committed to developmental and social goals: This is to do with the effectiveness of civil service. It means achieving organisation's objectives. It is both a quantitative as well as qualitative indicator (Erridge, 2007, p.96).

Having discussed the conceptual framework of CSR, it is imperative to discuss the framework of the CSR in the Indian context.

1.3.5 Framework of Civil Services Reforms in India

Figure 1.1 consists of six major components of CSR. They include six dimensions, such as, structure, recruitment, capacity building, performance and promotion, professionalism and modernity, and accountability.

1.3.5 (i) Structure

Structures are related to the relationship among different departments in delivering services to the citizens. Structural changes to civil service systems imply transforming the rigid and inflexible civil service into simple entity; and reducing layers of administration. It also incorporates rightsizing civil services; and making it lean and efficient. This dimension corresponds to the number of jobs cut down through measures such as, freeze on recruitment, retirement and termination of service.

1.3.5 (ii) Recruitment

Efficiency in civil service is dependent upon the merit-based recruitment. If appropriate recruitment is not in place, performance of civil servants will be adversely affected. Further, the quality of civil servants performance is related to their academic and professional background (Peters, 1995).

Figure 1.1 Civil Services Reform Framework in India



Source: Adapted from the work of Satish (2004), pp.5

1.3.5 (iii) Capacity Building

Building the capacities of civil servants is imperative for effective implementation of public policies. Capacity building refers to ‘the ability of individuals, groups, institutions and organisations to identify and solve development problems overtime’ (Morgan, 1996, p.8). It implies developing a system of coordinated and interdependent activities of the public organisation with broad array of actions and processes required to sustain development. Capacity building is done through training civil service recruits on regular basis-either short or long term as appropriate.

1.3.5 (iv) Performance Evaluation

Performance evaluation helps to know the health of an organisation is currently in; and where it is heading to be in future. Through regular performance evaluation of civil servants, it is possible to identify problems related to performance and suggest solutions to improve in a timely manner. Performance evaluation increases efficiency of civil servants, and through improved performance the government can cut spending and reduce wastage of resources (Bouckaert and Dorreu, 2007).

1.3.5 (v) Professionalism and modernity

Civil servants in India have been either carrying colonial legacy or still following the traditional methods of administration. This is not sufficient to serve citizens in twenty first century; and civil servants have been compelled to transform into a professional and modern civil service. By being professional they are expected to be neutral in their action. Modernity includes adapting themselves to use of ICTs in day-to-day operations i.e. e-Governance.

1.3.5 (vi) Accountability

Accountability dimension includes measures taken by the government to enhance civil servants’ accountability to the political executive as well as to the citizens. These measures enhance a sense of ownership of what they do.

1.4 STATEMENT OF THE PROBLEM

Public image of civil servants in India changed since mid-1970s. Ideals of civil service, such as impartiality, neutrality and integrity have undergone change. There has been an increasing politicisation and the discontent of citizens with civil servants due to latter’s failure to improve service delivery (Seminar, 1973). Rao and Ali (1990) located it in the emerging trends in administrative culture of India. They discuss that the monolithic structure of bureaucracy was divided into two distinct parts. The first

part belongs to some of the ambitious members of civil service who are loyal to the political leadership and became closer to the political power structure. Resultantly, the selection of competent senior officers for the highest positions of responsibility has become a thing of the past. The second group consists of officers who have traditional bureaucratic commitment, yet relegated to the lower levels of administration. They are demoralised in India. Consequently, India has several bureaucracies working side by side with apparent hostility (p. 464). The changing administrative culture has a linkage with Mrs. Indira Gandhi's politics in the last 1960s.

Civil service was unable to implement socialist goals of the Congress Party after its split in 1969. It became part of the political agenda to see that civil service meets the political goals of the government. It was perceived by the Congress party that the neutral administrative machinery is a hindrance, but not a help. Therefore it can't meet the requirements of social and economic change along socialist lines. It compelled Mrs. Indira Gandhi to call for a 'committed civil service'. Resultantly, civil service gained political image despite the fact that civil servants offered only professional advice (Mathur, 2008, p.47-48). Following this, civil service shifted its stance from being professional to loyal. This has been considered a watershed in the trajectory of civil service.

Paranjape (1996) and Sundaram (1997) discussed the need to reform civil service. According to Paranjape (1996), while most business and professional have been changing with changing times, government bureaucracies, by and large, remain the same-hierarchical, insensitive, sluggish and monopolistic. It fails to emerge as an agent of change in the changing socio-economic scenario (p.380). Following the British legacy, Paranjape argued that civil servants in India maintained a distance between the government officials and the public; and focused on having elaborate rules and regulations scrupulously. This however, has curbed the honest and conscientious officials from genuinely committing themselves to the goals of development and social welfare-areas where discretionary powers need to be exercised rather than just a strict implementation of rules and regulations (Ibid, p. 381).

Sundaram (1997) put forward that civil servants at all levels are passing through difficult times. Their credibility is eroding as the public increasingly perceived the growing unholy nexus between politicians, civil servants and criminals. Besides, there has been an increasing criticism of the low level of honesty, transparency and accessibility to administration. The honest and committed civil servants are outnumbered by officials characterised by indifference to public, undue emphasis on procedures and regulations, lack of quality and promptitude, tendency to corruption, and lack of accountability for results. This is further being aggravated by the age-old legal and regulatory systems governing decision making, sanction of funds, award of tenders, approval for expenditure and creation of posts, civil service systems. On the other hand, demoralisation and lack of incentives, political interference and poor work environment add to the phenomenon. The assumption of an executive role by the judiciary in recent years is seen as a symptom of the failure of administration at different levels in ensuring proper and responsive performance of assigned functions, and adherence to the of law (p. 554).

Singh (2000) explicates that segmentary loyalties to one's own kinsman, caste, region, were followed in recruitment, promotion, and routine matters related to bureaucracy. Apart from the horizontal ties, vertical links to factions around men of power make the confusion worse confounded. Due to the traditional work-culture, the needs of the changing conditions of existence are not served. The out-dated and out-of-place assumption behind Weber's model does not stand confrontation with reality on the ground in Indian Context (p. 167). Rao (2002) cited a variety of reasons for a steady decline in the quality of the intake into civil service. According to him, the rigour of the Union Public Service Commission (UPSC) examination has been progressively diluted, in particular the personality test. From about mid eighties, the services have also failed to attract the best brains of the country. The wages of civil servants was lower compared to that of the employees in the private sector. Rewards for high performance are not available in civil service of today. This demotivates the honest, hard working and meritorious officers, who are meritorious in their performance (p. 18-19).

Singh (1998) outlines that politicisation of civil service has tended to erode the qualities of independent thinking and expression of free, frank and fair views by

public servants. It is often asserted that the public servants are rule-bound and considered obstructionist. Civil service had to succumb to political pressures and it was taken advantage by the politicians for their personal gains (p. 383).

It is to be noted that the public image of the bureaucracy has been low in India. A survey conducted as part of the National Election Study 1996, reveals that the bureaucracy and the police were relegated to the last two positions in the index of popular trust in institutions. The survey revealed that out of a maximum score of 100, the Election Commission secured 62, State Governments and Judiciary 59, Local government 58, Central Government 57, Public representatives 40, Political parties 39, Bureaucracy 37 and Police 28 (Aggarwal and Vittal, 2005, p. 15). This indicates the declining credibility of civil service in India.

Rao (2002) contends that punishments mechanism for erring officials has become almost inoperative. For instance, a civil servant enjoys a very high degree of protection under Article 311 of the constitution. He regards this as undue protection; and successive judicial pronouncements have reinforced this protection. The prescribed procedures are lengthy and time consuming and weighed heavily in favor of the official proceeded against. During the proceedings the erring officials can approach the administrative tribunals which can and do grant stay orders. The disciplinary authority has to defend itself in these forums; therefore it tends to avoid getting embroiled in such complicated processes. As a result there has been hardly any penalty for non-performance and dereliction of duty. This proves to be advantageous to a large extent with the erring official (p. 19)

In this context, the role of 'public administrator' has been re-examined. Problems in civil service have become a major impetus for the government to initiate CSR. Several committees have been appointed to study the problems in civil service and suggest recommendations. The idea of reforming civil service is related to rightsizing civil service. The Fifth Central Pay Commission (1994-97) recommended cutting the existing central government staff by 30 percent (Maheswari, 2005). BN Yugandhar committee (GoI, 2003) made an important observation that training imparted to the officers was inadequate. The committee observed that the incentive structure in government is identified to be weak and insufficient; and promotion is not largely

used for motivation. It suggested that competence and performance of civil servants should become a criterion for determining the seniority.

The Second Administrative Reforms Commission (ARC) appointed in 2005 under the UPA –I regime. It was given the mandate to identify the required changes in civil service. Second ARC suggested that reforms would focus on replacing the hierarchies with team work and introducing Key Performance Targets. It suggested a shift from output to outcome mode by urging civil servants to be held accountable for the provision of outputs (Second ARC Report, 2007a).

Civil service is the most important instrument of implementation of public policies. It has not yet adjusted to the new paradigm of governance and continues to act in a mode reminiscent of an era gone by. Despite constituting several committees and implementing reforms performance of civil servants has not improved. A study by Hongkong-based Political and Economic Risk Consultancy Limited, in 2009 revealed that working with Indian civil service is a ‘slow and painful process (Times of India, 2009). Another study by same organisation in 2012, ranked civil servants in India high on the ‘red tape’, that is, 9.21 points out of 10 (Ibid). Besides the raising level of corruption among civil servants has become a major concern. India has been ranked 94 in the Transparency International’s Corruption Perceptions Index for the year 2012 (Transparency International, 2013). Increasing level of corruption and indecisive civil servants seemed to have led to low growth rates and ‘policy paralysis’ (The Hindu, May 2013).

Innumerable committees and commissions have been set to reform it but it remained where it was. CSR are envisaged to protect the autonomy of civil service in its functioning and freeing it from the clutches of political leaders. Efficiency dimension is also added to the rationale of CSR. But reforming civil service remained as one of the foremost challenges of good governance in India today (Das, 2010). Despite the commissioning of several committees to reform civil service in India, its efficiency and capacity to deliver services appear to be minimal. Studies were held by civil servants (Das, 1998) and Government of India (2010) to ascertain the views of civil servants on the CSR. Studies on civil service by the Government, ARC and independent agencies provide a single perspective (top-down); and appear to miss a

holistic perspective that comprises of views of the diverse perspectives of stakeholders. Reforms mean different things to different stakeholders. So the researcher attempted to examine CSR from the perspective of diverse stakeholders. The examined the changing role of state and civil service in post-globalised era.

The study attempts to fill this gap by examining Indian State's policy on civil service and implementation of CSR; and ascertaining views of stakeholders on CSR. The study examines the changing role of Indian state and civil service; state's policy on CSR; collect the views of different stakeholders on CSR and identify the issues surrounding it.

1.5 GENERAL OBJECTIVE

The general objective of the study is to examine the Indian State's Policy on CSR and understand perspectives of diverse stakeholders on CSR.

1.5.1 Specific objectives

Specific objectives of the current study are as follows:

- (i) to understand and describe the changes in the role of Indian state vis-a-vis civil service in post-globalised era;
- (ii) to examine the state's policy on CSR in India; and
- (iii) to understand the perspectives of stakeholders on CSR in India.

1.6 RESEARCH METHOD

The method to elicit information on certain aspects of the subject is mentioned here under:

1.6.1 Pilot Study

Researcher conducted pilot study in the month of June, 2014 in Delhi, Hyderabad and Jaipur. Informal conversations took place with the respondents, including civil servants and people to determine the sample for study. In the process of interacting with the respondents, it was observed that respondents from each category are more or less sharing similar views on the issues.

1.6.2 Study Design

Researcher adopted purposive and convenient Sampling. Sample is drawn from Assam, Chhattisgarh, Delhi, Himachal Pradesh, Karnataka, Maharashtra, Rajasthan, Telangana, and Uttar Pradesh. The researcher has to accept these responses from the

sample respondents based on the accessibility of the respondents (Marshall, p.523). They fit into purposeful sampling in the sense that they were selected to fulfil the objectives of the study. These samples were selected to elicit the in-depth information (Schatzman and Strauss, 1971 and Patton 1990 as cited in Coyne, 1997, p.624). There is no agreement on scholars about the required sample for qualitative sampling. For instance, Crosswell (as cited in Marshall et al, 2013) recommended at least 20 to 30 interviews for qualitative research study. Initially a sample of 58 was planned, but only 27 respondents have agreed to be interviewed. Table 1.2 furnishes the details.

Table: 1.2 Sampling Size

S. No	Category	Proposed Sample	Actual Sample
1	IAS Trainees	10	03
2	IAS Officers	10	05
3	Retired IAS Officers	10	03
4	Allied Officers (IFS-4, IPS-2, IRTS-1)	10	07
5	Civil Service Aspirants	10	05
6	Member of UPSC	01	01
7	Second ARC Member	01	01
8	Civil Society Organisation Member	05	01
9	Policy Expert	01	01
	TOTAL	58	27

1.6.3 Data Sources

Primary data is collected from civil servants and other stakeholders that include member from civil society organisation (CSO) member of recruiting agency and policy expert. The researcher consulted secondary sources as well that includes books, journals, reports by Government (of different countries on civil services), and reports, conference proceedings besides web resources.

1.6.4 Data Collection Methods

1.6.4 (i) Primary Data

Primary data was collected by interviewing IAS officers and allied service officers, civil service aspirants, member of a CSO , member of UPSC, former member of the Second ARC and policy expert.

In-depth- Interview

The researcher prepared interview guide after conducting the pilot study. He interviewed the respondents in depth to get their detailed views on civil service and how to go about the reforms. Some of civil servants showed interest to be interviewed. They provided additional information by expressing their views freely. Interview with the respondents proceeded along the interview guide. Researcher used the audio recorder to record the interview; and where it became difficult to record the voice notes were taken.

Expert Interview

Expert interview is carried with a prominent person who is well-informed about the CSR. The expert expressed his views in a freewheeling interview. This afforded an opportunity to the interviewer to obtain a broader view of the terrain of the subject.

1.6.4 (ii) Secondary data

Secondary data was collected from the relevant books on CSR, articles in peer reviewed journals. For the purpose of reviewing literature, the researcher consulted various reports of the governments that include GoI, UK, USA, Ghana, and Ethiopia. Besides, the researcher culled data from the non-government bodies such as, World Bank, UNDP and African Development Bank. The researcher used internet extensively to obtain the recent data. The views of some consultants are also gathered.

1.6.5 Analysis Plan

The researcher adopted thematic analysis, a method by which data was read and re-read again. By the identification of words that are repeated analysis is attempted and the most important issues in relation to the objective of the study get tested using Open Coding. Analysis is done using Axial Coding to arrange data into themes (Braun et al, 2006).

1.7 Scope of the Study

CSR cut across many aspects and research area is broader in scope. However, it is confined to following parameters: *structure, recruitment, capacity building, performance and promotion, professionalism and modernity and accountability*. Respondents are drawn from few categories of the stakeholders. As stated, study covers the IAS and allied officers. Researcher had to interview few respondents from each category, in some cases one respondent only. The study covers the period from

2004 to 2014 with regard to CSR and it did not take into consideration the gender dimension.

1.8 Significance

This study potentially contributes to the existing knowledge on bureaucracy in general and focuses on civil service in particular. It attempts a comprehensive understanding of CSR from the view point of multi-stakeholders that include civil servants, people, and member of recruiting agencies. It provides an overview of what CSR. Finding of the study might help the government to reduce the gap between intended reforms and expected outcomes.

1.9 Limitations

CSR are a vast area of research in public administration. It is difficult to obtain the views of diverse stakeholders on CSR. Geographical limitations were faced by the researcher in selecting and accessing the respondents. It was difficult to take appointment from civil servants as they were occupied with their work. Several attempts were made by the researcher through email and telephone to contact civil servants and take their appointment.

1.10 Chapterisation

The thesis is divided into the following 7 chapters as shown below.

- Chapter -1 Introduction
- Chapter -2 Civil Services in India since independence: An Overview
- Chapter -3 Administrative Reforms in India: A Critical Assessment
- Chapter -4 Civil Service Reforms: A Global Perspective
- Chapter -5 Civil Service Reforms in India: An Overview
- Chapter-6 Results and Discussion
- Chapter-7 Summary and Conclusions

1.11 Summary

This is an introductory chapter. Civil service is one of the most important institutions of governance. That enjoyed the status of the ‘social guardian’ up until mid 1960s. With times, the image of civil servants has changed as people began perceive to them to be self-interested and inefficient. Civil service has been viewed as a problem rather

than a solution. The onslaught of neo-liberal policies and globalisation has caused changes in the role of state. Civil service had to adjust to these changes in governance. The state is expected to play a facilitator role in place of monopoly. The role of civil service is expected to facilitate globalisation and encourage private sector. CSR have been introduced in developing countries those countries under the aegis of SAP. Donor agencies such as World Bank and IMF are instrumental to pushing for reforms. Similar attempts were made in India to reform civil service through setting up of several committees since independence. Despite these efforts, the reforms seem to yield incremental results in contrast to the expectations. The researcher undertook the study to examine the policy on CSR and different perspectives of stakeholders on it.

Chapter -2

CIVIL SERVICES IN INDIA: AN OVERVIEW

2.0 Introduction

This chapter provides an overview of civil services in India. It is divided into four sections. Section 2.1 traces the origin and evolution of civil services in India, beginning with the Mauryan Empire to the former Indian Civil Services (ICS). While doing so, it outlines the salient features of civil service during its evolution over a period of time. Particularly, it discusses the nature of civil services during the British period. Section 2.2 deals with structure of civil services in the post-independence period. It explains the definition of civil services, characteristics, hierarchy of IAS officers and their salary structure. Section 2.3 discusses the role of civil services in ensuring good governance in India. Section 2.4 attempts to capture the administrative culture of civil servants, particularly that of IAS since 1970s. A special reference is made to the politicisation of civil servants and the discussion surrounding it.

2.1 EVOLUTION OF CIVIL SERVICES IN INDIA

This section traces the origin and evolution of civil services in India. It begins with the definition and evolution of civil services from Mauryan period up to the British period.

2.1.1 Definition of Civil Service

The term 'civil service' was originally used to distinguish civil officials from the military officials working for British government during the nineteenth century. Krishnan and Somanathan (2005, p.265) have classified, civil servants in India as per the criteria shown below:

- a) The employees who draw their salary and allowances from the Consolidated Fund of India or the Consolidated Fund of the states;
- b) Those who draw their pay and salaries from the organisations that are funded either partially or fully from Consolidated Fund of India or that of the respective states; and
- c) The last category consists of those who carry out the functions of the 'state' independently of the sources of their pay and allowances.

According to this definition, civil service includes the employees of local bodies, telecom and water utilities, public sector undertakings, and statutory bodies like the Employees State Insurance Corporation. It covers the employees of the industrial

undertakings. The state represents the employees of both the Government and Parliament of India. In nutshell, definition of civil service covers the employees of all the agencies of the government including police and members of the paramilitary forces, except the judiciary and members of the armed forces.

2.1.2 The Mauryas (BC 322-185)

One should note that origin of civil services in India can be traced to the Mauryan Empire. Mauryas ruled the country between BC 322-185. The system of civil services during the time of the Mauryan Empire was elaborate, with an array of offices stretching from villages to the central departments. Each department was manned by civil servants with specific duties and responsibilities. The emperor was at the top of the Mauryan administrative structure which consisted of *mantrins* (the highest advisers to the emperor) and the *amatya* (civil servants). Based on their qualifications, Amatyas were categorised into three folds: the highest, intermediate, and the lowest (Das, 2013, p.1). There were two key civil servants: the *samahartr* and *samnidhatr*. The *samahartr* was in charge of preparing the annual budget, keeping the accounts, and collecting the revenues. It was his job to ensure fiscal balance and see that expenditure did not exceed the revenues. On the other hand, the *samnidhatr* was to keep the record of the taxes that came in from various parts of the empire. He was in charge of the stores, and of the actual revenue and other income received by the government.

The government was run by many departments, each headed by a senior civil servant. The following officers were some of the prominent civil servants during Mauryan period. *Panyadhyaksha* is the superintendent of trade, and headed the commercial department dealing with internal and external trade. *Sitadhyaksha* is the superintendent of agriculture, who looked after the state farms, government lands, and regulation of land belonging to individuals. *Rathadhyaksha* is the superintendent of chariots and the head of the defence department. *Swarnadhyaksha* is the superintendent of mines, who looked after the mining of various minerals such as gold, copper, iron, and diamonds. *Vanyadhyaksha* is the superintendent of weights and was the head of the weights and measures department. *Sutradhyaksha* was the superintendent of textiles, and was in the charge of textile factories (Ibid, p.3).

Appointment of civil servants was rigorous during Mauryan period. Kautilya, advisor to Chandragupta Maurya, suggested the latter to focus on a professional bureaucracy based on merit rather than caste considerations. The emperor sees loyalty and integrity of candidates as the vital qualifications for appointing them as civil servants. He prescribed several tests for the purpose, such as, *dharmopadha* (to test the sense of justice), *arthopadha* (to test greediness), *bhayopadha* (to test courage), and *kamopadha* (to test self-control). The candidates had to possess the qualities that were tested through those tests. Corruption or embezzlement was not tolerated by the Mauryan emperor, and such offence was proclaimed throughout the town or village. A corrupt civil servant was treated with heavy penalties. He would face humiliation in the public places, with his head shaved smeared with cow dung, ashes and brickbats. A more serious case of corruption would attract death penalty caused by official torture (Kautilya as cited in Rangarajan, 1992, p.303).

The Mauryan administration had a system of secret agents whose services were used for checking on the honesty of civil servants. There were two types of secret agents: the *samstha* who was stationed in a single place, and the *sanchara*, who moved from place to place. These secret agents disguised themselves as monks and collect intelligence about whether civil servants were honest or dishonest (Ibid, p.6). Thus civil service system during the Mauryan Empire was elaborate and strict in rendering its services.

2.1.3 Delhi Sultanate (AD 1206 to 1526)

After the Mauryan Empire disintegrated, administration was in a state of constant change for a period of 1500 years. A number of rulers came and ruled, but none of them could leave any remarkable administrative system behind. Delhi sultanate can be considered as a conquest state, because the rulers were frequently engaged in establishing their control over newly-conquered territories. The ruler appointed his followers as civil servants, and put them in charge of these territories. This system was known as *iqta* system (Vastava, 1966, p.132). The rulers saw that civil servants were under their control.

Civil servants (*iqtadars*) were granted lands with certain conditions. Firstly, those who were granted land had to pay a part of revenue collected from the land to the ruler. Secondly, they had to maintain a specified number of troops for the ruler to be

deployed at the time of war. In addition to this, civil servants also performed administrative functions such as settling disputes. When there were no wars, the ruler took time to review the collection of revenue, the state of administration, and the mobilisation of troops. Civil servants in the Sultanate thus came to exercise political, judicial, and administrative powers. Ala-ud-din Khilji made some changes in the *iqta* system by cancelling all grants made by the previous sultans and giving fresh grants. However, one of the later rulers of the sultanate, Firuz Shah Tuglaq, returned all these lands to their previous holders. In the process, it came to be recognised that the *iqta* system had become hereditary.

The head of the civil administration in the Delhi Sultanate was the wazir, who supervised collection of revenue, checking of accounts, and regulation of expenditure. There were three other senior civil servants—one was the head of military, the second was the head of interstate relation, and the third, the chancellor, who was in the charge of spies stationed throughout the sultanate reporting on the administration of the *iqta* holders (Das, 2013, p.8).

2.1.4 The Mughals (AD 1526 to 1857)

During the Mughal Empire, the administrative structure consisted of seven categories of civil servants. They are as follows. The *sipah salar* was the commander of the army, and also was a mansabdar who controlled the largest body of troops in the area. He was in charge of the provincial affairs and was responsible for maintaining peace and order. The *faujdar* is a subordinate of the *sipah salar*. He commanded the largest body of cavalry, and was in charge of controlling the cultivators and monitoring the performance of local revenue collectors and jagirdars. The *quazis* were responsible for administration of justice. The *kotwal* was the chief officer in the urban area, who maintained order in the cities. The *amal-guzar* was the chief financial officer at the sub-provincial level, in charge of collection of revenue (Ibid, p.13).

The Mughal civil services were based on the mansabdari system. Every mansabdar was given a mansab (a rank of command), which determined his position in civil service. The mansabdari system was graded across thirty three categories of command, ranging from a commander of 5000. A panch-hazri or the commander of 5000 was a top civil servant. A pool of civil servants was readily available for civil or military deployment. The Mughal rulers followed the *jagirdari* system. This was a

system of assignment of land revenues to civil servants in lieu of the payment of salary. Under this system, the civil servant was given a *jagir* (land), after presenting his troops for inspection. By the seventeenth century, the jagir system had become the accepted way for the ruler to reward the loyalty of his civil servants.

The Mughal rulers controlled their civil servants in several ways. The rulers travelled widely and frequently so that they could keep a watch over their civil servants. Of their 200 years of rule, the Mughal rulers spent almost 40 per cent of their time on tour. Civil servants, on their part, were expected to attend the imperial court regularly. Mansabdar were required to visit the imperial court on a number of occasions—after each change in office, after a change in jagir positioning, on being promoted, and on most days of special celebration. For mansabdar, advancement in their career depended as much on putting in regular appearances at the imperial court as on the quality and value of the gifts they presented to the Mughal rulers.

Mughal emperors stationed spies in cities and towns throughout the empire. These spies were responsible for keeping the emperor informed of the doing of the mansabdars. No civil servant was allowed to keep his jagir or stay at his post for more than three or four years. This strategy of the Mughal rulers to control their civil servants was successful. But it had serious social and economic consequences because the jagirdar system led to unlimited exploitation of the people (Ibid, p.16). It can be summed up that prior to the establishment of British civil service in the country; civil servants were loyal to the emperors and worked according to their whims and fancies. The nature of civil service was feudal, exploitative and coercive.

2.1.5 British India (AD 1858 to 1947)

After the end of the Mughal Empire, the British began to rule India through East India Company. East India Company set up factory towns in several locations in coastal India during 1612–1757. This was done with the consent (and implied non-interference) of India's native states. By 1765, the term civil servant started appearing in the records of the East India Company to describe its officials, and to distinguish between those engaged in civil and military activities. During the British rule, civil service evolved gradually which laid a strong foundation to civil service system in the post-independence period. It was considered as a steel frame. The British rule was maintained partly on the basis of the consent of the many sections of India. The social

base of the colonial regime was the zamindars and upper classes- who are loyal to the British rulers and received favours from them. These were the people who were inducted into the administration in exchange for their loyalty. The British people were successful enough in ruling the country by creating an image of ‘mai-bap’ (father and mother of people) for civil servants. The ICS was seen as a ‘heaven-born service’ (Bipan Chandra *et al*, 1989, p.489).

District collector’s primary duty was to collect revenues. The district collector was responsible to a hierarchy of British bureaucrats above him, and supervised the work of an array of Indian subordinates below. These subordinates were responsible for the actual work of revenue collection, and sometimes able to manipulate for their own advantage (Metcalf and Metcalf, 2006, p.60). It is to be noted that almost all the young people who joined civil service of the company came to India with the single objective of amassing of wealth as quickly as possible. The British civil servants considered India as a gold mine, and made huge money through corrupt means. For instance, it was customary in colonial India to offer money or expensive gifts to civil servants to get favourable orders. Corruption became such an issue in England that the British parliament had to step in and pass the Charter Act of 1793, asking the directors of the company to take on oath that they will not make any nomination in exchange for gifts and money (Das, 2013, p.13-14). The rule of the East India Company was exploitative by its officials. Meanwhile, several reforms had been attempted to the British civil service which are discussed below.

2.1.5(i) Macaulay Committee

The Act of Parliament in 1853 declared that ‘merit’ is the only basis for selection and appointment of civil servants to the East India Company. The competition to enter civil services was made open to all the meritorious candidates. The Act, however, allowed the directors of the company to make nominations till April 1854.

The British government appointed a Committee headed by Lord Macaulay, to give advice on the subjects for the examination for recruiting civil servants. The committee in its report submitted in 1854, had made three recommendations. The first recommendation was about the age of the candidates. It recommended a minimum age of eighteen and a maximum age of twenty-three as eligibility to join civil services. The second recommendation was related to the subjects for the examination.

The committee recommended the subjects for examinations such as, English language and literature, history, mathematics, natural science, moral and political philosophy, Sanskrit, and Arabic (Ibid, p.16).

The committee's third recommendation was that successful candidates should be trained for a number of years before they assumed duties. It recommended a training programme during which civil service trainees were required to study four subjects: Indian history and geography, law finance, and one Indian language. At the end of the training period, they had to take a second examination. While the position in the first examination entitled them to choice of their provinces, the position in the second examination gave them their rank in the service (Ibid, p.22). Macaulay committee's recommendation of putting a merit-based system in place continues to the present day. Thus, Macaulay can be considered a trail-blazer in his attempts to reform civil service in the British India.

2.1.5(ii) Indian Civil Service Officers

As has been mentioned, appointment to the ICS was totally based on merit. Of those who entered the ICS, more than two-third were university men, and more than one-third were graduates. The largest number of civil servants was graduates in universities in England, particularly Oxford University followed by Cambridge; and most of them had a first-class honours degree. In addition to this, the size of the ICS officers was very minimal with just 1032 officers in 1931. The strength of the latter in British India in 1931 was one million for the total Indian population of 353 million. The ICS numbers just accounted for only 0.001 per cent of all the government servants in British India (Das, 2013, p.17).

Although the ICS was smaller in size, its officers occupied all the important positions in the administration. These positions were reserved for them in the districts and in secretariats both at the provincial and central levels. District was the basic unit of administration in colonial India. About 50 per cent of the ICS officers worked at the district level. The officer in charge of a district was known by various designations such as the district magistrate (because of his magisterial duties), the collector (because he allocated government revenues), the District Officer (because he was the chief coordinator in the district), and the Deputy Commissioner (in the backward areas). The officer exercised a large number of powers as the head of the magistracy,

and local authorities. It is to be observed that this kind of arrangement was deliberately designed by the British in order to maintain their imperial interests (Ibid, p.17).

The popular image of the civil servant was one of a courageous, self-confident officer who had an aura of command, doing his duty in remote rural district, and a person capable of remarkable self-discipline and hard work. The ICS officers had an intellectual aura and supposedly knew everything that there was to know. That was why an ICS officer was called the *sab-jaanta* ICS (everything is known) by the people (Ibid, p.20). The British governed the country with just about 2000 ICS officers. In the last decades of British rule, this elite corps of officers contained a sprinkling of Indians many of whom served the country with great distinction (Rao, 2002, p. 11). In all respects, the ICS was considered to be an elite service.

It can be summed up that the origin of civil service system can be traced to the Mauryan period. The Mauryan Empire had an elaborate civil service system, with the village as a basic unit of administration. The recruitment of civil servants was based on their loyalty and integrity to the king. After the downfall of Mauryan Empire, the Delhi Sultanate could not provide a stable civil service as the rulers focused mainly on conquering the neighbour territories and maintaining it. Civil servants were largely assigned the task of maintaining the land occupied by the rulers. They enjoyed their position at the mercy of the Sultans. In contrast to this, the Mughal Emperors were able to provide stable civil service through mansabdari system. Civil servants were properly ranked and given the duties accordingly. They were paid salaries from the land revenue collections. However civil service was largely feudalistic and coercive. The British began to rule India through the East India Company by expanding their commercial ties with the provinces of India. They recruited civil servants to maintain their imperial interests. The ICS Officers played a pivotal role in smooth functioning of the British administration in India. Although 'merit' was the criterion to select civil service, the officers still have to work in the interests of the colonial masters. The ICS was small in size, yet commanded powerful positions at the provincial and district levels. Macaulay Committee's recommendation of 'meritorious civil servants' is still being followed in India. One can find British legacy in the current Indian

administrative system till date. The next section deals with civil services and their structure in the post-independence period.

2.2 CIVIL SERVICES IN POST-INDEPENDENCE PERIOD

The following sections discuss the status of civil services in the post-independence period. It includes characteristics of civil services in India, classification of civil services, recruitment of IAS officers.

2.2.1 Constitutional Status of civil services

After India became free from the colonial rulers, she had to face severe administrative crisis in many respects. As partition of the country witnessed country's division, and so was division within the pool of civil servants. Civil servants were given an option either to serve India or Pakistan, or seek retirement. Then most of the Muslim and British officers left India abruptly, resulting in the depletion of civil service cadres. For instance, the ICS in the pre-independence period was a total strength of about 1100. By the end of August, 1947 it was left with just 422 officers at hand (GoI, 1947, p.13). It resulted in the severe human resource crisis to young Indian State. It was difficult for a small number of civil servants to discharge the welfare-related duties to the citizens. There arose a need for recruiting civil servants and expand the base of civil services to cater to the needs of the free India.

Sardar Vallabhai Patel, popularly known as *The Iron Man of India*, cogently argued that India should have an organized civil service on the pattern established by the British. According to him, civil service is required not only for administering the vast country, but also to act as an instrument of governance in a multi-party democracy. During his tenure as the Deputy Prime Minister, he was instrumental in getting the *All India Service Act, 1951* passed in the parliament. He treated civil servants as partners with him in the task of administration (Krishna, 2006). Accordingly, the institution of civil service was created under Article 312 of the Constitution of India. Civil service draws its functions, powers, rights and duties from the constitution. Article 312, further empowers the Raj Sabha (Council of States) to create an All India Service, if it is necessary and expedient. This is done with its declaration by a resolution, supported by not less than two-thirds of members present and vote (Basu, 2013, p.409). Thus the institution of civil service has a formidable constitutional base.

2.2.2 Classification of Civil Services

An important feature of civil services system in India is its classification based on the concept of 'service'. Under this concept, civil service posts are grouped into distinct homogenous cadres under a common service named on the basis of specific functions attached to these posts. Civil services can be classified under three heads: Central Services, All India Services (AIS), and State Civil Services. They have been discussed below.

A. Central Services

The Central Services function under GOI. These services administer subjects that are assigned to the union government in the Constitution of India. These are subjects like post and telegraphs, customs, and central excise duty, income tax, telecommunication, and so on. Central services can be further categorised into (a) non-technical services, (b) technical services, (c) health services, (d) railway services, (e) para-defence services, and (f) central secretariat services.

B. All India Services (AIS)

As has been mentioned, the Constitution of India provides for the creation of AIS. These are common to both the central and state government. There are three such services, namely, the Indian Administrative Service (IAS), the Indian Police service (IPS), and the Indian Forest Service (IFoS). Originally, the Indian constitution had mentioned only two services belonging to the AIS, namely the IAS and the IPS. Subsequently, the IFoS was constituted as an All Indian Service on 1 July 1966. The constitution also mentions an all India Judicial Service, which has not yet been formed. A brief discussion on the services in AIS is follows:

(i) Indian Administrative Service

IAS was formed in the year 1946. IAS is the successor to the former ICS. It is the most important among all the services in the country, and considered to be the 'steel frame' of the British raj. Its importance emanates partly from the advantage enjoys over other civil services with regard to pay scales and faster promotions, and partly from the job content of the positions that IAS officers hold. The IAS is a mandarin type of service similar to that of Britain, France, and Japan i.e. the officials are selected on the basis of an open competitive examination. However, the IAS differs from civil services in those countries in so far as the mobility of the officers is concerned. For instance, the scope of functioning of IAS and their movement across the ministries is wider than that of mandarin in the counterpart. The IAS officers not

only work at various levels of government in central government, state government, local bodies, and public sector undertakings but also move across ministries and functions (Das, 2013, p.32).

Once the appointment of the IAS officers is done, the latter are allotted to serve a particular state (Cadre State). It is in this state they specialize and learn the language of the state, customs, law, and so on. All their postings in the field such as in the subdivision, district, etc., are in the state. However, part of their career is usually spent in the central government. Key positions (called cadre posts) in the state government are reserved for IAS officers. It means that these posts can be held only by IAS officers. This is a deliberate feature of the All India Service system intended to promote quality, impartiality, integrity, and all-India outlook. Thus the secretaries in charge of departments and the chief secretary (the head of civil service in the state government) are always IAS officers (Das, 2013, p.33). A detailed discussion on the functions, salary structure and staffing of the IAS officers is as follows:

(ii) Indian Police Service

IPS succeeded the Indian Police (IP) which constituted the top police service in British India. Like IAS, IPS is also a mandarin civil service in the sense that its officers are recruited through an open, competitive examination. Like the IAS officers, IPS officers are allotted to a state cadre on their appointment to the service. In the state government, key police positions are declared as cadre posts, signifying that these posts can be held only by IPS officers. For example, the senior most assignment like the Inspector General of Police (IGP) and the Director General of Police (DGP) (the head of the state police department) are designated as cadre posts of the IPS (Ibid, p.34).

(iii) Indian Forest Service

The IFoS was the only all India service to be created in independent India. The main mandate of the service is the implementation of the National Forest Policy which envisages scientific management of forests and to exploit them on a sustained basis for primary timber products⁵. Like in the IAS and the IPS, the officers of the IFS are selected through an open, competitive examination held on an all India basis. Unlike civil services Exam (CSE) which is common for both IAS and IPS, UPSC conducts a

⁵ . <http://ifs.nic.in/>, viewed on 19 May, 2014.

separate exam to recruit officers to the IFoS. The career pattern of the IFoS officers is very similar that of the IAS and the IPS. They are allotted to a particular state cadre where they specialize and learn the local language. They start their career in the forest divisions and are promoted progressively to higher responsibilities in the state forest departments. Some forest officers are sent on deputation to work in prestigious national forest organisation. Certain important posts in the forest department are designated as cadre posts which only officers of the IFS can occupy. Such cadre posts typically include Chief Conservator of Forests and the Principal Chief Conservator of Forests (the head of the state forest department) (Ibid, p.35).

C. State Civil Services

State Civil Services function only under the state governments. They include various services which perform different administrative functions of their governments. These services administer subjects allocated to the states in the constitutions; implement laws made by the state legislatures, and on occasion, certain central laws where they are so authorized. The officers of the state civil services have their duties confined to the territories of their respective states (Ibid, p.35). Some of the state civil service officers are promoted to AIS like the IAS, IPS, and IFoS. According to the present system, one third of the All India Services are filled by promotion from the state civil services. It takes about eight to twenty-five years for the state civil service officers to get promoted for AIS, but there is wide variation across states. It is to be noted that both the central services and the state services are further classified into groups A, B, C, and D, based on their roles, ranks, and responsibilities.

Group A, B, C, and D categories

Civil service, both in the GoI and the state government, is categorised into four groups: Group A (which includes the AIS and the central services), Group B, Group C, and Group D. The classification is based broadly on the rank, status, and degree of responsibility attached to posts. The Sixth Pay Commission recommended that there should be no further recruitment to Group D and that all the existing pay scales in Group D should be upgraded to Group C. Accordingly, all the existing incumbents in Group D were upgraded to Group C. At the time Sixth Pay Commission recommended the abolition of Group D and upgrading of Group D posts to Group C, there were 9.7 lakh sanctioned Group D posts in the central government. Out of these sanctioned posts, 8.6 lakh were filled up. Fifty-nine per cent of these posts were in the

Ministry of Railways and 18.5 per cent were in the civilian section of the Ministry of Defence (Das, 2013, Ibid, p.37). Having seen the classification of civil services, it is pertinent to discuss the characteristics of civil services in India.

2.2.3 Characteristics of Civil Services

A United Nations (UN) study in the late 1950s outlined the essential ingredients of a good civil service. According to this study, a good civil service system is based on recruitment of meritorious candidates by an independent and autonomous body with full autonomy. The recruits should be adequately trained. Besides, they should have opportunity to operate in an environment where performance is recognised and outstanding performance properly rewarded. There should be adequate provision for career advancement. Civil servants should be politically neutral, capable of giving independent objective professional advice to the politicians. They should enjoy a reasonable degree of security and protection from undue political interference. They should attach paramount importance to the principles of equity, justice, total impartiality, administering the system in a fair and equitable manner while ensuring that rule of law prevails. It is to be noted that Indian civil service system, by and large, have had almost all requirements outlined by the UN study. Particularly, civil service system in India has the following characteristics: *impartiality and neutrality, integrity; and adequate capacity and knowledge*. The IAS and IPS have been hailed as effective instruments in establishing and running a system of governance in the entire country based on rule of law (Rao, 2002, p. 10).

In the subsequent sequent sections, hierarchy and salary structure of IAS have been discussed.

2.2.4 Recruitment of IAS Officers

Recruitment is a critically sensitive process for the following reasons. Firstly, the efficiency and success of civil services systems depend upon the effectiveness of recruited civil servants. Secondly, they provide stability to the state and contribute to the future of the nation (Pierre Racine, as cited in GoI, 1976). Thirdly, recruitment is a once-for-all process. Once they enter into the service they cannot be removed from the job except under the provisions laid down (Maheswari, 2005). Therefore, recruiting the right candidates with outstanding ability and potential; bright and efficient candidates into civil service is important in the twenty first century.

Recruitment of IAS officers is an elaborate and long-term process. Civil services examination is considered one of the toughest examinations in the world. It takes almost one year to complete the process of recruiting an IAS officer. The candidates who possess a degree of any of the universities are eligible to apply for civil service examination. The recruitment takes place in three stages: preliminary examination, main examination and interview. The three phases have been discussed below.

2.2.4(i) Exam Pattern

(a). Preliminary Examination

Civil services Aptitude Test (CSAT) is the preliminary examination held by the UPSC, once every year (usually in the month of May), in accordance with the rules published by the Department of Personnel and Training (DoPT). Earlier it was called as Civil Services Preliminary examination. It is one of the most competitive examinations in the country. For example, in year 2008-09, approximately 7 percent of the candidates, who appeared for civil services (Preliminary) Examination, could qualify for appearing in the Main Examination.

CSAT shall comprise of two compulsory Papers of 200 marks each and of two hours duration each. Table 2.1 laid out the new pattern of preliminary examination on different parameters like marks, questions, marks per question, time, negative marking.

Table 2.1 New Pattern for Preliminary examination (from 2011)

New Pattern(from 2011)		
Name of the examination	Civil Services Aptitude Test	
Paper	Paper I	Paper II
Marks	200 marks	200 marks
Time	120 minutes	120 minutes

Source: http://www.time4education.com/info_csat.asp, accessed on 23 April, 2014

Note (**): In Paper-2, the candidate had to choose one optional paper (out of 23 subjects). For Mathematics and Statistics, the number of questions was 100, while the number of questions for any of the remaining 21 optional subjects was 120.

CSAT Syllabus⁶

CSAT has two papers: General Studies (GS) and General Ability Test. CSAT was first time conducted in 2011. There is no sectional cutoff. Marks for both paper I and paper II are combined to select candidates for the Mains exam.

CSAT General Studies Paper 1 Syllabus

CSAT Paper I: 200 Marks; Duration: Two Hours; Number of Questions: 100

Syllabus for the GS paper consists of the following contents:

1. Current Affairs: Events of national and international importance
2. History of India and Indian National Movement
3. Indian and World Geography - Physical, Social, Economic geography of India and the World.
4. Indian Polity and Governance – Constitution, Political System, Panchayati Raj, Public Policy, Rights Issues, etc.
5. Economic and Social Development – Sustainable Development, Poverty, Inclusion, Demographics, Social Sector Initiatives, etc.
6. General issues on Environmental Ecology, Bio-diversity and Climate Change (no subject specialization required)
7. General Science

The following provides an analysis of the topic coverage in CSAT for three consecutive years.

Table 2.2 CSAT Paper I Analysis

Topic	2011	2012	2013
History and Culture	13	20	15
Economy	18	12	18
Polity	17	25	18
Geography	11	11	14
Environment and Bio-diversity	22	23	22
Science and Technology	19	9	13
Total	100	100	100

⁶ . <http://www.upscsyllabus.in/cse/csat-syllabus>, viewed on 12 July, 2014

CSAT General Ability Test Paper 2 Syllabus

CSAT Paper II: 200 Marks; Duration: Two Hours; Number of Questions: 80

The CSAT General Ability Test Paper-2 will consist of the contents

1. Comprehension
2. Interpersonal skills including communication skills
3. Logical reasoning and analytical ability
4. Decision making and problem solving
5. General mental ability
6. Basic numeracy (numbers and their relations, orders of magnitude etc.) (Class X level), Data Interpretation (charts, graphs, tables, data sufficiency etc. - Class X level)
7. English Language Comprehension skills (Class X level)
8. Questions relating to English Language Comprehension skills of Class X level (will be tested through passages from English language only without providing Hindi translation).

Marking Scheme: Total 80 questions will have 200 marks, thus each question is of 2.5 marks. There is a negative marking of 33% or 0.83 marks. Decision making section doesn't have any negative marking.

The following table 2.3 shows the trends in the coverage of contents in Paper-II

Table 2.3 CSAT Paper II Analysis

Topic	2011	2012	2013
Basic Numeracy	13	3	19
General Mental Ability	15	16	12
Decision Making & Problem Solving	6	7	6
Analytical Ability & Logical Reasoning	10	14	12
Comprehension (Both English & Hindi)	27	32	23
English Language Comprehension Skills	9	8	8
Total	80	80	80

(b). Main Examination

The candidate who passes the CSAT will be eligible to appear for the main examination which consists of a written examination. Usually, the Mains examination will be held in the month of October. It will consist of 9 papers, of conventional essay type. Out of these 9 papers; the first two papers are only qualifying in nature.

The following table will depict the contents of the syllabus covered in Mains examination prior to 2013 pattern.

Table 2.4 Previous Main Examination Pattern

PAPER	SUBJECT	MARKS
Paper-A	Any one of the Indian languages to be selected by the candidate from the Languages included in the eighth schedule to the constitution (Qualifying Paper).	300
Paper-B	English(Qualifying Paper)	300
Paper-I	Essay	200
Papers-II, III,	General Studies (2 papers)	600 (300 marks for each of the two papers)
Papers-IV, V, VI & VII	Any two subjects to be selected from the list of optional subjects. Each subject will have two papers. Thus, a total of four papers	1200 (300 marks for each of the four papers)
Interview		300
Total (Excluding the marks obtained in the qualifying paper)		2300

Source: http://www.time4education.com/info_csat.asp, accessed on 23 April, 2014.

The above pattern of mains examination has been changed from 2013 as shown below:

Table 2.5 Current Main Examination Pattern

PAPER	SUBJECT	MARKS
Paper-I	Any one of the Indian languages to be selected by the candidate from the Languages included in the eighth schedule to the constitution (Qualifying Paper)	300
Paper-II	English(Qualifying Paper)	300
Paper-III	Essay	250
Papers-IV , V, VI and VII	General Studies (4 papers)	1000 (250 marks for each paper)
Papers- VIII and IX	One subject to be selected from the list of optional subjects. (2 papers)	500 (250 marks for each)
Interview (Personality Test)		275
Total (Excluding the marks obtained in the qualifying paper)		2025

Source: UPSC Notification for Civil Services Examinations, 2014.

(c). Interview

Candidates who obtain a certain minimum qualifying marks in the written part of the Main Examination will be called for an interview (Personality Test). The number of candidates to be called for interview will be about twice the number of vacancies to be filled. The interview will carry 300 marks (with no minimum qualifying marks). As has been said, the papers on Indian Languages and English will be of qualifying nature. Marks obtained in these qualifying papers will not be counted for ranking.

2.2.5 Training

Once the candidates have passed the interview, then they will be given training at different institutes depending on the service. Lal Bahadur Shastri National Academy of Administration (LBSNAA), located at Mussorie in Uttarakhand state imparts training in a common Foundation Course for the All India Services and the Central Service Group-A; and professional training to regular recruits of IAS. The first Foundational Course is held between August and December. The duration of Foundation course is for about 15 weeks. The probationers will be given inputs from subjects that include Public Administration, Planning and Economic Policy, Indian History and Culture, Law, Political Theory and Constitutional Law. When the Foundational Course is about to come to an end, the cadre allotment of IAS probationers will be communicated by the Government to them.

The IAS probationers are given a sandwich training which is divided into two phases. In the first Phase, theoretical knowledge is imparted to the IAS probationers in December of one year to May of the next year. The Phase I training includes providing inputs to probationers in law, information, communication and technology and few academic modules such as perspective building, administrative skills, knowledge enhancement attitudes and values. The duration of Phase I training is about 26 weeks. The specific objectives for Phase I course are as follows:

- i. To understand the theoretical principles underlying the political process and national goals through the study of subject: basic political concepts, Constitution of India, basic economic principles and general administrative Knowledge;
- ii. To become familiar with the matrix of legal, administrative and institutional factors in administration, with the focus upon the district, through the study of:

district administration; development administration and rural economics, and Law;

- iii. To become proficient in and appreciate the regional language of the allotted State, the history, geography and culture, the resource base and techno-economic potential of the allotted State, and the administrative ethos of the concerned State; and
- iv. To develop appropriate attitudes towards issues involved in public interest, socio-economic change and progress, the problems of the people, especially the most disadvantaged of them.

On completion of the first phase of training, the probationers are sent to the Cadre States for receiving practical training in the districts for a period of one year. Then they come back to the Academy to undertake Phase II course that lasts about 10 weeks. This kind of training arrangement is known as sandwich pattern because of the intervening of practical training in the districts between Phase I and Phase II training courses given at the Academy (Aggarwal, 1984, p.10). In the second phase, the academic sessions will cover topics in the areas of Public Administration, Management, Law, Economics, Computers and Language. Objectives of the Phase II training are:

- i. To make the officer trainees confident of shouldering responsibilities as field officers;
- ii. To provide officer trainees with an opportunity to analyse their experiences in district training and to learn from the field experiences of their colleagues;
- iii. To develop in officer trainees, skills to be effective team members and to be leaders of teams;
- iv. To consolidate the basic knowledge of officer trainees relating to procedures in civil, criminal and revenue laws keeping in mind their job requirement as presiding officers of courts;
- v. To consolidate the working knowledge of officer trainees in computers to that they are confident of leading initiatives in computerization in the field;
- vi. To consolidate language training of officer trainees in the language of the state cadre to which they are allotted;
- vii. To develop camaraderie and unity within the service through an active campus life; and

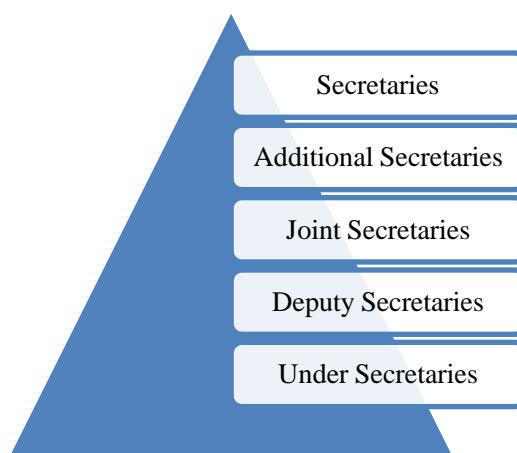
- viii. To keep officer trainees in a good physical shape (See Annexure- 11 for LBSNAA training modules).

Discussion on training of the IAS officers can be summed up that they are given a rigorous training, during their probation both in theoretical and practical,. Let's turn to the service rules and regulations, salary structure and staffing of the IAS officers. All civil servants in India are subject to the All India Services Act, 1951.

2.2.6 Salary Structure and Progression of the IAS officers

As on 01 January, 2014, the total numbers of IAS officers in India are 4619 (Four Thousand Six Hundred and Nineteen)⁷(See Table 2.6). They enjoy greater privileges vis-a-vis officers of civil services. While the Central Services fall under the category of lower income ranges, a large number of IAS officers are clustered in the higher income band. It is to be noted that there is a great degree of hierarchy among the IAS officers. In the case of promotion, the IAS officers can reach up to the level of Joint Secretary to the GoI automatically (Maheswari, 2005).

Figure 2.1 Hierarchies of the Secretaries



There is no reservation for posts in the Secretariat for individual services. Although these posts are open to all services, most of them are occupied by the IAS officers followed by IPS and IFS. In addition to this, a lion's share of higher jobs is occupied by the IAS. Thus IAS occupies the commanding heights in the country's public administration by enjoying the leadership status in India.

⁷ . <http://civillist.ias.nic.in/YrCurr/PDF/AppendixA.pdf>, accessed on 25 May, 2014.

Table 2.6 Cadre Strength of IAS Officers (as on 01.01.2014)

S. No.	Cadre	Senior or Duty Posts Under State Govt. (SDP)	Authorized Cadre Strength			Training Reserve [not exceeding 3.5% of SDP]	Direct Recruitment Posts (DR) [(SDP +CDR +SDR+LR +TR)-PQ]	Promotion	Total	No. of Officers in Position		
			Posts under Central Govt. (CDR)	State Deputation Reserve (SDR)	Junior or Posts Reserve & Leave Reserve (JP&LR)			Posts	Authorized Strength	Direct Recruitment Include	Promoted	Total
			[not exceeding 40% of SDP]	[not exceeding 25% of SDP]	[not exceeding 16.5 % of SDP]			(PQ)	(TAS)			
								[33 1/3% of SDP+CDR+SDR+TR]	[DR+PQ]			
									[Col (8)+(9)]			[(11)+(12)]
1	2	3	4	5	6	7	8	9	10	11	12	13
1	Andhra Pradesh	204	81	51	33	7	262	114	376	188	96	284
2	AGMU	183	73	45	30	6	235	102	337	171	73	244
3	Assam-Meghalaya	135	54	33	22	4	173	75	248	147	58	205
4	Bihar	177	70	44	29	6	227	99	326	173	45	218
5	Chhattisgarh	97	38	24	16	3	124	54	178	89	40	129
6	Gujarat	162	64	40	26	5	207	90	297	145	60	205
7	Haryana	112	44	28	18	3	143	62	205	122	38	160
8	Himachal Pradesh	80	32	20	13	2	103	44	147	68	38	106
9	Jammu & Kashmir *	75	30	18	12	2	75	62	137	63	43	106
10	Jharkhand	114	45	28	18	3	145	63	208	96	20	116
11	Karnataka	163	65	40	26	5	208	91	299	157	58	215
12	Kerala	126	50	31	20	4	161	70	231	109	41	150
13	Madhya Pradesh	227	90	56	37	7	291	126	417	213	107	320
14	Maharashtra	190	76	47	31	6	244	106	350	199	78	277
15	Manipur #	60	24	15	9	2	77	33	110	101	52	153
16	Tripura #	53	21	13	8	1	67	29	96			
17	Nagaland	50	20	12	8	1	64	27	91	35	19	54
18	Orissa	123	49	30	20	4	158	68	226	131	51	182
19	Punjab	120	48	30	19	4	154	67	221	119	59	178
20	Rajasthan	161	64	40	26	5	206	90	296	162	49	211
21	Sikkim	27	10	6	4	1	34	14	48	27	11	38
22	Tamil Nadu	193	77	48	31	6	247	108	355	186	99	285
23	Uttarakhand	66	26	16	10	2	84	36	120	65	24	89
24	Uttar Pradesh	321	128	80	52	11	412	180	592	327	147	474
25	West Bengal	195	78	48	32	6	250	109	359	152	68	220
	Total	3414	1357	843	550	106	4351	1919	6270	3245	1374	4619

* For Jammu & Kashmir, Promotion Quota is calculated not exceeding 50% of (SDP+CDR+SDR+TR)

** This does not include appointments made on the basis of CSE 2012 in IAS (For 180 vacancies)

Officers yet to be allocated

Source: <http://civillist.ias.nic.in/YrCurr/PDF/AppendixA.pdf>, accessed on 25 May, 2014

IAS salary structure consists of four Pay Scales: Junior Scale, Senior Scales (that include Senior Time Scale, Junior Administrative Grade, and Selection Grade), Super Time Scale, and Above Super Time Scale. Each of the pay scales further consists of different pay bands. Table 2.7 is self-explanatory which portrays the salary structure and progression of the IAS officers. It describes the grade of an IAS of central government and its equivalent in the state government; and the minimum number of years it takes for an IAS officer to reach a particular position.

Table: 2.7 Salary Structure and Progression of the IAS Officers

Grade	Position in the State Government	Position in the Central Government	Pay Scale
Cabinet Secretary Grade	No equivalent constitutional-authority ranked 11 th in Table of Preference	Cabinet Secretary of India	₹90,000 (plus grade pay-Nil)
Apex Scale	Chief Secretary of States (30 years)*	Union Secretaries in charge of various ministries of GoI (34 years)#	₹80,000 (fixed) plus grade pay-Nil
Above Super Time Scale	Principal Secretaries/ Financial Commissioners in states (24 years)	Additional Secretaries to the GoI (30 years)	₹37,400-₹67,000 plus grade pay of ₹12,000
Super Time Scale	Secretary in state government (16 years)	Position of Joint Secretary to GoI or Divisional Commissioners (20 years)	₹37,400-₹67,000 plus grade pay of ₹10000
Selection Grade	District collector or Special Secretary in the state government (9 years)	Director in the central government (12 years)	₹37,400-₹67,000 plus grade Pay of ₹8700
Junior Administrative Grade	District collector or the Municipal Commissioner	Deputy Secretary in the central government (9 years)	₹15,600-₹39,100 plus grade pay of ₹7600
Senior Time Scale	Chief Development Officer in District/ or Joint Secretary in State (6 years)	Under Secretary in Central government (4 years)	₹15,600-₹39,100 plus grade pay of ₹6600
Junior Time Scale	Deputy Secretary Addl. District Magistrate (Entry)	Sub-Divisional Magistrate (Entry)	₹15,600-₹39,100 plus grade pay of ₹5400

* Though it is not the only criteria, figures in the brackets indicate the minimum years in the IAS to achieve said designation.

From the table, it is clear that it takes a longer time to achieve the equivalent positions at the Centre due to lack of vacancies and slower rate of promotion.

Source: Compiled from <http://upscportal.com/civilservices/ias-planner/ias-remuneration>, accessed on 5 June, 2014.

There is a difference between the ways IAS officers are controlled from that of the central services. Although the IAS officers are given different state cadres, they have opportunity to come to the central government periodically on deputation. They are under the control of the state governments for which they are working. On the other hand, central services are under the control of corresponding ministry of the central government. For instance, the Indian Revenue Service (IRS) is under the control of Ministry of Finance. But the three services such as the Central Secretariat Service, the Indian Economic Service and the Indian Statistical Services come under the Ministry of Personnel and Training (Maheswari, 2005).

2.2.6 (i) Institutional Framework for Promotion of IAS officers

Generally, there is lot of competition between IAS officers for promotion to middle and senior management positions. In order to avoid such competition, an institutional framework is designed involving the Cadre Controlling Authority (CCA), civil service Board (CSB), the Establishment Officer (EO) and the Appointments Committee of the Cabinet (ACC). CCA is a cell located in the department or ministry concerned that looks into the matters related to postings and transfers etc., of the members of the service. At the state level, General Administration Department (GAD) controls all-India service cadres. The cadre authority has to keep in touch with the EO to GoI.

The CSB was earlier known as Establishment Board. It is presided over by the Cabinet Secretary. It includes the Secretary in the Ministry of Personnel and a couple of other secretaries. The EO is its member secretary. The main responsibility of the CSB is to recommend the names of the officers eligible for appointments to the posts at levels of deputy secretary, director and joint secretary.

EO is the member secretary of the CSB and Secretary of ACC. Usually the EO is the one drawn from IAS background and holds the rank of Joint secretary. It is the responsibility of the EO to prepare a panel of three, four or more names for each vacancy of the middle management levels. The EO also maintains the confidential files of all the IAS officers (except his/her own).

The office of ACC was set up in 1950. All appointments of the level of Deputy Secretary and equivalent and above are done by the ACC. The EO will be its

secretary. This committee consists of the Prime Minister (PM) (as Chairperson), Home Minister and the Minister of the concerned department in which the vacancy has arisen. Usually the Committee does not meet formally; and all the work is done on paper. Having discussed the institutional framework for IAS officers, it is pertinent to make an assessment of the contribution of civil services.

2.3 ROLE OF CIVIL SERVICES IN GOOD GOVERNANCE: AN ASSESSMENT

India owes the origin of its contemporary administrative system to the British who had developed it over a period of two centuries. It was described as one of the best in the world in the sense that it had eminently served the purpose for which it was created. The ICS literally carried the empire on its shoulders and efficiently managed the few functions entrusted to it. Soon after India got independence, administrative leadership was provided by some of the finest brains in the ICS such as H.V.R Iyengar, B.K. Nehru and Girija Shankar Bajpai who handled their responsibilities with unsurpassed competence. In addition to this, during political instability, it is civil service availability to the ordinary citizens by providing basic services. The laws of the land have adequate provisions to take care of these requirements and have empowered civil service to act under law (Rao, 2002. p. 16).

Attempts have been made by the scholars to assess the effectiveness of civil service in terms of its achievement of the goals. The effectiveness of civil service can be assessed in terms of its contribution to the maintenance of democracy in facilitating economic development; the maintenance of the public order; and creation and maintenance of a system of property rights, the poverty alleviation, social empowerment and industrial and trade administration. Krishnan and Somanathan (2005) attempted to measure the effectiveness of civil service based on three more criteria: i) promoting economic development, ii) preserving constitutional order in the country and iii) translating the will of elected governments into policies and implementing them.

a) Promoting Economic Growth: In the post-independence period, the constitution envisaged enormous role for the State in the development of economy. State focused on promoting the Public Sector Units (PSUs) and they enjoyed the status of commanding *heights of economy*. In addition to this, the governments had to

draft legislations in order to bring in social change. Civil servants were entrusted with the responsibility of carrying out those policies. They enjoyed considerable position in the economy as 'development agents' in society. However, Krishnan and Somanathan pointed out that factors such as political interference, corruption and bias among civil servants have debilitating effect on the performance of civil service in promoting economic growth. They rated the performance of civil service '*poor*' against this criterion (Ibid).

b) Preserving the Constitutional Order: Authors rated civil service '*good*' against this criterion. In the post-independence period, India witnessed a peaceful transfer of power from one regime to another regime. All three organs of the government- legislature, executive and judiciary have contributed to preserving the constitutional order in the country. However, civil service did not get adequate attention as much as the judiciary got for its role in preserving democracy. The contribution of civil services to Indian democracy deserves a mention here in relation to its smooth conducting of elections, maintaining law and order and political stability. Unlike many third world countries, such as Pakistan, Bangladesh and Philippines, India never had succession problem during constitutional emergencies. The peaceful implementation of Presidential Rule in India (under Article 356) cannot be imagined without the role of the IAS. Civil servants ably handled the insurgencies that had erupted in Punjab and North East. Thus the role of civil servants in preserving the constitutional order is noteworthy.

c) Translating the Will of the Political Executive into Action: During the 1960s and 70s, civil servants had a good record of carrying out their activities independently. The extent of corruption among them was lesser compared to the counterpart in other developing countries. They were successful in controlling the economy through license-permit raj with their knowledge of rules and regulations. They were relatively free from the political control which is not the case now. It is documented that civil servants had executed policies successfully to large extent, as and when the political executives had expressed them clearly and genuinely. The authors have assessed the performance of civil service '*fair*' against this criterion.

Rao (2002, p.15) added that the value of civil services as a great instrument of national cohesion and integration has been immense. Whenever the country witnessed the growth of fissiparous and centrifugal tendencies all over the country and demands

for succession were voiced in several quarters, such tendencies have led to the prevalence of near anarchic situations in parts of the country. The political class has been playing an active role in reinforcing such tendencies. In such circumstances, it is civil services which have indeed played a significant role in correcting the situation.

During Presidential emergencies in the states, the Governor could manage the state with the support of two or three competent advisors. Then it does not take a long time to bring back normalcy. Civil servants have contributed to maintain uniform standards of administration and financial prosperity to ensure that non-discriminatory systems of justice and grievance redressal are available to every citizen in every part of the country, civil service is absolutely invaluable. The preservation of the unity and integrity of the country is contingent to a large extent upon the efficacy of civil services.

It needs to be noted that states which have allowed civil services to play due role have recorded much better progress than those which have actively downgraded civil service. States such as Karnataka, Maharashtra, Gujarat and Andhra Pradesh can be cited as examples where civil servant has been properly utilised (Ibid, p. 16-17). A question stems from the analysis as to *why civil servants fail to carry out its functions independently and impartially without fear?* The following question has been addressed by examining the emerging administrative culture.

2.4 ADMINISTRATIVE CULTURE OF CIVIL SERVICES

Administrative culture can be understood as modal pattern of values, beliefs, attitudes and predispositions that characterise and identify any administrative system (Dwivedi and Gow, 1999, p.20). The administrative culture in India was largely influenced by the British administration. It is commonly agreed that the Weberian model of the bureaucracy suited greatly the interest of the British rulers than the masses. Gunnar Myrdal in his *Asian Drama: An Inquiry into the Poverty of Nations* (1968) explains that administrative machinery inherited its compatibility with the caste system in India. It implied that the Indian administrators kept themselves from the people in governance as they think that they are of high status. Besides, civil servants do not have dynamism as they try to preserve statusquo.

Haragopal and Prasad (as cited in Sharma, 1995) examined administrative culture of civil service from the view point of its social bases. They classified administrative culture of India's civil service into four models: *the egoistic, the sympathetic, the pragmatic and the lumpen*. They discussed that the main characteristic of this societal base is dominance of inegalitarian values deeply ingrained in Indian history and society. These values manifested in the social institutions as well as public institutions giving rise to the emergence of an egoistic administrative culture. An egoist bureaucrat is arrogant, boasting and aggressive towards people. She/he is self-centred and ready to do anything that pleases the masters. She/he plunders public revenues, and stresses more on the rules than the purpose; and delays taking decisions to show his/her importance.

Echoing the same views Ranga Rao and Ali, (1990, p. 464) outlined remarkable change in the politico-administrative culture of civil services starting from the mid-sixties. Particularly, civil servants were accused of lack of commitment to the development efforts of the government. Expediency values emerged with the dawn of unprincipled politics, compelling the bureaucracy to change its basic ways of thinking and acting. There has been a steady erosion of the ideological foundation of public policies. Loyalty to leadership had become the sole virtue to judge the effectiveness of civil servants. These developments had a devastating effect on the morale of civil servants. Massive and frequent transfers of civil servants have eroded the confidence of civil servants. Consequently, in the contemporary administrative culture is marked by hostility between politicians and civil servants. The following paragraphs further discuss recent trends in administrative culture of civil servants.

2.4.1 Politicisation of Civil Services

The originally envisaged function of civil service is to implement all manner of tasks pertaining to nation-building, in consonance with the Constitutional objectives of a welfare state. However, over the last five decades, one can observe the enormous decay of the system, and the politicisation of the cadres of civil services, essentially in the states (Vohra, as cited in Mehta, 2000, p. 49-50). The boundaries between politics and administration as suggested by Woodrow Wilson began to blur in India. In contrast to his assumptions, administrative questions became not political questions

(Wilson, 1887, p. 210). With the increasing instances of political matters eclipsing administrative matters.

Over the decades civil servants emerged as powerful component of the decision-making process. They were expected to provide continuity in civil administration during political turbulence and change in governments. However, the tussle between civil servants and politicians over the years posed a threat to the administrative setup in India. The politicians considered civil service an obstacle in the path of development due to redtapism. Although the rule book provided the crucial checks and balances required to prevent abuse of power by political authority, it led to an unintended consequence. The new breed of politicians saw the rule book as an impediment and finds civil servants a needless obstacle. The bureaucrats are also apprehensive about their future and their career while the politicians are in a hurry to do things that create a future for themselves in their short tenures (Mathur, as cited in Mehta, 2000, p. 118-119). This led to mistrust between politicians and civil servants.

Adding a critical her critical tone, Noorjehan Bawa (Mehta, 2000, p.91-92) was critical of the increasing political interference in day-to-day administration. According to her the bureaucrats should be allowed to work autonomously so that they can achieve the fixed goals. This is necessary to make civil servants accountable for their actions. On the other hand, the policymakers have to confine themselves to policy decisions and allow civil servants work freely. Civil servants are expected to provide sound advice to policymakers and the latter should be held responsible for policy decisions.

There is growing divergence between the objectives of governance as viewed by the politician and as perceived by the civil servant (Rao, 2002, p.21-2). The political executive has increasingly tended to expect the civil servant to say 'yes' only. A civil servant, who argues a case on the basis of rules, etc., is dubbed as inconvenient, tactless and rule minded and often sidelined and given innocuous responsibilities. Along with the decline in the quality of the average civil servant and the weakening of the systems calculated to extract high performances, there is also the growing trend of the civil servant acquiescing in the acts of the politician.

2.4.2 Committed Civil Service in mid 1970s

It is to be noted that political conditions of 1970s herald new administrative culture in India. By 1970s, country's economic and political landscape began to change. At economic front, India witnessed successive crop failures coupled with high inflation. The turbulence led to the weakening of Congress vote base in some parts of the country, particularly in South India. The volatile conditions of polity and economy compelled Mrs. Gandhi's to introspect the implementation of public policies and look for ways to regain voters' support. It was reported that lack of commitment from civil servants was responsible for the poor implementation of government policies. A 'committed civil service' was viewed as a panacea for it; subsequently her government devised to have a 'committed bureaucracy'. The civil servants were expected to show commitment to the policies and programmes and devote themselves to the welfare of the people without bias. This phenomenon is aptly summarised by Brass (2008, p.55): "The post-Independence structure of political-bureaucratic relationships has consequently been fundamentally transformed in the direction of a patrimonial regime in which the political leadership selects officers who are personally loyal, who serve their narrow political interests, and who expect reciprocal preferments in return."

The term committed civil services had political connotations. Scholars interpret this phenomenon as a major deviation from Woodrow Wilson's 'politics-administration' dichotomy. The blurring of politics and administration had negatively impacted the autonomy of civil servants. The decline of neutrality and autonomy among civil servants marked a negative trend in Indian Administration. Thus the idea of 'committed civil service' is a by-product of from the politics of existence. The literature on civil service in the mid 1970s had well documented the debate surrounding on the 'committed' civil service. Parameswaran Narain Haskar (1973) raised an important question in this context: '*To whom*' should civil servants be and are committed to (citizens or self)? Few scholars have aptly captured the meaning of committed civil services.

According to LP Singh (Seminar, 1973), characteristics of a professional and committed civil servant are such that he/she will subordinate his/her personal likes and dislikes to the social ideals and values of the government. It was interpreted that

personal whims and fancies of a civil servant should be subordinated to the rule of law and equality. He mentions that civil servants in India have been influenced by the utilitarian philosophy. According to him, it would be unrealistic to expect civil servants to be different from the rest of Indian society.

HM Patel (Seminar, 1973) made important observations about the politicians in India: a) Ministers forget that civil servants are not their servants, but that of the state or public b) Politicians imagine themselves as masters of people than servants. This tendency was deeply entrenched in the government officers. The superiors dictate subordinates and the latter repeat the same with their subordinates. The bureaucrats use their power more to dominate people than to serve them. In the whole process the citizen is neglected.

According to Vishnu Sahay (Seminar, 1973), the British model of commitment of civil service is not conducive to Indian societal structure. He was highly critical of ministers' interference in the matters pertaining to appointments (on caste lines), licenses and permits. He suggested that like in UK and France, the ministers should appoint civil servants who are trustworthy. However the appointment should be a temporary one. Limits should be set upon the roles of civil servants so as to prevent them from exercising powers arbitrarily.

Shankar (Seminar, 1973) suggests that civil servants should be allowed to exercise freedom in thought and expression. However, in the public interest, their actions should be put to scrutiny without hindering their capacity to think. He further went on to say that lapses in implementation of a policy should not be attributed to bureaucracy alone. Rather the entire system should be made responsible for this. He lamented that the wrong persons are recruited in the right job and there is no scope to reward merit and penalise inefficiency. It is to be noted that the same issue has been raised by the Second ARC after 30 years.

Peter and Pierre (2004) classified politicisation of civil service into bottom-up and top-down politicisation. Bottom-up politicisation pertains to the increase of political activity by civil servants. It includes party-political allegiance and behaviour, a political-oriented attitude and the awareness of the political context of public service delivery. Top-down politicisation involves an increased level of control exerted by

government over bureaucrats. It occurs when political office holders try to ensure that opinions and behaviour of public servants are made compatible with their own policy preferences in India the second category of politicisation is dominant. The above discussion revolved around the demand for commitment among civil servants and the need for ethics among them, such as, neutrality, integrity and honesty. The discussion also threw light on the fact the decline in the image of civil service since mid 70s. It is attributed to the political interference in civil service's functioning. It was seen that this very political interference is an off-shoot of the government's thrust upon commitment among civil service. It can be summed up that 'commitment' is an essential quality that a civil servant should possess. It helps in the effective delivery of services to the citizens. Commitment also means the action of encouraging independent thinking among civil servants. However, it is not expected on the part of civil servants to be committed to programmes of a particular political party. Rather they should focus on achieving the broad social objectives that are formulated by the government. The demand for commitment among civil servants is a by-product of the politics that were existence. Thus in depoliticisation of civil service has been a policy. The same issue had re-surfaced almost after four decades in the end of 1990s.

2.4.3 Stability of tenure of civil servants

Civil service has been effective instrument of governance and a mechanism to ensure orderly development of the society. However its role has been reducing in recent times. One of the criticisms is that politicians transfer civil servants frequently at their whims and fancies. This is against the constitutional safeguard provided to the IAS officers under Article 312. Inadequate tenure is injurious to governance, particularly the maintenance of law and order, developmental programmes and poverty alleviation programmes.

There is also another argument that security of tenure, unless accompanied by total accountability and answerability, would be even more injurious (Vohra, as cited in Mehta, 2000, p. 51). A tenure appointment is basic to any healthy democratic system. The Cabinet Secretary ought to be given clear three-year tenure, and it must not be abridged. The reason is that the Cabinet Secretary must function as the head of civil services in all conscience and in the best interest of the country. On one hand, there is complete insecurity of tenure in a posting. For instance, the average tenure for a

District Collector in Uttar Pradesh was probably less than eight months now, of a Superintendent of Police is even less. On the other hand, there is complete tenure of service (Shourie as cited in Mehta, 2000, p. 32).

2.4.4 Undue Protection vs. Autonomy: Single Directive (Prior Permission)

Civil servants in India are under intense pressure from both the policymakers and probing agencies like Central Bureau of Investigation (CBI), Central Vigilance Commission (CVC) and Comptroller and Auditor General of India (CAG). The issue of protecting civil servants from inquiring on the 'bonafide decisions' taken while they were serving confounded the problem. Civil servants like CB Bhavé (former Security Exchanges Board of India, SEBI), PC Parakh, argue that the UPA-II government failed to give some shield to retired bureaucrats from post facto corruption probes, on par with serving ones. Bhavé (along with KM Abraham) is being probed by the CBI on the alleged issue of granting license to MCX Stock Exchange. This move has been criticised as a conspiracy by the then Finance Minister P Chidambaram and Rural Development Minister Jairam Ramesh⁸. According to them, they should not be held accountable for the 'bonafide' decisions taken during UPA's tenure. They have been arguing that the 10-year UPA government failed to pass a law similar to Delhi Special Police Establishment Act (DSPE) to extend the protection of prior government sanction for corruption probes to retired governments as well. According to section 6A of DPSE, civil servants equivalent to Joint Secretary and above cannot be prosecuted by the CBI without taking a prior permission. DSPE Act is not applicable to the retired civil servants. It was in early-2013 that Prime Minister Manmohan Singh first promised a new law that would extend the protection of prior government sanction for corruption probes to retired government servants as well. The bill was introduced in Parliament on August 19, 2013, the Parliamentary Standing Committee approved it, but it was not passed of time. At present, senior serving officers receive protection from such probes at two levels. One, under Section 6(a) of the Delhi Special Police Establishment Act (DSPE), the CBI cannot start an

⁸. <http://timesofindia.indiatimes.com/Business/India-Business/CBI-probe-against-Bhavé-Abraham-in-advanced-stage/articleshow/33102357.cms>, viewed on 2 April, 2014.

inquiry or lodge an FIR against any serving officer of joint secretary level and above without permission (Sharma, 2014, p.4).

DPSE has been criticised on the grounds that it would provide blanket security to the senior officials, and leaving the below the rank of Joint Secretary. The Single Directive has been construed as 'divisive' in nature; and distorts the Equality before Law under Art 14 of the Indian Constitution. Challenging this Directive, the Supreme Court of India has asked explanation from the Centre. However, the centre had justified the Directive on the ground that it would free civil servants from the baseless complaints and conspiracy plot cases and allowing the latter to take work freely. It has been argued that the DPSE (Section 6A) may be used by the government to protect the top level bureaucracy and can be used to haunt the honest civil servants like Ashok Khemka (Haryana Cadre IAS Officer) who has been transferred 44 times in his career (Reddy, 2014).

2.4.5 Delays in Decision Making and Unpreparedness of civil servants

Decision-making in government is delayed because it is concentrated among high-ranking officials, with hardly any delegation of power to the middle or lower levels of the hierarchy. More often than not, an officer tends to put the onus of decision on his next higher ranking officer. Good administration presupposes appropriate delegation of powers at each level, with clear-cut guidelines for exercising those powers at various levels (Mehta, 2000, p. 16-17).

There is a gap between the required consciousness of administrators about disasters and the current level of their consciousness. The Indian administration does not have an in-built contingency to respond a disaster. The administrative approach to a high-risk society ought to be entirely different from a linear, straightforward, and procedurally correct administration. This consciousness of a high-risk society is available neither at Group-D nor at Group-A level (Dev Dutt, as cited in Mehta, 2000, p. 66). The emerging administrative culture in India is marked by egoism, self-centred, politicisation of civil services, redtapism and corruption.

In spite of the heavy devaluation that has taken place in the authority of civil services and serious decline in the esteem with which it was regarded; the services continue to be an invaluable instrument of governance. There is a need of reforming civil services

in several spheres such as accountability, decentralisation. The present state of affairs indicates downgrading of civil services as a whole and the leadership in particular (Sreedhar Rao, 2002, p. 14).

2.5 Summary

This chapter began with tracing the origin of civil services to the Mauryan period. The evolution of civil service in India is slow as the culture of civil service is marked by feudalism and extortion. Loyalty and integrity were the hallmarks of the ancient civil service. However, there was a slight change in the British civil service in terms of outlook. Yet, the British civil servants used to work for imperial interest. The legacy of British continued in the post-independence period, and the institution of civil service provided continuity to administration. However, the emerging administrative culture of civil servants (particularly politicisation of civil service) did not match the contemporary societal needs. Hence, the idea of reforming civil services emerged. The next chapter discusses the administrative reforms in detail.

Chapter-3

ADMINISTRATIVE REFORMS IN INDIA: A CRITICAL ASSESSMENT

3.0 Introduction

The Nobel Laureate Amartyasen in Jaipur Literature Festival-2014 hinted at the need for country to undergo the administrative reforms⁹. This statement reflects the status of administration in contemporary India. Debate on administrative reforms is not new in India as it can be dated to the mid-1960s. Efforts to reform administration began formally by the Indian State with setting up of the First (ARC) in 1966. Since then, the issue of administrative reforms is still live in the literature. Though concern for administrative reforms is not new in India, the context is new. The context is increased pressure on the state and civil service to perform well in the aftermath of global meltdown in 2008. Administrative reforms are concerned with the making administrative actions more effective; and attain the goals of economy, efficiency and effectiveness in public sector.

Chapter-2 is about the critical assessment of administrative reforms in India and their implementation. It begins with an overview of the status of Indian bureaucracy soon after independence. Through critical review of literature, it attempts to examine recommendations of first ARC and assess the progress made in the implementation of its recommendations. The study reviews a few relevant reports out of 20 reports that are concerned with the personnel administration and civil service reforms.

3.1 Theoretical Background of Administrative Reforms

The present bureaucracy in India was designed on the British lines. During the colonial period, it was made accountable to the imperial masters, but not to the people. However, situation changed with the drafting of the Indian Constitution in 1950. Indian State has been bestowed with the gigantic task of development by playing the role of 'welfare state' and lead different sectors of economic development and social change. Dubhashi (1985, p.17) noted that the transition from colonial administration to democratic administration was not easy. There was imbalance of the

⁹ . Times of India, *AAP victory set good example of democracy, Amartya Sen says*, January 18, 2014, Jaipur, p.1.

power between political executive and civil servants. As centralised planning was adopted to achieve development goals, administrative agencies were envisaged to play crucial role in implementing the programmes of social and economic change. Bureaucracy was envisaged to serve the people, but not vice versa.

State intervened in the public affairs through monitoring implementation of public policies by the bureaucracy. It is expected to deliver services in the chosen sectors. The problems that India faced soon after it got independence were so complex that the nation's attention and energy were mostly absorbed in finding solutions for them. When the Five-Year Plans were launched, developmental work was seriously taken in hand. Then the inadequacies and weaknesses of the administration in relation to its new tasks became increasingly apparent (GoI, 1969, p.2).

Civil servants continued to carry the ethos of colonial administration imbued with power hunger and authority rather than courtesy, alacrity and spirit of service (Dubhashi, 1985, p.176). They could not learn lessons from the mistakes, despite the fact that several programs were introduced such as Community Development Program and Integrated Rural Development Programme (IRDP). With the launch of every new program, old mistakes continued with the new experiments, therefore the goal of people's participation was not realised (Ibid, p. 178).

Despite the constitutional arrangement, the average citizens in India held a prevalent view that administration has failed to deliver the goods. Bureaucracy is perceived to have overgrown in size without delivering services as expected. The practice of adding more ministries to accommodate political personalities multiplied the number of bureaucrats and nurtured them. Over more than fifty years it has added flab rather than solved problems of citizens (Mehta, 2000, p.13). Given this background bureaucracy was envisaged to adapt itself to change their roles. The idea of administrative reforms has surfaced in this context. The goal of administrative reform is to increase the area of success and diminish the area of failure.

3.1.1 Administrative Reforms

Administrative reforms mean different things to different nations with different political systems. In most industrialised nations, it generally means “a process of changes in the administrative structures or procedures within the public services because they have become out of line with the expectations of the social and political

environment” (Chapman and Greenway, 1984 as cited in Farazmand, 2001). In developing nations, administrative reform is often referred to as modernisation and change in society to affect social and economic transformation. It is to be noted that there is no consensus on the meaning of administrative reform within a single country with an established tradition of good reforms. The term means one thing to politicians and another to administrators, academic scholars, and functionally specialised personnel. The term administrative reform becomes vague with the use of such interchangeable terms as change, modernisation, development, and evolution with reform. (Ibid)

According to Gerald Caiden, administrative reform is “the artificial inducement of administrative transformation against resistance” (Caiden, 1969, p. 1). This definition encompasses three dimensions: (1) administrative reform is artificially stimulated by man and is not accidental, automatic, or natural; (2) it is a transformatory process; and (3) resistance is a concomitant of the process of administrative reform (Quah, 2010).

According to Sondhi, administrative reforms encompasses all the aspects of administration ranging from rules and regulations and office procedures, to training of bureaucrats, transparency in administrative matters, accountability, access to information, use of modern technology. They encompass reforms at every level of administration, national, state, municipal right down to the Panchayat level (as cited in Mehta, 2000, p.27-28).

It is expected that administrative reforms would generate positive qualities in bureaucracy, such as efficiency, effectiveness, dynamism, innovativeness and forward looking character. A few other characteristics of reformed bureaucracy include objectivity, fairness justness, highest standards of integrity and honesty. Further, it should be people-oriented and cater to the needs of citizens to their satisfaction by reducing its distance with people (Dubhashi, 1985, p.180).

3.2 FIRST GENERATION OF ADMINISTRATIVE REFORMS IN INDIA (1947-94): AN OVERVIEW

Indian state attempted overhauling its administrative apparatus in the post-independence period. Ever since attainment of independence in 1947, it took almost two decades to think of reforming the administration in India. By 1960s, India had already implemented two Five-Year Plans and took a path in terms of restructuring

administrative apparatus. In 1964, the Department of Administrative Reforms was created within the Home Ministry (later moved into the Ministry of Personnel) to prepare the ground for a comprehensive investigation of the entire administrative system in India (Krishna, 2001).

Bhaumik (1999) classifies the implementation of administrative reforms in the post-independence period into three phases: the period of consolidation (1947-66), period of reconstruction (1966-80) and period of modernisation (1980-1994).

3.2.1 Period of consolidation (1947-66)

The GoI constituted several committees in the post-independence to revamp administration. Prominent among them include the Secretariat Reorganisation Committee (1947), N. Gopalaswamy Ayyangar Committee (1949), AD Gorwala Committee (1951), the Second Central Pay Commission (1957-59) and First ARC (1966). A detailed discussion on Consolidation of administrative apparatus in India is as follows:

India had to face severe administrative crisis soon after it became free from the colonial rulers. Independence witnessed both country's division as well as division within the pool of public servants. The latter were given an option either to serve India or Pakistan, or seek retirement. Most of the Muslim and British officers left India abruptly. The ICS officers' strength was about 1100 in the pre-independence period. By the end of August, 1947 India was left with just 422 ICS (renamed as IAS officers) officers at hand. It resulted in the severe human resource crisis to the young Indian State. It became difficult for a small number of civil servants to discharge the welfare-related duties to its citizens. Then GoI set up Secretariat Re-organisation Committee (SRC) in 1947 under the chairmanship of Girija Shankar Bajpai, a member of ICS to look into shortage of administrative staff. The Chairman of this Committee Bajpai cited the situation put it eloquently "We shall be failing in our duty if we did not add that until additional trained personnel become available, Government would be well-advised not to undertake new activities whose success depends upon the adequate provision of such personnel" (GoI, 1947, p.13). The Committee warned the Government not to undertake the responsibility of discharging non-essential functions without adding adequate manpower. SRC's task was to make

recommendations regarding the activities of ‘the Indian Departments’ of the central government in relation to the personnel available for conducting these activities.

In October 1948, Economic Committee was constituted under the chairmanship of Kastubhai Lalbhai to suggest economic reforms in industry. Its major focus was on toning up general efficiency and morale of civil services. This Committee examined the methods of business employed in the secretariat were extremely dilatory. They are not in accordance with the prescribed rules of secretariat procedure. It is noteworthy that committee suggested recruitment of civil services without political patronage. It suggested that Public Service Commission should look after recruitment of personnel. The Committee also recommended a reduction of class IV staff, and cautioned the government to control its passion for grandiose plans and schemes without giving consideration to the availability of personnel, money and material (GoI, 1949a).

GoI appointed a committee under the chairmanship of N.Gopalaswamy Ayyangar in 1949, to look into the reorganisation of the governmental machinery and grouping of the ministry. The committee observed ‘insufficient coordination in the framing of policies and plans and inadequate speed and efficiency in their execution...’ (GoI, 1949b, p.1). Its report highlighted the need for organisational and procedural changes in the prevalent set-up of the machinery of Government. He drew a distinction between the general framework of the machinery of the Government and the internal structure of this machinery. It added that ‘each department should constitute a clearly manageable charge for one secretary; as head of the department with complete and undivided responsibility. The department should also provide for a clear and uninterrupted line of command from above which is also an equally clear and uninterrupted line of responsibility from below (Ibid, p. 2).The committee suggested abolition of the grade of additional secretary as it was irrelevant. A major recommendation made by the committee was to strengthen coordination both at the political and administrative levels by establishing the cabinet committees in the government and bunching of functionally inter-related of ministries and departments. Based on the recommendations of this report, the GoI set up Cabinet Committees as an integral part of the machinery of governance.

India witnessed yawning gap between the bureaucrat and citizens in India in the post-independence. There was shortage of basic food ingredients to the poor, and food

price inflation that contribute to the gap between the rich and poor. In addition to this poor service delivery by the bureaucrats further compounded the problem. Amidst such situation, a Committee under the chairmanship of A.D Gorwala was constituted by the GoI to study whether the then existing administrative machinery and methods were relevant to meet the requirements of planned development. The committee submitted report pertaining to the problems of public administration in India. It argued that successful planning is not possible without a clean, efficient and impartial administration. On observing deteriorating integrity among the Indian administrators (GoI, 1951, p.1) committee was of the view that the public administration in India should be updated, reformed and mended but not ended.

Gorwarla's committee recommended several steps to improve public administration in India. A major aspect is related to the improvement in the implementation of programmes by bureaucrats. The committee identified important qualities of an administrator. They should have right attitude to promote equality in the society (fair share for all); and concern for the people and work towards raising their standards of living. Bureaucrats in India are envisaged to promote social cohesion by reducing the inequalities between the poor and rich. According to this report, the administrator should have 'rural' bias (as much of India was having villages). The report reiterated that right recruitment, right training and right allocation are pillars of good administration (Ibid, p.69).

In 1953, GoI invited Paul H. Appleby, an American expert of Public Administration to study Indian administration in India. He submitted a report entitled, "Public Administration in India: Report of a Survey". In this report, he observed that Indian administrative system was "*archaic, feudalistic and unimaginative*" (Appleby, 1953). Paul Appleby identified the need for improving the work procedures and the building the capacity of administrators. He was critical of the method of recruitment adopted by UPSC over centralisation tendency adopted by Ministry of Finance. The GoI accepted only two out of the twelve recommendations given by Appleby. They include setting up of the Organisation and Methods (O&M) Division in 1954 and Indian Institute of Public Administration (IIPA) under the Ministry of Home Affairs.

Paul Appleby re-visited India in 1956 to re-examine India's administrative system. He submitted another report in 1956 entitled, *Re-examination of India's Administrative*

System with Special Reference to Administration of Government's Industrial and Commercial Enterprises. The report dealt with the shortcomings in India's administrative set-up and the application of the concept of autonomy to the government's undertakings. It emphasised that the government must grow in size, duly cultivated by structural and procedural arrangements. It is pertinent to observe remarks made by Appleby: 'If India confines the bureaucracy to small scope she will confine the nation to small achievements' (Appleby, 1956, p.47). He took a critical view of the work of the office of C&AG.

In 1957, a committee was constituted under the chairmanship of Balwant Rai Mehta for studying community projects. In 1959, the Second Pay Commission suggested the creation of Whitley Councils on the British pattern for resolving the problems between the employers and the employees. The early 1960s witnessed the rising levels of the corruption in the Indian administration. The administrative actions of the bureaucrats came under scan of the public as well as policy makers. There was demand on Shri Lalbahadur Shastri then the Minister of Home Affairs, to look into the menace of corruption in Indian administration. The GoI had to appoint an eight member Committee under the chairmanship of K. Santhanam (known as Santhanam Committee), to probe into the alleged corruption among administrators and politicians. Setting up of Santhanam Committee is watershed in the first phase of administrative reforms. This committee's mandate was to examine the organisational setup, functions and responsibilities of the Vigilance Units in the Ministries, and the Departments of the GoI; and suggest measures to make them more effective. The Committee presented a report to GoI on the Prevention of Corruption in 1963. It suggested measures to strengthen vigilance organisation and to formulate code of conduct for civil servants (GoI, 1963). Based on the recommendations of Santhanam Committee, CVC was set up in the year 1963.

In 1962, V.T. Krishnamachari presented a report to the GoI on Indian and state Administrative Services and problems of District Administration. It was mainly constituted to look into i) the additional requirements of IAS personnel during the third five year plan period (1962-66) and methods of recruitment and training in states; (ii) additional requirements of State Administrative Services during that period; and (iii) questions arising in district administration as the result of the introduction of

panchayati bodies at district and block levels with a wide range of functions in social and economic development (GoI, 1962, p.1-2). The committee recommended increasing the number of direct recruits to the IAS; improving of the IAS training at the state level and organizing refresher courses for the IAS officers.

It can be summed up that, during the first phase of administrative reforms, efforts were made to consolidate the administrative setup in India. Thrust was laid on increasing the strength of civil servants, identifying the core areas of government activities, improving recruitment method, constituting functionally related ministries and departments, enhancing the implementation of community projects, establishing Whitley Councils, establishing the IIPA, and steps to improve state and district administration.

3.2.2 Period of restructuring (1966-80)

3.2.2 (i) First Administrative Reforms Commission (ARC)

Concerted efforts to reform administration were made in the post-independence period. First ARC was established on 5th January in 1966 on the model of Hoover Commission of USA was a landmark. It was headed by chairmanship of Morarji R. Desai with five other members. In the original setup of the First ARC, all except one were Members of Parliament and one was a member belonging to an opposition party in the Lok Sabha. The First ARC was asked to look into the existing arrangements for the redressal of grievances and the need for introducing new machinery for that purpose. It set up 20 study teams and 13 working groups and 1 Task Force. It submitted 20 reports to GoI with a total of 581 recommendations in a period spread over 1966-70. Its recommendations dealt with the following subjects; such as, machinery of GoI and its procedures, personnel administration, redressal of citizens' grievances, centre-state relations, state administration, administration of Union Territories, machinery for planning, economic administration, finance, accounts and audit, delegation of financial and administrative powers, railways, and telegraph etc (Hanumanthaiya, 1970, p.1). The First ARC had critically examined that the structure and procedures of Indian administration were out of tune with the development tempo of the Five Year Plans. Further the behaviour of administrators was recognised as a critical factor for ensuring social justice and equity in India.

The commission suffered heavy casualties as it proceeded along its task. The Chairman of the Commission resigned on his becoming the Deputy Prime Minister in Central Government; G.S. Pathak, another member, left the membership of the commission to accept the governorship of a state; H.C. Mathur died in the third year of the Commission's functioning. At last the Commission had the following members in 1970: K. Hanumanthaiya, (Chairman); H.V. Kamath; D. Mookerjee (retired Judge of Calcutta High Court); V. Shankar and T.N. Singh.

3.2. 2 (i) (a) *Recommendations of First ARC*

The First ARC made many recommendations in the various fields of administration. Its main recommendations are the following:

Firstly recommendation is related to political structure and distribution of political power in the ministries in the cabinet. It recommended that the maximum number of Ministers in the Union Cabinet should be sixteen including the PM. The strength of the Council of Ministers should not exceed more than 25 for a biggest state; for middle size states between 14 to 18; and for smaller states between 8 and 12 (GoI, 1969 b, p.8). It suggested a clear delineation of the functions and responsibilities of the Ministers of State and Deputy Ministers.

Secondly, PM should be given institutional support in the form of Deputy PM for ensuring efficient and effective functioning of the government machinery. The ARC asserted that "the PM should not ordinarily be in charge of a Ministry. His/her time should mostly be available for guidance, coordination, and supervision."

Thirdly, the responsibility of Cabinet Secretary should not be limited to that of coordinating but also to act as the principal staff adviser to the PM, the Cabinet and the Cabinet sub-committees on important policy matters (Ibid, p.26).

Fourthly, the non-staff Ministries other than those with board-type of management should be equipped with three 'staff' offices, namely, (i) an office of planning and policy; (ii) a chief personnel office; and (iii) a chief finance. The head of each 'staff' office should generally be that of the rank of joint secretary though in some cases s/he may even be a Deputy Secretary or an Additional Secretary depending on the quantum of work.

Fifthly, there should be only two levels of consideration below the Ministry, namely, (i) Under Secretary/Deputy Secretary and (ii) Joint Secretary/Additional Secretary (Ibid, p 28).

Sixthly, the ARC made the following recommendations for smooth and effective working of the proposed 'desk officer': to introduce a functional file index, to maintain guard files or card indices which will contain all important precedents, adequate provision of 'leave' reserve, and adequate stenographic and clerical aids (Ibid, p.28).

Seventhly, the Department of Administrative Reforms should be placed under the Deputy PM. Further it should confine itself mainly to: studies on administrative reforms of a fundamental character, building up O&M expertise in Ministries and departments and training the personnel of their O&M units in modern techniques of management, advice and guidance to these O&M units in effecting administrative improvements and reforms (Ibid, p.90);

Eighthly, a separate Department of Personnel headed by a secretary who should work under the general guidance of the cabinet secretary should be constituted (Ibid, p.96). K. Hanumanthaiya submitted the Report on Personnel Administration in 1969. The report highlights the lacunae in the training of civil servants (GoI, 1969a, p. ii), and

Ninthly, the Commission recommended two-tier machinery for redressal of citizens' grievances, i.e., Lokpal and Lokayukta. The *Lokpal* deals with complaints against Ministers and Secretaries to Government at the Centre as well as in the States (GoI, 1969 b, p.70). The *Lokayukta* should be set up one at the Centre and one in each state, and attend to complaints against the rest of the bureaucracy. Some of the states have followed this and set up the office of Lokayukta. It underscored the need for adopting best recruitment policies and methods. The report identified foundational training as inadequate to impart right attitude and skills, and equip them with national outlook and heritage. It recommended updating the foundational training to impart specialised knowledge to civil servants. Besides, it recommended introducing Performance Reports in place of Confidential Reports (Ibid, p.iii). It reiterated professionalism among civil servants (Ibid, p.10).

3.2.2 (i) (b) Impact of ARC on Administrative Efficiency

Though some reforms were implemented upon the recommendations of First ARC Reports in 1969, they were not well-thought out. K. Hanumanthaiya, the second chairman of the First ARC himself made the following observation: *“Several studies and inquiries were made on the administrative problems during the first fifteen years after independence. These attempts were, however, limited in scope, sporadic and uncoordinated..... There was no comprehensive and coordinated examination of the whole administrative machinery”* (ARC, 1970, p. i). Krishna (2001) observed that many of the reforms focused more on the structures than on the processes.

Attempts to reform Indian administration received the criticism of the political class. It was perceived that setting up of the First ARC was a premature act. The government had to justify setting up of First ARC on the grounds that lack of such commission would allow the bureaucrats hardship on the people; stifles the achievement of national goals, particularly at a time where the country was undergoing economic turbulence due to successive crop failure and inflation.

3.2.2 (ii) DS Kothari Committee (1974)

The GoI had appointed Kothari Committee in February 1974 to look into Recruitment Policy and Selection Methods of civil servants. The committee took two years to complete its study and it submitted 247 page report on 29 March, 1976. The prevailing political context was that the State pledged to itself socialism and enhancement of State's role in raising the standards of living of the people. Hence, the role of civil service is seen as critical to achieve these objectives. DS Kothari Committee was entrusted to work on the following Terms of Reference (ToR):

- a) To examine the pattern of civil service examination (recruitment policy and selection);
- b) The desirability of having one exam instead of three Examinations (for IAS/IPS/IFS), as at present, for the All India and Class I Services;
- c) The adequacy of the Personality Test prescribed in the present scheme of the IAS Examination;
- d) Number of chances that should be allowed to the aspirants of IAS Examination;
- e) To look into syllabi of subjects prescribed for the various examinations keeping abreast of latest developments; and

- f) To examine the feasibility and the procedure to be adopted for bringing down the proportion of candidates to the number of posts to which direct recruitment is done (GoI, 1976, p.1-2).

Kothari Committee had made important observation on recruitment to civil services. It recommended introducing a unifying examination for both All India services and Class-I services, which was accepted by the government. For the Preliminary Examination, the Government decided that there should be only two papers i.e. General Studies (GS) of 150 marks and one Optional subject of 300 marks. Exam for both papers will be of objective type with sufficiently wide choice in GS. The list of Optional subjects suggested by the Committee was also accepted by the government. However, the Government was not in favour of introducing papers on Indian language and English in the Preliminary examination. It decided that the Main Examination should have eight papers (300 marks each) and an interview of 250 marks with no minimum qualifying marks. These papers include I) Indian Language (Qualifying only), II) English Language (Qualifying only); III) and IV) General Studies, V) and VI) First Optional, and VII) & VIII) Second Optional. The committee's suggested introducing Essay Paper, but it was not implemented by the GoI (Ibid, p.47).

Kothari Committee was against introducing the minimum qualifying marks at the Interview Test. It viewed that it might affect the prospects of the candidates with a rural background. The Committee recommended for a Group Discussion (GD) in selecting the candidates (Ibid, p.76). It was argued that GD would enhance the skills of civil services aspirants to discuss a particular topic thoroughly and learn from others patiently. It encourages them to be vocal and articulate in expressing their ideas. However, this recommendation was not implemented by the government. The committee emphasised the need for specialists in civil services, which was also not accepted by the government. According to this report, civil servants have to upgrade their knowledge and skills keeping abreast the rapid changes taking place. GoI is to be noted that the demand for specialists in civil services was suggested long by Kothari committee before Second ARC made. It reflects the Committee's foresight to introduce specialisation. It accepted the reservations in civil services as suggested by Kothari committee.

Kothari Committee recommended raising the upper age limit of eligibility to 26 years. However, the Government accepted the age limit as 21 -28 years instead of 21-26 years for General Category candidates. Further, the committee recommended putting a cap of two attempts both at the Preliminary Examination and the Main Examination for all categories. But the Government instead determined to provide three attempts both at the Preliminary Examination and the Examination for the general category, without any limit on the number of attempts for the candidates belonging to Scheduled Caste/Scheduled Tribe (SC/ST) (Ibid, p.68).

Kothari's Committee recommendation on the revised structure for the Examination was accepted with some modifications. However some key recommendations were neither accepted nor implemented by the Government. They include the strengthening of induction training and providing for a post-training test as the third stage of selection, raising the levels of training academies to a higher professional status and lending them prestige by involving PM and the Cabinet Secretary with their governance and setting up of a Standing Advisory Committee. The committee had a rural bias in recommending these measures. If the government had implemented the scheme of reforms conceived by the Kothari Committee we would have built up a truly Professional body of civil servants in India by now.

The second phase of administrative reforms includes attempts to improve the administration and police administration and decentralizing governance. In 1975, L.P. Singh and L.K. Jha, two veteran administrators presented a note to the GoI on improving the efficiency of administration. Their recommendations are related to improving the working conditions and office environment, enforcing punctuality and discipline and strengthening O & M to minimize delays, making assessment of staff requirement, and Staff Welfare (Arora, 2003, p.97). In 1978, the committee on Panchayati Raj Institutions under the chairmanship of Ashok Mehta presented a report recommended setting up of Mandal Panchayats. The National Police Commission (1977-80) under the chairmanship of Dharam Vira submitted eight reports on the modernisation of the Law Enforcement machinery. It recommended constitution of Joint Consultative Committee at state headquarters to look into matters relating to conditions of service and work, welfare of the police personnel, and improvement of efficiency and standards of work (Gautam,1993,p.36). However, these recommendations have also not been implemented.

3.2.3 Period of modernisation (1980-1994)

Administrative reforms since 1980s saw modernisation of Indian administration. For instance, ARCs were set up in Kerala (1958), Rajasthan (1963) and West Bengal (1983) and AP Reforms Enquiry Committee in Andhra Pradesh (1960). At federal level, Economic Reforms Commission was appointed by the GoI in 1981 under the chairmanship of LK Jha. Its main function was to study the important areas of economic administration and suggest measures for rationalisation and improvement of tax administration; and develop a coordinated rational approach for the establishment of a new economic order (Singh, 2012, p. 280).

In 1984, the Commission on Centre-state relations was set up under the chairmanship of Justice R.S. Sarkaria. It presented a report in 1988 reiterating the sound principles of federation. A major recommendation pertains to setting up of an Inter-State Council in 1990. It is meant for looking into the disputes that may arise between states or state and centre on matters which have common interest (Basu, 2013, p.371). In 1986, the Fourth Pay Commission under the chairmanship of Justice Singhal had presented its report which recognised the role of 42nd Amendment of the Constitution in ensuring the welfare of the employees. According to this report, pay should be sufficient and satisfactory enough to motivate the employee for the efficient performance of his/her duties with responsibility (Krishna, 1994, p.173). In 1997, the Fifth Pay Commission was appointed under the chairmanship of Justice Ratnawal Pande. Recommendations of this report have been discussed in the Section 3.3.

3.2.4 Critical Appraisal of First Generation of Administrative Reforms

By 1979, the government had initiated action on over 500 recommendations of the First ARC. For instance, a separate Ministry was established to look into matters of personnel i.e. Ministry of Personnel Training, Administrative Reforms and Personnel Grievances and Pensions in 1985. PM was made in-charge of this ministry. The impact of first generation of administrative reforms is discussed below.

3.2.4 (i) Ambiguity in Conceptual Framework

According to Mathur, administrative reforms are conceptually ambiguous. For instance, adherence to the Weberian model and Taylorian norms of work has considerably constrained the generation of alternatives. The analysis of administrative problems is confined to structural aspects of administration alone without look into

the processes of governance. They are confined to bottlenecks in coordination or in communication or behavioural frictions in a team (Mathur, as cited in Mehta, 2000, p. 119).

Mathur argued that administrative reforms confined to reforming functioning of C and D employees, but not to Group A and B officers. It was observed that most of the failures in Indian administration do not occur with C and D employees and their work and their functions. Rather failures occur at the level of A and B, with the involvement of senior people who are involved in monitoring, supervision, and control (Ibid, p. 54-55). He added that, all kinds of scams are found to be taking place on account of failures at A and B levels due to lack of proper monitoring and control systems. Further, contractual appointments and tenures were thought of only for C and D employees, but not for the officers at A and B level, advice the Minister. It was sought to find out reasons for failures at a particular level in terms of control and supervision (Mathur, as cited in Mehta, 2000, p. 56).

3.2.4 (ii) Administrative Reforms: Gaps in Implementation

Success of administrative reforms depends on effective implementation. Bhaumik (1999) observed gaps in implementation of first generation of administrative reforms. Firstly, the members of the First ARC did not have adequate consultation as well as consensus on the strategy of reforms. It was reported that the Chairman of ARC, K.Hanumanthaiya did not consult other members of the commission to discuss the matters. Secondly, the committee was terminated abruptly on 30 June 1970 before it could sum up all 20 reports. Thirdly, it was argued that the impact of Reports of the ARC on Indian administration was minimal as ARC reflects mere intent, but not action. Fifthly, though ARC was started with fanfare and enthusiasm it could not live up to expectations. Reforms were reported to have suffered a major setback due to lack of proper follow-up and other factors, such as, bureaucratic resistance to administrative reforms, political corruption, pressure groups and vested interests, dilution of goals and objectives and misplaced emphasis on priorities. Moreover, it was reported that its abrupt abolition was welcomed throughout the country (Bhaumik, 1999).

Kaw, a senior civil servant observed that the ARC was not clear about its mandate. Further, the government does not have political will to implement recommendations

of ARC. Though Administrative reforms are critical to the rapid economic reform, the government did not consider it as a policy priority. It was argued that commitment of the government in reinventing the government is not as strong as it was in Margaret Thatcher's or Reagan's time or in other countries such as Malaysia, Australia and New Zealand (Kaw, as cited in Mehta, 2000, p. 35-36).

Mathur observes that implementation of administrative reforms has made little headway in the Indian administration. Structure of administration processes and procedures of work have remained still intact, except that cosmetic changes have been made here and there. Moreover the outlook of bureaucracy in dealing with the citizens had little impact on the lives of the common citizens. This long history of the India administrative system seems to have led to its ossification (Mathur, as cited in Mehta 2000, p.117- 118).

Dubhashi (1985, p. 179) finds that the implementation of reforms has been more of formalism; hence first generation administrative reforms could not create effective bureaucracy. Lack of commitment to ideas and a sense of purpose have defeated the objective of administrative reforms. They did not produce the administrative leadership and management skills among the bureaucrats. The reforms did not bring in a positive outlook, attitude, norms and values among the bureaucrats (Ibid, p.180). Moreover, the bureaucracy could not rise above its self-interest, which has attributed to the reason for failure of administrative reforms.

It can be summed up that the introduction of first generation administrative reforms was started with much enthusiasm. The reforms have been either on incremental and gradual strategy; hence the desired results have not been achieved.

The following section deals with the second generation of reforms that began in the wake of globalisation.

3.3 SECOND GENERATION ADMINISTRATIVE REFORMS IN INDIA (1994-till date)

The second generation of administrative reforms in India began during the last two decades. These reforms have been caused by liberalisation and structural adjustment. Liberalisation brought in few major changes in Indian administration. One such important change is the Information Technology revolution in administrative sphere in 1990s that has caught the imagination of both administrators and politicians. While

other sections of society are adapting themselves to these changes, it became imperative for the administration to respond to these changes (Mathur, as cited in Mehta, 2000, p. 55). This necessitated managerial changes in administration. This is an internal change communicated by ICT revolution.

Second change is caused by external environment or the pressure exerted by the international aid agencies and multinational corporations. The latter demanded downsizing the administration and reforming it. They suggested the government to cut down subsidies and create more efficient government. India was under pressure from the international agencies because the government took either loan or aid on the condition of administrative reforms. The government had to initiate administrative reforms as part of SAP. The third change is the increased level of people's awareness from grassroots level (Ibid, p. 55); and deepening of democracy. Decentralisation has granted greater powers to the panchayats which in turn encouraged the citizens in ways, viz, to participate in governance and identify gaps in the implementation of public policies and programs. This in turn, enabled the citizens to build pressure for reform from below (Ibid, p. 120).

Excessive expenditure in public sector has been cited as one of the causes to initiate administrative reforms. During the eighties, Indian economy recorded an average growth rate of 5.23 percent per annum. However, this growth has been offset by government spending and its resultant depletion of savings of the government and failure of the public sector. It led to a macro-economic crisis towards the end of the 1980s (Mehta, 2000, p. 237). The deep economic crisis of 1991 pushed India on to a new path of development. Importantly, it compelled the government to identify core functions can be performed it alone confine itself primarily to them. Rest of the functions were left to private sector and market (Mehta, 2000, p. 242). A New Economic Policy (NEP) was announced by the government in July, 1991 which envisaged roll-back of the State and placing a greater reliance on market-friendly policies. In the field of industrial policy, few changes have been introduced. Licensing was abolished for most of the industries, the number of items reserved for the public sector was reduced to six and the Monopolies Restrictive Trade Practice Act (MRTPA) was replaced with the Competition Act, 2002. The Competition Act, 2002 aims to prevent activities that have adverse effect on competition in India. Accordingly, the Competitive Commission was established in October, 2003. The

National Mineral Policy (1993) reserved thirteen minerals for exploitation by the private sector, while the National Telecom Policy (1994) allowed private participation in basic telecom services. The Air Corporation Act, 1994 enabled private air taxi companies to operate regular domestic services. The National Highways Act, 1956 was amended in the year 1995 to enable levy to toll on users of national highways (Mehta, 2000, p. 237). These initiatives indicated the shrinking space for public sector and a tilt towards the private sector in public service delivery. The next section examines the relation between economic reforms and administrative reforms.

3.3.1 Economic Reforms and Administrative Reforms

Whether administrative reform is part of the economic reforms is a question that has been raised by scholars of public administration. In countries like UK and USA, administrative reforms have been ideologically motivated, while in several countries it is induced due to financial difficulty (Arora, 2000, p. 7). The main reason for the macro-economic crisis was the growth of public spending throughout eighties. It resulted in the raise of fiscal deficit as a proportion of GDP from just 2 percent in 1996 to 7.8 percent in 2008, which was highest in the fiscal history of India¹⁰. The yawning gap between revenue receipts and revenue expenditure was met by deficit financing and the raising of internal and external debt. Attempts were made to curtail the deficit through reducing capital expenditure, which has had adversarial impact on economy.

The concept of administrative reform is not different from economic reform, for change in economic policy is going to have its consequence on administration. Abolition of Director General of Technical Development (DGTD) on 31st March, 1994 and establishment of Competitive Commission of India (CCI) in 2007 was due to changes in economic policy. Second generation reforms focus on three points: speeding up the process of economic reforms, improving productivity and velocity of operations by the government employees (Vittal, as cited in Mehta, 2000, p. 66-67). Economic reforms aim to reduce the role and scope of government and cut revenue expenditure (Ibid, p. 238). Downsizing the role of the government was done through dismantling of the excessive controls, disinvestment in the public sector, corporatisation of departmental undertakings, privatisation and contracting out of

¹⁰. <http://www.tradingeconomics.com/india/government-budget>, viewed on 20 February, 2014.

many services which were earlier performed directly by Government. Government's role was envisaged more in evolving the policy of governance and less in the actual governance itself. Most government departments evolved to function as facilitators rather than inhibitors of growth. New regulations were evolved and enforced so as to provide a level playing field between public and private sector enterprises. The administered price mechanisms was replaced by mechanisms based on market determined prices (Ibid, p. 239). These changes are part and parcel of administrative reforms.

An administrative reform is a continuous exercise. One reform, whether economic, administrative, or political reform is interlinked with the other reform. Reform is complete only if it is matched with the other reform. It is to be noted that administrative reforms in India did not have the rigour as much as economic reforms had. Methodologically, administrative reforms are also combined with management and governance. Administrative reform and management are two sides of the same coin, and the objective is better governance for the people of India. There was also a new framework emerged that the 'state *versus* people' paradigm should gave way to the 'state and people can go together'. The emergence of Non-Government Organisations (NGOs) acted as a buffer between the state and the people (Barman Chandra, as cited in Mehta, 2000, p. 87-88). The roles of the state and civil service have received attention in the tone of different committees set up by the GoI and its actions. The following subsections critically analyse the implementation of recommendations suggested by these committees.

3.3.2 Fifth Pay Commission (1994)

The second generation of administrative reforms can be said to have begun with the constituting of three-member Fifth Pay Commission (FPC) in 1994. It was chaired by a former Judge of Supreme Court, Justice Ratnavel Pandian and the other members include Prof. Suresh Tendulkar and Shri M.K.Kaw. Fifth Pay Commission took three years to complete its task and submitted its report in January 1997 (GoI, 1997, p.4).

Apart from deliberating on pay scale of employees only, Fifth Pay Commission suggested structure of emoluments and conditions of service of central government employees. It looked into the working methods and work environment. This exercise involves rationalisation and simplification of the work methods to promote efficiency

in administration, reduce paper work and reorganise the size of the government machinery. Recommendations of Fifth Pay Commission on administrative reforms are comprehensive as nearly one-tenth of the report is devoted to public sector management and with administrative reforms had far-reaching implications for Indian economy.

3.3.2(i) Public Sector Reforms in India

The performance of public sector in India has been dismal due to overstaffing, loss making and stiff resistance to reforms by politicians and bureaucrats, and lack of incentives for performance (Mathur, 2003). FPC proposed public sector reforms through adopting best management practices. In accordance with these recommendations, several initiatives have been undertaken to restructure the public sector in the wake of economic reforms. For instance, railways had launched of the Build-Own-Lease-Transfer (BOLT) scheme and attempted attracting private finance in railway projects on leasing terms. Besides, an Own Your Wagon scheme was initiated for investment by rail users in acquisition of wagons by the Railways in return for assured allotment of wagons and lease charges to be paid by the Railways. Other initiatives include privatisation of maintenance of railway station and outsourcing the catering services in trains to private contractors. Besides, the Department of Telecom had privatised value added services and cellular phone sector full-fledged. Contracting out was introduced in areas such as sanitation, maintenance, security, computer, reprography, canteen and transport services (GoI, 1997, p.718). These reforms have linkages with the economic reforms.

GoI proposed disinvesting the Public Sector Enterprises (PSE's) as they incurred huge losses incurred. Subsequently, it set up a Public Sector Disinvestment Commission in 1996 to suggest a comprehensive overall long-term disinvestment programme for about forty PSEs. It prioritised PSEs in terms of an overall disinvestment programme; and recommended the preferred mode of disinvestment (domestic capital market/international capital market/auction/private sale to identified investors/ any other mode). The committee suggested the appropriate mix between primary and secondary disinvestment; and advised government on possible capital restructuring of the enterprises. One of the important measures it suggested was to grant greater autonomy and flexibility, greater delegation of powers, introduction of greater

accountability by means of performance-related pay and a system of hire and fire (GoI, 1997, p. 288).

Reforms in public sector were highly contested as it got embroiled in controversies. For instance, the move to disinvest PSEs was highly criticised by the opposition parties, and other stakeholders. The government justified reforms on the ground that massive infusion of private investment is essential for capital intensive infrastructural sectors like energy, telecommunications, roads, ports. It argued that public sector should supplement private sector in some areas, while it takes up responsibility for the provision of social services like education, health, and nutrition.

3.3.2(ii) Restructuring the Public Sector

Strength of India's public sector in 1948 was small with a total workforce of 14.40 lakhs including 8 posts of Secretaries, 18 departments. By 1997, the workforce reached more than 41 lakhs with 92 Secretaries, 79 departments. The expansion of the government size is disproportionate to the increased workload and added flab to bureaucracy. The commission recommended downsizing the bureaucracy by thirty percent within a period of 10 years (GoI, 1997, p. 12). Further, it recommended for immediate abolition of about 3.5 lakh backlog posts and freeze on further recruitment to cut expenditure.

The Fifth Pay Commission suggested adoption of de-layering, level jumping in the government; and suggested slashing down of the number of holidays. It intended to replace the existing pattern of five-day week with six-day week as working days. However, this recommendation was not implemented for fear of opposition from staff. Another measure that the commission suggested was to inculcate service orientation among employees of public sector with the principles of flexibility and efficiency. The FPC envisaged restructuring of public sector at three levels: situation, action and process. At the level of situation, the physical environment, the operating environment and the socio-cultural environment were expected to be changed. At the actor level, both systemic and attitudinal changes need to be brought in. At the process level, the interventions related to operational processes and strategic processes were thought of required (GoI, 1997, p. 291).

The general formula suggested by the FPC to determine the size of a Department or Ministry is as follows:

- If it is a Core Central subject, it was planned to take it up in the beginning
- If it is a Core State subject, it cannot be a Core Central Subject too. In that case it should be high on the list of Ministries to be reduced in size.
- As one moves away from Core subjects to Participatory or Auxiliary subjects, the need for sizeable Ministries becomes more and more questionable. Such Ministries should be axed first of all (Ibid, p. 295).

Fifth Pay Commission recommended de-layering in Department of a Central Ministry. It suggested that no file would be allowed to travel to more than three hierarchical levels before a decision is taken (Ibid, p. 296). This is towards reducing the process time and arriving at quick decision-making. It was suggested that bureaucracy should be downsized by 50 per cent during the period i.e. 2000- 2005 (Ibid, p.15). The FPC viewed that automation and computerization play can reduce the wastage of time. Automation was considered important to prevent generation of a lot of unnecessary file movement and useless paperwork (GoI, 1997, p. 319).

It was proposed by the FPC to reintroduce Desk Officer System and restructure the secretariat. It was proposed to remove the defects in the earlier system. The following strategy was adopted in this direction:

- a) The Desk Officer should be a separate and distinct post, not a mere honorific for a Section Officer, with a pittance as special pay. The FPC suggested that 25 percent of the posts of Section Officers should be converted into Desk Officers in a higher pre-revised scale of Rupees 2500-4000.
- b) The percentage of 25 percent should gradually be increased to an optimum level so that the bulk of the work, barring that pertaining to housekeeping and routine administration is finally done in the desks and not in the sections.
- c) Each Desk should contain two officers and two Executive Assistants. With a numerical strength of four, the absence of one or two members will not disrupt the duties at the desk (Go I, 1997, p. 298).

3.3.2(iii) Public Servants and improving their efficiency

The FPC report underlines that public servants should be given intensive training in behavioural science. As they interact with the people, they were to be trained how to help them with the smiling face rather than projecting themselves as exploiters (GoI, 1997, p. 309). They should also be productive in service delivery. The commission

recommended three major measures to improve the productivity, viz, ensuring that employees availability of more time for work, motivating employees to work more, and improving the productivity through organisational restructuring and use of ICTs (Ibid, p. 310).

The FPC reported that the existing level of automation in government offices is quite inadequate and haphazard. It recommended wider use of ICTs to extend the file movement; and reduce the paperwork that was carried in the form of unnecessary report/returns, and extended file movement. It observed that excessive paper work causes delay and reduces the level of efficiency in government offices (GoI, 1997, p. 320). Though FPC gave a broader framework for improving efficiency of civil services, it could not address the question of administrative accountability. The FPC was originally was expected to work on triple objectives, such as, cut the size of the bureaucracy, remunerate them well and make them efficient and productive. However, the commission did not deal with any of these aspects.

The recommendations of the FPC reflect Indian State's interest in revamping bureaucracy. This is in accordance with the World Development Report 1997 that underscored the changed role of state and revamping of the bureaucracy. These changes were manifested in the introduction of public sector reforms and experimenting with the privatisation of selected services in selected sectors. A major thrust was laid on improving the productivity of the employees through training them and use of ICTs (Ibid, Vol.1, p. 20). De-layering the hierarchy and reducing the size of bureaucracy have been advocated as policy candidates under the public sector reforms.

3.3.3 The Subsidies Committee

Subsidies in social sector such as health education, and environment, are justified on the ground that they promote welfare of the society beyond the targeted sections. The Ministry of Finance, GoI brought out discussion paper on Subsidies in May 1997. This paper had argued the budgetary subsidies in India are unduly large, non-transparent, largely input-based, poorly targeted, and generally regressive. They induce waste and misallocation of resources. Following, these observations GoI appointed Subsidies Committee in 1997 to study the then existing subsidy regime and make recommendations (Srivatsava *et al*, 2003).

The Subsidies Committee report identified an important weakness of the present subsidy regime. It argues that the subsidies often promote inefficiencies. For instance, subsidies are considered to be subsidising inefficiencies of the public sector at large that include State Electricity Boards, State Irrigation Departments, the Food Corporation of India (Ibid, p.72). These recommendations have had significant impact on the equity and efficiency concerns of the fiscal regime (Ibid, p.21). The report suggested undertaking subsidy reforms to limiting their volume of subsidies relative to revenue receipts. It suggested limiting subsidies to only Merit I and Merit II categories¹¹, targeting beneficiaries, making the system transparent and explicit, and avoiding multiple subsidies to serve a single objective. Subsidies were sought to be result oriented (Ibid, p.71).

The report made recommendations similar to that of Fifth Pay Commission. Both of them have similar views that each departmental unit should prepare a plan for reducing staff strength, and put a limit on fresh recruitment. A scheme was thought of for redeployment of staff, and introduction of voluntary and sometimes compulsory, retirement schemes (Ibid, p.83). Recommendations of Subsidy Committee indicate that state should focus on improving the efficiency of employees in public sector with minimum expenditure and least wastage. These reforms are in tune with the principles of NPM.

It can be summed up, that prior to 1997; several attempts were made by State to reform administration. Major attempt among them is the setting up of First ARC. However impact of these reforms has been incremental. State introduced cut back management in the wake of globalisation. FPC and Subsidies Committee recommended downsizing the bureaucracy and improving the efficiency of the public sector employees. In a nut shell, these reforms aim at managing the public sector by

¹¹. The report suggests a three-tier hierarchy of Government social and economic services:

Merit I – Elementary education, primary health-care, prevention and control of diseases, social welfare and nutrition, soil and water conservation, ecology and environment.

Merit II – Education (other than elementary), sports and youth services, family welfare, urban development, forestry, agricultural research and education, other agricultural programmes, special programmes for rural development, land reforms, other rural development programmes, special programmes for north-eastern areas, flood control and drainage, non-convention energy, village and small industries, ports and light houses, roads and bridges, inland water transport, atomic energy research, space research, oceanographic research, other scientific research, census surveys and statistics, and meteorology.

Non-Merit – All others.

avoiding unnecessary subsidies which will have huge bearing on the economy. The next section discusses the good governance initiatives under taken by the government in post 1997 period.

3.3.4 Good governance Initiatives the post-1997 period

The Chief Ministers' Conference held by the GoI in 1997 is landmark in the history of administrative reforms. It was perhaps the first attempt in India to arrive at a national consensus in terms of good governance initiatives, viz, accountable and citizen-friendly government, transparency and RTI; and improving the performance and integrity of public services (Agnihotri, as cited in Mehta, 2000, p. 47). A commission was set up under the chairmanship of P C Jain to review the administrative laws under the theme of 'Accountable and Citizen-friendly Government'. Task forces were also set up in various Ministries and departments to support the commission in this task.

GoI announced that different departments and organisations should adopt Citizen's Charter similar charters. However, these charters are largely confined to paper and have had limited impact bringing the responsiveness in bureaucracy. Another initiative, adopted by the GoI was strengthening machinery of grievance. Under this initiative specific officers were designated at very senior levels to look into grievances. Computerized monitoring system was organized to get data about grievances sent and their disposal. A separate institution of Lok Adalat was set up for redressal of grievances in the business of government. The attempt to decentralise governance through 73rd and 74th Constitution amendments was a notable initiative under good governance (Agnihotri, as cited in Mehta, 2000, p. 47-48).

To attain transparency in governance, RTI was enacted in 2005. Information facilitation counters were set up in various Ministries of the central government. They worked as a single point so that citizens can get information about the working of that department as well as the pendency of any case that he/she has with that Ministry or department. It was proposed to utilise Information Technology (IT) to improve efficiency of the government. National Institute for Smart Government (NISG) was set up in 2002 to use IT for improving the efficiency and effectiveness of the government. To improve integrity in public services, the statutory status was granted to the CVC. Several vigilance procedures and award schemes for citizens as well as government employees were revamped. A code of ethics for civil servants was put in

place to generate commitment for core values. Some initiatives to provide for stability of tenure were discussed but did not take any concrete steps towards this direction. A major focus was laid on right-sizing the government (Agnihotri, as cited in Mehta, 2000, p. 48-49).

Administrative reforms initiated at the centre were replicated at state level also. In Andhra Pradesh, the following administrative reforms were undertaken:

- Government refocused on its priorities and its spending. It reoriented its role as a facilitator and catalyst and remain sensitive to the need for social equity and well-being;
- Decentralisation of governance to enable and empower people to have a decisive say in local administration;
- Introducing ‘Electronic Government’ and use of IT-based services to demystify procedures and improve the citizen government interface;
- Improving transparency and accountability to ensure effective and responsive services to citizens to become SMART Government;
- Enhancing capabilities and encouraging ethos of public service to strengthen policy making and performance; and
- Taking a leadership role in regulatory and other reform (Shastri, as cited in Mehta, 2000, p. 105).

The GoI commissioned the Strategic Management Group to forecast the likely scenario in the political, economic, social and other spheres up to the year 2010. This group was entrusted with responsibility of identifying possible changes in the character of governance and to suggest structural changes and the kind of bureaucracy required to meet effectively the emerging challenges of the twenty first century (Ibid, 2000, p.231).

The National Commission to Review the Working of the Constitution was set up by a resolution of the central government on February 22, 2000. It was headed by Justice M.N. Venkatchaliah. It submitted a report to the government in two volumes on March 31, 2002. It contains 249 recommendations of which 58 recommendations involve amendments to the constitution. 86 recommendations are related to legislative measures and the remaining are related to executive branch.

3.3.5 Second Administrative Reforms Commission

The GoI UPA-I constituted the Second ARC on August 31, 2005, to prepare a detailed blueprint for revamping public administrative system in India. Second ARC suggested several measures to achieve a proactive, responsive, accountable, sustainable and efficient administration for the country at all levels of government. The commission consists of the following members: Shri Veerappa Moily (Chairperson). The other members include: Shri V. Ramachandran, Dr. A.P. Mukherjee, Dr. A.H. Kalro, Dr. Jayaprakash Narayan (resigned later on 1 September, 2007) and Vineeta Rai (Member-Secretary).

Second ARC suggested few measures pertaining to organisational structure of the government, ethics in governance, refurbishing of public administration, strengthening of financial management systems, effective administration at the state level, effective District Administration, Panchayati Raj Institutions, social capital, trust and participative public service delivery, citizen-centric administration, promoting e-governance, issues of federal polity, crisis management and public order.. The commission excludes from its purview the detailed examination of administration of Defence, Railways, External Affairs, Security and Intelligence, as also subjects such as Centre-State relations, judicial reforms etc. which are already being examined by other bodies. Second ARC was given total autonomy and support required for its smooth functioning

3.3.5(i) Reports of Second ARC

Since its inception in 2005, the Second ARC submitted fifteen detailed reports on the areas ranging from RTI to terrorism and e-governance. Following are the titles of those reports.

1. First Report - 'Right to Information: Master key to Good Governance'
2. Second Report - 'Unlocking Human Capital: Entitlements and Governance- A Case Study'
3. Third Report - 'Crisis Management'
4. Fourth Report - 'Ethics in Governance'
5. Fifth Report - 'Public Order'
6. Sixth Report - 'Local Governance: An Inspiring Journey into the Future'
7. Seventh Report - 'Capacity Building for Conflict Resolution: Friction to Fusion'
8. Eighth Report – 'Combating Terrorism: Protecting by Righteousness'

9. Ninth Report – ‘Social Capital: A Shared History’
10. Tenth Report- Refurbishing of Personnel Administration and Scaling New Heights
11. Eleventh Report- ‘Promoting e-Governance : The Smart Way Forward’
12. Twelfth Report- ‘Citizen centric Administration: The Heart of Governance’
13. Thirteen Report- ‘Organisational Structure of Government of India’
14. Fourteenth Report- ‘Strengthening Financial Management System’
15. Fifteenth Report- ‘State and District Administration’

What follows is the brief discussion on the selected reports of Second ARC:

a) First Report - ‘Right to Information: Master key to Good Governance’

Second ARC submitted its first report on *Right to Information* in June 2006. It observed that the Official Secrets Act (OSA), 1923 in its current form is incongruous with the regime of transparency in a democratic society. Therefore, second ARC argued for repealing of OSA (Second ARC, 2006 a, p.11). However, this recommendation was not been accepted by the government on the ground that, OSA is the only law that deals with the cases of espionage, wrongful possession and communication of sensitive information detrimental to the security of the State. Government reiterated that this law has stood the test of time and has a very high conviction rate, hence there was no need to amend OSA. The Second ARC focused on a complete reorganisation of public records for effective implementation of RTI. It suggested establishing a Public Records Office in each state as a repository of expertise so that monitoring, supervision, control and inspection of all public records would be easier.

The Second ARC has been instrumental in making the GoI to enact the in 2005. It recommended setting up of the Information Commission by drawing at least half the members of the (IC) from non-civil service background to represent a rich variety of experience in society. According to this report, the Information Commission should be entrusted with the authority and responsibility of monitoring the implementation of the RTI Act in all public authorities. It was suggested that IC should be equipped with considerable autonomy and statutory power to examine and control all public authorities. The Commission emphasised on clear guidelines to bring NGOs into the purview of RTI Act.

The Commission also recommended setting up of supporting grievance redressal authorities to deal with cases related to delay, harassment and corruption. These issues can easily be resolved if the supporting authorities are in existence and work in close coordination with the ICs. Otherwise, there is a possibility of the system being overloaded with such cases; and discipline and harmony may be jeopardised. Therefore, certain safeguards to discourage frivolous and vexatious requests should be made. The Second ARC envisaged that RTI can not only be applied in the executive branch, but also in the legislature and judiciary at all levels. It suggested a roadmap to implement each of them. Its detailed recommendations pertain to a variety of issues including a civil service conduct rules and office procedures, record keeping, capacity building and awareness generation, and the exercise of power to remove difficulties. Based on the Second ARC's recommendations RTI was enacted in 2005.

b) Second Report - 'Unlocking Human Capital: Entitlements and Governance- A Case Study'

This report was submitted in July 2006. It explores the significance of community and its capability to ensure implementation of public policies in India. The report deals with the issues pertaining to formulation and implementation of the National Rural Employment Guarantee Act (NREGA), 2005. It reviews the past attempts to eradicate poverty and creating employment opportunity for the poor. While critically looking at policy implementation in India, the report attributes the failure of the previous programmes to the inefficient and corrupt administrative machinery. Also the inherent drawbacks of those programmes are major reasons for poor implementation of the programmes (Second ARC, 2006 b, p 2). However, it was expected that NREGA would involve citizens and NGOs in the implementation of the Act. The commission undertook a study of institutional, administrative and financial management systems of NREGA. Through the implementation of the Act, it is expected that community pressure on representatives of local authorities would demolish the traditional hierarchy of power that has disempowered the poor for several decades.

c) Third Report - 'Crisis Management'

The Third Report of the Second ARC on *Crisis Management* was submitted in September 2006. It brought the significance of having alert and responsive administration. The report starts with an overview of crisis management, its history and different types of crises. Further, it discusses India's key hazards and the crisis

response mechanism in the wake of Tsunami in month of December, 2004 in Tamilnadu. Inability of the government to face such disasters has become a wakeup call for the administration in India. It points out that the chance to prevent natural disasters like tsunami and cyclones are little. Therefore, a prompt and alert crisis management system is required to prevent the harms which occur in the aftermath of the crisis. The report dedicates one chapter to the gender issues and vulnerability of weaker sections. It concluded that preparedness to face any challenge in terms of natural or artificial crisis has to be created through conducting several workshops and seminars (Second ARC, 2006 c). The commission formed several groups and committees under the supervision of its members to study the causes and possible remedial measures available in those situations. Following the recommendations of the report, disaster management has been added to the curriculum in the educational institutions. National Disaster Management Authority was established under the Chairmanship of the PM under the Disaster Management Act, 2005.

d) The fourth report - '*Ethics in Governance*'

The Fourth Report entitled '*Ethics in Governance*' was submitted in January 2007. The report observes that ethics in public life are on the decline, particularly in politics and administration. This report has been divided into nine chapters. The introduction emphasises the need for ethics in public service. This is an attempt to reform not only the process of administration, but also administrators. It has been understood by the Commission that a good law cannot fulfil its objectives unless it is implemented by a good administrator. There is a need to change the mindset of the bureaucrats and politicians (Second ARC, 2007 a). In the report, subsequent chapters discussed the framework of ethics in different spheres of administration: ethics in politics, ethics in public life, international approach to bring in ethical values in administration, ethics for ministers, ethics for civil servants, and ethics for judiciary. Legal framework for fighting corruption also has been discussed along with the laws enacted in India to prevent this problem. It elaborated the need for creating institutions for checking corruption in public life, such as Lokpal and Lokayukta. The report also argues for the protection of whistle-blowers in the organisation.

e) Fifth Report - '*Public Order*'

The Fifth Report entitled: '*Public Order*' was submitted in June 2007. The report starts with differential roles of police before independence, its role today and its

supposed role for the future. The report outlines the role of police in maintaining public order, economic development and social harmony. While discussing the police reforms till date, it also describes peoples' perception of police, role of civil society and media in maintaining public order. The report advocates reforms in Criminal Justice System and stresses the need to introduce ICTs in modernising the Indian judicial system and prison reforms (Second ARC, 2007 b, p v). Amendments to criminal law, constitutional issues and core principles of police reforms have also been fairly discussed in this report.

f) Sixth Report - 'Local Governance: An Inspiring Journey into the Future'

The Sixth Report by the commission entitled: '*Local Governance: An Inspiring Journey into the future*' was submitted in October 2007. The debate on decentralisation has resurfaced after thirteen year of 73rd and 74th constitutional amendments. The report has identified nine characteristics of 'good governance', such as, participation, rule of law, transparency, responsiveness, consensus orientation, equity, efficiency and effectiveness, accountability and strategic vision. The report comprises of issues on local governance, its evolution and growth, core principles of democratic decentralisation, accountability and transparency, and use of technology. It argued that functional devolution and institutional reforms are needed for successful working of rural governance system. However, the report fails to emphasize the need for powers and funding to the panchayati raj system. The local government revenue in India is merely 3% of the total government revenues in comparison to 15% in USA in the year 2001 (Second ARC, 2007 c, p.iii). However, no significant recommendation has been made in this report for the improvement of local governance system in India.

g) Seventh Report – 'Capacity building for conflict resolution: Friction to Fusion'

This report was submitted in February 2008. It deals with causes of rising conflicts and solutions to it. In India, there has been a rise of conflicts based on caste and tribal issues, religion, regional disparities, poverty, land and water. These conflicts mark the political scenario of last two decades in India. The report is organised in four parts. First part briefly discusses conflict resolution. The second part provides a conceptual framework of the problem. While third part deals with conflicts, the fourth part examines the institutional framework for resolving conflicts. It deals with the Naxalite movement elaborately. The report envisages capacity building of administrative

institutions, local bodies, government personnel and CSOs in resolving conflicts (Second ARC, 2008 a, p 23).

3.4 Summary

This chapter attempted to examine the efforts of GoI to improve administration since independence. The researcher reviewed 17 reports of different committees including First and Second ARCs. The chapter has broadly discussed administrative reforms in the pre-globalisation as well as post-globalisation period. In the first phase of reforms, the government has appointed several committees starting with Secretariat Reorganisation Committee in 1947. Subsequently studies were carried out by the Public Administration expert from America i.e. Paul Appleby. This phase witnessed few structural changes in administration, such as, O& M practices and inception of Desk Officer System. The second phase of reforms has been guided by principles of NPM. Recommendations of Fifth Pay Commission and Subsidies Committee reflect it as they recommend downsizing the bureaucracy and steps to improve the productivity of employees.

The Chief Ministers' Conference in 1997 heralded a phase of SMART governance. Several states also introduced governance reforms, notably the erstwhile Andhra Pradesh. RTI (2005) is a major initiative to promote transparency in governance. Administrative reforms have been given legitimacy through setting up of Second ARC in 2005. The researcher reviewed 6 reports of Second ARC in relation to CSR in India.

In the next chapter, the researcher provides an overview of civil service in India and the attempts to reform it.

Chapter- 4

CIVIL SERVICE REFORMS: A GLOBAL PERSPECTIVE

4.0 Introduction

Civil Service Systems (CSS) have come under intense scrutiny during the past decades. The role and position of civil servants as core actors in public sector have been come under scrutiny by academia and civil society. It is argued that the supposed monopoly of civil service in public service delivery has gradually broken down. It has been caused by a range of internal and external pressures in the economic environment in the early 1980s (Raadschelders *et al*, 2007, p.1). The global (economic) world order has changed due to the fall of many communist systems and the rise of liberal economies in developing countries. Parallel to this, globalisation, transnational economic and demographic movements; cross border movement have caused many international changes that diminish the dominance of unified nation state. Accelerated information exchange and increased accessibility of information have made nations aware of their differences; and the governments to operate in an interdependent international environment (Farazmand and Pinkowski, as cited in Raadschelders *et al*, 2007, p. 3). Besides, multi-level governance¹² directly strikes at the very existence of CSS. Internally, there has been a paradigm shift in public service delivery from bureaucracy to policy networks, PPPs and collaboration between non-governmental bodies, and government. Apparently, both the internal and external pressures have transformed the nature of civil service globally.

This chapter surveys literature pertaining to CSR in few selected countries drawn from Asia, Africa and Europe and North America. It will provide an understanding of the impact of these reforms. Besides, it discusses the issues of pertaining to implementation of CSR in those selected countries.

4.1 CSR IN EUROPE

This section deals with CSR introduced in North-West Europe (with a focus on UK) and the West European administrative systems.

¹² . Multi-level governance refers shift in authority to upwards, downwards and horizontal. Upward shift in authority is due to globalisation; downwards due to decentralisation and horizontal shift due to the entry of non-government organisations in service delivery.

4.1.1 The United Kingdom

4.1.1(i) Context of the Reforms

The most notable attempt to reform civil services in UK can be traced to the Fulton Committee appointed in 1966. It was appointed to examine the issues related to *structure, recruitment and management* (including training) of the Home Civil Service and make recommendations. It submitted a Report in 1975 with twenty two recommendations that include clearly defined responsibilities among the staff and accountability in civil service. In pursuance of these recommendations, the government brought a number of changes that include:

- (i) A Senior Open Structure was started which brought staff from all disciplines at senior management levels into one group;
- (ii) Civil service College was opened in 1970 to initiate modern methods of recruitment and management of staff, especially specialists; and
- (iii) A new Civil Service Department was started to look after civil service with a free standing Head of civil service in charge (See Fry, 1993 for a detailed discussion).

Despite the implementation of recommendations by Fulton Committee, the administrative culture of British civil service continued to be bureaucratic up until the end of 1970s. The then Conservative Government led by Margaret Thatcher felt that the situation of public administration in UK was deteriorating. Thatcher was of the view that state was over-governed and the size of civil service was huge. She suggested minimal role for state and civil service. Under her leadership, several drastic measures were taken to improve status of civil service by initiating reforms in UK (Mehta, 2000, p. 262).

The government had initiated a number of reform measures in the 1980s and the early 1990s. These measures aimed at:

- (i) separating the role of the government in policy making and purchasing of goods and services from that of provision of such services;
- (ii) providing public services of quality to the citizens at affordable prices;
- (iii) restructuring of civil service by creating executive agencies (EAs) within the government;

(iv) introducing the transparency into the working of the government to hold the ministers accountable to what is happening in their departments and agencies; and

(v) Delegating management responsibilities to the departments and the agencies (Das, 1998).

The following paragraph discusses the major initiatives introduced in UK civil services.

4.1.1(ii) Financial Management Initiative

Prior to the implementation of CSR in UK, the size of civil services was more than half a million people. It became unmanageable for the government to bear the wage bill of the fat civil service. The reform intended to reduce its size from the existing staff in 748,000 in 1976 to 5,00,000 by 1998 (Das, 1998). In 1979, Efficiency Unit was created to find out unnecessary expenditure and reducing it. Efficiency unit comprise two civil servants and three seconded industrialists with a support staff of three; reducing the running cost of government organisations was taken as the yardstick for measuring the efficacy of the CSR. Thus, CSR implied reducing gross administrative costs and the size of civil service.

It was in this context, the concept of ‘benchmarking’¹³ was used to generate savings in running the departments and agencies. The departments had to identify cost savings in specific areas and use that experience as a benchmark to be applied to the departments or agency as a whole (Das, 1998). The Efficiency Unit developed a methodology for Scrutiny Exercises to be conducted by the departments themselves. Around twenty such exercises were held every year and these were reported to have produced savings of pounds 200 to pounds 300 million annually (Ibid, p. 262). Further, these exercises revealed several flaws in civil service which were sought to be remedied through the Financial Management Initiative (FMI) introduced in 1982. FMI placed more responsibilities on managers for planning and managing their own budget and measuring their output. Accordingly, output was measured and the cost-effectiveness of their work was evaluated. Each department was required to operate within a limit for its manpower and total running costs (Ibid, p. 263).

¹³ . Benchmarking is the process of comparing the business processes and performance of a company with that of other companies. The best practices followed in a comparing company will be earmarked a standard for all the companies in an industry.

4.1.1(iii) *Next Steps*

The Next Steps was an innovative approach to reform civil services in UK. Sir Robin Ibbs, the Head of the Efficiency Unit conducted an efficiency scrutiny of management across the government in 1986. The unit brought out a report entitled: '*Improving Management in Government: The Next Steps*'. The report has recommended three priorities for reforms:

- (i) The work of each department must be organised in such a way that there should be focus on the job that has to be done;
- (ii) The management of each department must ensure that their staffs have the relevant experience and skills to do the tasks that are essential to effective government; and
- (iii) There must be sustained pressure on and within each department for continuous improvement in the 'value for money' obtained in the delivery of policies and services. This approach had been influenced by NPM that emphasised on the business practices in administration.

In 1988, the *Next Steps* study recommended setting up of EAs to carry out the executive functions of government within a policy resources framework approved by the Minister. Each agency would be under the direction of Chief Executive who would have freedom from day-to-day involvement of the minister. By April, 1994, 60 percent of civil servants were working in EAs and other organisations operating on *Next Steps* lines (Das, 1998, p. 263). The impact of *Next Steps* was reviewed by the Committee of the House of Commons. According to it, the Programme brought about 'an overall transformation in government' by bringing significant improvement in the British civil service. Some among them are:

- (i) Total management responsibility has been delegated to the chief executives of the agencies with regard to designing structures and processes, for pay and grading of staff to the agencies;
- (ii) The key targets for an agency are negotiated between the chief executive, the department, and the minister in the context of the Business Plan for the financial year;
- (iii) Each agency publishes a Framework Document setting out the aims and objectives of the agency;

- (iv) It brought quickness in the government's responsiveness to citizens' needs. For instance, the waiting time for driving tests was reported to have been reduced from 13 weeks to less than 6 weeks. Similarly the processing time for the Passport Agency was reduced to 7 from 24 days; and
- (v) The *Next Steps* initiative has resulted in a greater volume of information being published about the activities of the government. It led to more sustained focus on performance in relation to both quality of service for the customer and to efficiency, strengthening of accountability, and greater transparency.

4.1.1(iv) Privatisation

Implementation of CSR in UK was spearheaded with the launching of neo-liberal policies in the mid-1980s. Resultantly, a radical shift took place in the public service delivery in UK by the end of 1980s. State's role has been redefined as more of a 'facilitator' than the 'provider' of public services. It sought to play a 'minimal' role and privatisation of services. For the first time in the history of British government, citizens were no longer treated as passive recipients of the benefits from the state but as customers with choice. Privatisation of government owned companies such as British Telecom, British Gas and Airways etc. was kicked off during the mid-1980s. Contracting out and marketisation of public services in UK had got momentum by the end of 1980s.

The British Government used 'Prior Options' process liberally. In this process, the governmental activities were regularly reviewed to see whether they should be abolished, privatised, contracted out, market tested or organised in agency. Private sector was allowed in administration of Civil Service Pension Scheme, collection of business, food safety enforcement and Rent Registration Service in Scotland. Pay and grading structure in Britain was disaggregated through CSR (Das, 1998).

It can be summarised that Thatcher's government, during 1979-90, focused on elimination wastage in public expenditure and improving the status of financial management of civil service through FMI. The *Next Steps* Programme was used as a vehicle to bring transformation in civil service by creating EAs and freeing policymaking from policy implementation. In the mid 1980s, the government pursued neo-liberal policies by undertaking the privatisation and contractualisation on a larger scale.

4.1.1(v) Citizens' Charter

In 1991, the Prime Minister John Major continued the pace of reforms initiated by his predecessor Margaret Thatcher. He launched the Citizens' Charter Initiative which became central to the British CSR. This was a ten-year Programme designed to raise the standards of public service by making civil servants more responsive to the wishes and needs of the service users. It emphasises the idea of 'customer' and entitles every citizen to the following from the public departments or agencies: a) standards of performance b) information and openness c) choice and consultation and d) courtesy and helpfulness. The Charter empowers people to monitor the functioning of the public agencies against the set standards.

- a) Standards of Performance: It includes components such as setting standards, publishing standards, publishing information of performance against standards. Accordingly, realistic targets and targets were set in government organisation. Ministers set and monitored targets on the level of performance expected from the agencies. Steps were taken to improve the system of performance measurement by developing unit cost and productivity measures (Das, 1998).

In addition to this, performance based budget was introduced in the mid 1990s. Subsequently, the "Best Value" initiative was introduced in 1997 in local government to replace the Compulsory Competitive Tendering (CCT) legislation. According to this legislation, every part of the council's budget must be reviewed at least once in every five years. Every review must apply the '4Cs' methodology that consists of the following steps: Challenge the need for the service and the way it is carried out; Consult with all relevant stakeholders; Compare the performance of the service with other providers; and Compete (test the competitiveness of the service). Each local authority was asked to publish a plan to improve its performance significantly (Bouckaert and Van Dooren, 2007).

- b) Information and openness: Information was to be made available to the citizens in a clear language.
- c) Choice and Consultation: According to this, public agencies should consult the customers and provide choices in rendering the services.
- d) Courtesy and Helpfulness: The officers should hold name badges with the tag- '*May I Help You?*' The employees should be polite to the customers.

Accordingly, the civil servants were trained how to serve the customers, who are in need of special services.

- e) Putting things right: If there was a mistake in serving customers, the concerned officer should apologize to the customers. Departments should provide easy-to-use and effective complaints procedures to make them user-friendly and straight forward. It was emphasised that customer can complain with confidence if time limit is followed in addressing grievances of the customers. Finally, independent reviews were carried out in order to know the satisfaction of customers and feedback to improve services.

It can be observed that Citizens' Charter led to an overhaul of the organisation of civil service and the manner of its functioning. For instance, British Rail had set standards for the reliability and punctuality of train services since 1992. It published performance reports each month and made it open to the public. Civil servants started wearing name badges and answering the queries of the public on phone. Later on, the Citizens' Charter evolved into the Charter Mark Scheme to give award for excellence in delivering public services (Das, 1998). Thus, CSR in Britain were institutionalised through setting up service standards and ensuring the compliance.

The recommendation of Fulton Committee in United Kingdom was set to be forerunner of CSR in that country. It can be summed up that NPM was the guiding philosophy of CSR in UK. Attaining economy, efficiency and effectiveness (3Es) was the major concern CSR. Reforms were initiated to make civil servants relevant to the contemporary needs of the society. Professionalism, accountability, delivering services on modern managerial lines was the focus of CSR. Accordingly structural adjustments were made to make civil service lean, efficient, and accountable.

4.1.1(vi) Impact of CSR in UK

It is documented that CSR in UK have strengthened the accountability of civil service both to the Parliament and the public. It was built on the existing framework of ministerial responsibility. Further, reforms have brought clarity in the role of civil service. It was a paradigm shift from *administrator and the administered* to the new paradigm of the *administrator and the user*. With adoption of NPM, 'Value for money approach' has significantly improved. As a result, the activities of civil servants were reviewed and exposed the civil servants were to competition under the

Competing for Quality Programme. Since 1979, the British government began to pursue a consistent policy of transferring some duties of government organisation to the private sector. This facilitated the exercise of downsizing of civil services (Das, 1998). The implementation of CSR witnessed a very high level of automation with attendant reduction in useless paper work, during the past three decades. By the year 2008, UK invested more than 2 billion pound a year and employed 20,000 staff (despite reduction in the overall size of the government) to install and operate various information and telecommunication system (Mehta, 2000, p. 320). It was in tune with the ICT revolution.

It is documented that implementation CSR has been successful. The following are the conditions that are critical for the success of the Programme in UK. Political commitment to change on the part of the government is sustained throughout the implementation of reforms. The degree of cross party agreement on policy principles to reform British civil service helped this process. In addition to this, the pressure to secure the most efficient use of resources has led to the minimum wastage. A revolutionary step to reduce the size of civil service resulted in reduction in government expenditure. Civil servants have been given opportunity to participate in analyzing the problems that they faced. Importantly, responsibilities for implementation were firmly placed with those responsible for sustaining the changes. Moreover, the programmes of staff development were directly linked to the reform Programme (Mehta, 2000, p. 263-264).

CSR in Britain had been supported by both ruling and opposition parties. However, the thrust for reform varied from one party to another. For instance, when the New Labour party came to power in 1997, reforms were not carried out with the same vigour as Conservative party did. It is argued that reforms in British civil service had double-edged effects. On one hand, they made civil servants accountable to the public, but it neglected the issue of equity. The continuation of reform for longer period was reported to have brought 'reform and measurement fatigue' (Pollitt and Bouckaert, 2006, p. 294-96). It can be argued that CSR in UK are a logical conclusion of the concept of accountable management, which is based on a client-responsive administration. UK in CSR had impact on the similar reforms in West Europe administrative system also. The next subsection deals with the reforms in Europe.

4.1.2 CSR in West Europe

The government and CSS in West Europe had suffered from a negative image in the past two and half decades. There was a shift in public confidence towards European civil service between 1981 and 2000. Public trust in countries like Netherland, the UK, Denmark, France, Finland and Northern Ireland was low compared to Germany, Belgium, Italy, Sweden and Ireland and Iceland (Meer *et al*, 2007, p. 45). For instance, bureaucratic rigidities associated with personnel management regulations and practices in those countries have increasingly come under scholarly criticism. These rigidities were perceived as hindrances to the efficiency and effectiveness of civil service. It is to be noted that the declining level of trust in civil service reflects the decline of public confidence in the performance of government institutions. General (dis)satisfaction with government can strongly be connected with how people feel about the overall state of the nation (Ibid, p. 46).

In response to the declining image of the public service in the past 20 years, many West European governments have intensified their efforts to improve public service delivery and to make civil service more responsive, transparent and accessible. Introducing more flexibility in civil service system was given primacy. In addition to this, large budgetary deficits in the government, social-economic tensions accompanied by political-ideology resentment against big government and bureaucratic interference led to call for smaller (more effective and efficient) government in the west European CSS. It stimulated a fundamental reappraisal of the place and role of public personnel management (Meer *et al*, 2007, p. 36).

Major objective of this reform is to evolve objective system of recruitment and selection that can secure the hiring of qualified and skilled civil servants. In order to avoid appointments based political nepotism, rules and regulations have been refined and expanded to limit the room for discretion. It was expected to avoid abuse of power or arbitrariness. Due to these efforts, the personnel management system was streamlined and civil services slowly acquired a protected and professional nature. Civil service legislation was introduced in West Europe to limit political and managerial abuse and flexibility. In the West European civil service systems, representativeness was used to ensure a stronger national unity and stop national disintegration. Belgium is a case in point wherein representative bureaucracy is seen

as an important instrument to ensure a balance of power between different groups and to help the preservation of the Belgian state (Meer *et al*, 2007, p. 40).

4.1.2(i) Politicisation of Civil Services

It is interesting to observe, that there has been increasing politicisation of civil services and diminishing the reliance on ‘neutral’ civil servants in the UK, Germany, Ireland, the Netherlands and Sweden. This is nothing but the violation of the principle of political neutrality and Wilsonian public and administrative dichotomy. Politicisation of civil services in West European countries provided a major impetus to reform civil service. The principle of political neutrality with regard to politics-administration dichotomy is maintained to shield civil service from overt party-political control and enhance its efficiency and to ensure its fairness (Meer *et al*, 2007, p.41).

Peter and Pierre (2004) classified politicisation of civil service into bottom-up and top-down politicisation. Bottom-up politicisation pertains to the increase of political activity by civil servants. It includes party-political allegiance and behaviour, a political-oriented attitude and the awareness of the political context of public service delivery. For instance, in countries like the UK and Ireland, some (senior) civil servants are still forbidden to be (active) members of political parties. Top-down politicisation involves an increased level of control exerted by government over bureaucrats. It occurs when political office holders try to ensure that opinions and behaviour of public servants are (made) compatible with their own policy preferences.

In countries like UK, the Netherlands, Denmark, and Norway, the formal political appointment of top civil servants is not a practice. Nevertheless, sometimes informal nominations of civil servants can be made. The proliferation of advisers under Tony Blair in the UK is exemplary for the creation of quasi-ministerial cabinets. Politicisation can manifest itself in structural terms by deconstructing a monolithic and integrated ‘bureaucracy’ through slimming down ‘bureaucracy’, creating competing advisory or implementation offices and setting up of a supervisory bureaucracy. In the UK, the *Next Steps* Programme was partially instituted as a form of reorganisation through which politics could gain control (Meer *et al*, 2007, p. 43).

In countries that adopted NPM, politicisation manifests in the attempts of politicians to change the behaviour or culture of the public service into a more responsive set of

actions, beliefs and values. This is done by manipulating or creating a service ethos and/or adapting legal provisions. More emphasis has been laid on civil servants' ability to implement policies. It enhanced the confidence of civil servants. It has been opened to outside appointments (Meer *et al*, 2007, p. 44).

4.1.2(ii) Impact of CSR in West Europe

Despite several efforts, CSR in West Europe is confined to a paper exercise leading to mystification surrounding data and figures. Of course, ample Human Resource Management (HRM) policy initiatives have been undertaken but they have less real life reform. Reform may have de-monopolised civil service in opening employment to outsiders to small degree. However, these reforms have not altered system of managing public sector personnel. It was reported that politicisation of civil services increased in the post reform period. Civil servants became more open to the political dimensions of their function and there was increased control exerted by government over bureaucrats through changing structures, culture and/or people in civil service system (Ibid, p. 47).

Reform initiatives have 'deprivileged' civil servants in terms of opening civil service to a certain extent. However, they did not lead to new management of public sector personnel. The gradual introduction of flexible reward schemes, including merit pay did not yield expected results (Bekke and Meer, 2000). For example, Pay system in the Netherlands and UK can at best be situated somewhere in between 'the traditional and the new model', while Sweden is one of the exceptions for having introduced a system where traditional seniority or age-based increments no longer are a major part of civil servants' pay and pay determination is decentralised and even individualized. Many reforms have been politically and budgetary motivated, but there have been some cases where civil servants themselves played a major role in introducing reform. However, it is to be noted that most West European civil service systems show continuous reform efforts and incremental changes (Meer *et al*, 2007, p. 34).

The next section discusses the 'Reinventing Government' movement in USA.

4.2 REINVENTING THE GOVERNMENT: UNITED STATES OF AMERICA

The 'Reinventing Government' movement was originated in America in response to the weakening capacity of the government to the changing times. A survey conducted in the end of the 1980s reflects the poor image of the government among the

Americans wherein only 5 percent of them preferred government job as their career. Only 13 percent of top federal employees said they would recommend a career in a public service. This logically leads to a question: *'Is government dead?'* The status of American public administration can be summarised as follows: *"the age-old institutions which accomplished tasks well in 1930s and 40s are unable to deliver goods keeping abreast the ongoing technological changes in globalised era. Those institutions are highly hierarchical, centralised and bureaucratic in nature"* (Osborne and Gaebler, 1992). The gravity of the situation can aptly be captured in the words of then USA President, Bill Clinton: *'the government is broken'* (Moe, 1994, p.111).

CSR in USA were introduced in the early 1990s under the leadership of Al Gore, the then Vice President of USA. Reforms were undertaken as part of the National Performance Review/National Partnership for Reinventing Government (NPR). The origins of NPR were traced to the two writers: David Osborne and Ted Gaebler. Civil service accumulated inefficiency over a period of time. Added to this, the public services outstripped revenues. The weakening capacity of the US government, a deep recession in the United States in 1982 and its resultant poor image of the government among the Americans led to a revolt by people. People began to question why should they pay taxes when service delivery (by the government) is not up to the mark. It was widely reported that they lost faith in the government, and looked for alternative service providers. There was enormous pressure on the American public institutions to perform better. The environment was marked by demands for empowering the citizens instead of simply *'serving'* them.

An important question was raised: why can't be the government "run like a business". The idea of *'doing more with the less'* has become dominant philosophy. Government is seen as an instrument to be used for that purpose. However, the instrument of government is outdated; hence the need for reinventing government (Osborne and Gaebler, p 24). Given this background, debate on *'restructuring'* and *'rightsizing'* of public sector surfaced in American public administration. In this context, Governance was seen as a new paradigm to address the needs of American society.

There was a need to overhaul the government to make more flexible, more innovative and more entrepreneurial. Entrepreneurial Governments (EGs) do have characteristics, such as: promoting competition between service providers; giving

more importance to outcomes than outputs/inputs; empowering the citizens; becoming mission-oriented; focusing on customers; preventing problems before they emerge; earning money than spending; decentralising authority; preferring market mechanism and catalyse all sectors. These principles became the guiding principles of PSEs.

Of late, it has been the tendency of the governments to do away with obsolete rules and regulations in favour of mission-oriented governments. The cumbersome rules and regulations take away the discretion of the managers in the public organisations to spend money. Lack of managerial autonomy has been one of the important characteristics of the traditional public organisations. Most public organisations in US have been driven by their rules and budgets, but not by their mission. In contrary to this, EG dispense with rule books that enable their employees to pursue the missions. Following are the advantages of mission-driven vis-a-vis rule driven organisations. They are more efficient and effective than rule-driven organisations in terms of producing better results. They are more innovative and flexible with higher morale.

The traditional public institutions in America were rule-oriented and lack the spirit of competition. Reinventing Government envisages public agencies to compete among themselves as well as with private agencies in delivering services. The process-driven framework of work has to give way to outcome framework making public sector more result-oriented. The government has been entrusted with the responsibility of empowering citizens by providing options to choose service providers and treating them as customers.

Usually, private organisations differ with public organisations in relation to the way they are funded. Private organisations focus on results, lest they go out of business. On the other hand public organisations seem to be rarely bothered about results. The input-based funding of the American institutions did not induce the public entrepreneurs to strive for better performance. In contrast to this, if they are funded according to outcomes (results) then they will become obsessive about performance. Political leaders are more concerned with being re-elected in the next elections rather than improving the performance of the public organisations. So they spend their energies in pleasing the voters rather than empowering them. Most importantly politics focuses on perceptions and ideology, but not on performance. The changing

context of governance, public organisations is assessed based on three criterion- accountability, performance and results.

NPR sustained for eight years under US Vice President Gore's leadership. The objectives of NPR included a decreased workforce and elimination of ineffective programmes, targets that would likely to be embraced by the American public. These objectives have got legitimacy through various legislations. For instance, procurement reform was codified in the Federal Acquisition Streamlining of 1994. Reforms in American civil service can be categorised into three phases as shown in Table 4.1 (Shields and Gadsby, n.d, p.1).

Table 4.1 Phases of Reform in USA

Phase I 1993-1994	NPR began its work by identifying fundamental reforms to the governmental process, including customer service and procurement. Downsizing was considered to be a major objective, while identifying the wastage of resources and opportunities for management improvement was explored. Agencies were ordered to develop customer service plans.
Phase II 1995-1998	NPR redirected its focus from process reforms to outcome. It focused on the basic question of what government should do. One reason for this refocus was shift in congressional power from the Democrat to Republican party. Republicans ran on an agenda of rethinking the notion of "Big Government." During this phase, NPR considered ways to devolve some authority and functions to state and local governments, and it proposed increased use of private entities to deliver services. User fees and agency reorganisation were advocated and undertaken.
Phase III 1998-2001	NPR shifted its attention to "new ideas," including efforts aimed to improve chronically troubled agencies and those that would broadly appeal to Americans. Effective use of IT and electronic government received particular attention during this phase, as did outcome measurement and one-stop access to government information.

4.2.1 (i) Impact of Reinventing Government

CSR have been initiated in three states of USA-Texas, Georgia and Florida. These three states changed the manner in which recruitment and HRM of civil service takes

place. In the post-reform period life of citizens in these states has been increased due to improved personnel management. It was also reported that political interference in the appointment of civil servants has come down (Walters, 2002, p.39). It was also reported that the recruitment of personnel (hiring and firing) had acquired national character covering the population of all the states, gender and race. It led to the enhanced hiring flexibility. The reforms initiatives have been supported by the citizens of America. In a study by Peach Poll in 2006, the citizens of Georgia had exhibited high levels of support for reform initiatives (Peach State Poll as cited in Condrey and Battaglio, 2007).

The impact of CSR in Anglo-Saxon countries found resonance in Africa. The next section discusses the CSR in two select countries, i.e. Ghana and Ethiopia.

4.3 CIVIL SERVICE REFORMS IN AFRICA

CSR in Africa can be located at the background of globalisation. In the World Development Report entitled '*The State in a Changing World*' (1997) which underscored the role of (effective) state in (better) service delivery. The report recognises the role of institutions in allowing markets to flourish and people to lead healthier and happier lives. An effective state is correlated with an effective civil service in this report. Accordingly, civil service is regarded as a *sine quanon* for economic growth and an essential condition for the emergence of the modern state (Olowu, 1999, p.4). However, it appears that civil service in Africa has underplayed its role.

One of the key problems of African civil service was overstaffing and bloating in size. It was attributed to state's policy that emphasises state as last resort of employment. The surplus employment incurred large amount of expenditure to the national exchequer. By the late 1980s, the overstaffing in many African countries absorbed a significant proportion of government revenues- between 40 to 60 percent. This led to high wage bill problem, reducing government revenue. Furthermore, the states in Africa were unable to afford the cost of paying decent salaries and wages to civil servants. Yet, the state used to act as the employer of last resort. Three other problems faced by civil service staff are: merit-based versus patronage recruitment and

promotion, politically neutral versus partisan civil servant and capacity development through skills development and upgrading (Adamolekun, 2007, p. 86-87).

Civil service in Africa did not have capacity to implement public policies and development projects funded by donor agencies. Erosion of State's capacity to attract and retain professional civil service compounded problems in the service delivery. A strong administrative mechanism was perceived as a key to effective service delivery and sustainable development (Chaudhry *et al*, 2005). Surplus employment, cost overruns and poor performance of civil service have purportedly led to the contemplation of initiating CSR by donor agencies, World Bank and UNDP in Africa during 1980s.

Two key dimensions of CSR include: (i) improving performance of individual civil servants, and (ii) improving their performance service delivery. Improving service delivery is linked to the institutional reorganisation associated with the redefinition of the role of the state. Service delivery orientation had influenced the restructuring of governmental administration through the creation of autonomous EAs. These agencies had clearly stated service delivery contracts. Besides, there was transfer of some central government functions to sub national and local governments (through decentralisation and/or devolution). Promoting partnerships between governmental administration and the private and voluntary sectors had become imperative for the government. The reform activities aimed to ensure effective enforcement of the accountability of the civil servants to the citizens making government operations transparent and open. The scope for citizen participation was enlarged. Fighting corruption and restoring ethical behaviour in civil service were made integral to the CSR.

The following sections provide the discussion on CSR in two specific countries in Africa: Ghana (West Africa) and Ethiopia (East Africa)

4.3.1 GHANA

Ghana is a country that has implemented CSR on large scale in Africa. Administrative reform in Ghana began with the establishment of Lidbury Commission in 1950. This commission felt the need for redesigning of civil service machinery which was highly bureaucratic. It aimed to decentralise civil services by involving the dispersion of

executive and administrative responsibility to a number of ministries and regional bodies. Though efforts were made to post civil servants to different regions it did not yield results.

Efforts were continued to restructure civil service by making it productive and efficient. For instance, Mills- Odoi Commission was appointed in 1967 to look into the Structure and Remuneration of the Public Service. Okoh Commission was appointed in 1974 to look into the Structure and Procedures of civil service. Both commissions suggested restructuring of the ministerial organisations. In 1982, Kyaku Kyiamah Committee was appointed by the Provincial National Defence Council (PNDC) government to look into the restructuring of civil service machinery with particular reference to the role of Principal Secretary and his/her relationship with other Technical Personnel in the Ministry. In the same year, Sackey Commission was set up to examine the issue of restructuring of ministerial organisations. Despite these efforts since 1967, restructuring of civil service and decentralisation of administration did not take place in Ghanaian civil services. The failure has been attributed to the lack of political and bureaucratic commitment (Ayee, 2001).

4.3.1 (i) Civil Service Reform Programme (CSRP) -1987

Ghana witnessed deteriorating economic conditions in early 1980s. By 1983, its GDP per capita declined drastically by 4.8 percent. This compelled the Government of Ghana to reduce salaries of civil servants by 10 percent, making its civil service one of the underpaid civil service in Africa. Adding to this, civil service in Ghana was overextended, under skilled, and overstaffed (Das, 1998, p.31). The declining GDP and economic situation compelled the government to undertake reforms. The government introduced SAP under the aegis of the donor agencies, such as World Bank and UNDP. Therefore, economic reforms were undertaken by intertwining them with CSR.

SAP was introduced in 1983 under the PNDC during Lieutenant J J Rawlings' regime. Rawlings introduced market reforms under the SAP to boost economic growth. Accordingly, structural adjustments were made to economy and civil services as part of SAP. Simultaneously, CSRP was introduced in 1987 comprising of the following five components: controlling the size of civil services; pay and grading; organisation and management reform (performance appraisal and performance related pay, attain economy); management of retrenchment; and training (Ayee, 2001, p. 2).

The overall objective of the CSR was to restructure civil service and make it more productive, effective and efficient by strengthening its capacity for the implementation of the development Programmes. The CSRP was undertaken in phases. The first phase was undertaken from July 1987 to June 1988. The second phase was the implementation phase, which began in June 1989 to May 1993 (4 years). Office of the Head of civil service (OHCS) was made the central agency for the management of civil service. Despite several efforts implementation of CSRP was reported to be a failure. This was attributed to factors such as lack of administrative commitment, motivation and involvement of civil servants in bureaucratic system. In addition to this, political instability and mistrust of the politicians of the bureaucrats have had their part in rendering the CSRP a failure (Ayee, 2001).

4.3.1(ii) Civil Service Performance Improvement Programme (CSPIP) - 1994

Following the failure of the CSRP, the Government of Ghana launched National Institutional Renewal Programme (NIRP) in September 1994. Its main aim was to promote the institutional administrative capacity for good governance in Ghana. To enable the achievement of NIRP, a Public Sector Management Reform Programme (PSMRP) was launched. The PSMRP redefined the role of state and its functions, designed appropriate institutions to facilitate this role. One of the major components of NIRP was Civil Service Performance Improvement Programme (CSPIP). Thus, CSRP of 1987 was replaced by the CSPIP in 1995. The first phase of CSPIP was 1995-2001. This was followed by two interim phases up to 2003. CSPIP had the following main objectives:

- (i) To rectify the shortcomings and the critical gaps in the implementation of CSRP;
- (ii) To promote and enhance civil service performance, service delivery systems and good governance with particular emphasis on transparency and accountability; and
- (iii) To achieve and sustain growth rates from 5 per cent to between 8 per cent and 10 per cent in the medium term (Ayee, 2001, p. 26).

Ayee (2001) noted that civil service in Ghana did not learn to be professional despite the implementation of first phase of CSPIP. Attempts of CSR have further been augmented by New Patriotic Party (NPP) led government under the leadership of John

Kufuor in 2001. The government launched the President's Special Initiative (PSI) in 2001 to identify the potential of business opportunities. A separate Ministry of Private Sector Development was created in 2004 to encourage private sector. PSI was to attain what John Kufuor called 'Golden Age of Business' (Arthur, 2006, p.33) with the implementation of neo-liberal policies in Ghana.

It is to be noted that there was difference between Rawlings' government and Kufuor government with regard to the manner the private sector has been treated. Though SAP was introduced during Rawlings' time, he was hesitant to encourage private sector openly. On the one hand, Rawlings had to take a step of confiscating the private property. On the other hand, he encouraged the development of private sector by showing commitment to it. Kufuor's efforts to initiate 'Golden Age of Business' had been hampered by several factors, such as, lack of access to information of markets and inadequate physical infrastructure, high cost of credit, lack of sophisticated marketing facilities and inability of the government to set up cassava (a staple food of Ghanaians) factory (Arthur, 2006, p.42). Arthur summarises that these efforts were not adequate and the state did not play a great role in development of the country.

4.3.1(iii) Public Sector Reform- 2004

The Government of Ghana, in the year 2004 embarked upon a new strategy to implement Public Sector Reform (PSR). President J.A. Kufuor gave thrust to become a middle income country by 2015 and his government drafted a strategy document titled '*Towards a New Public Service for Ghana: A Working Document*'. A separate ministry that is Ministry of Public Sector Reform was created in 2005 to implement the CSR. A Minister (P. Kwesi Nduom) was held responsible for this task. This initiative was undertaken as part of Growth and Poverty Reduction Strategy II (GPRS II). Among other things, restructuring of civil service was one of components of GPRS II.

The Ministry of Public Sector Reform in its report documented that civil service became stagnant in the last two decades due to budgetary constraints and lack of training (Government of Ghana, 2006, p.9). It contemplated the implementation of public sector reforms in five phases as outlined below:

- (i) Implementing quick and specific activities to gain buy-in and support from key stakeholders and establishing basic conditions for reforms such as improved HRM and regulatory framework for subvented bodies;
- (ii) Measures to be taken to improve responsibility and accountability within the public sector based on the removal of excuses for non-performance; and clear and appropriate information flows;
- (iii) Development of deeper delegation and decentralisation within improved framework of accountability;
- (iv) Improved focus on the needs of customers for public services including an improved business for the private sector; and
- (v) Tackling institutional and systemic bottlenecks that have constrained the ability and capacity of public sector to provide efficient services to the public.

4.3.1(iv) Performance Management

As has been mentioned, absence of Performance Management System (PMS) in Ghana led to accountability problems in civil service. Implementation of the CSPIP could alter the popular notion that civil service exists for advising the government only, but not for service delivery. Performance Reporting System (PRS) was introduced under the PMS, wherein the heads of the department have to submit performance report to the OHCS regularly. Performance management can be located in the context of Economic Recovery Programme (ERP) initiated in the early 1980s. The ERP was meant to reverse economic decline caused by inefficiency of civil service, and CSR Programme was undertaken as part of ERP so that it would contribute to goals of the latter (Ohemeng, 2009).

The Self Appraisal Instrument (SAI) was introduced in place of ACRs. Performance measurement at individual level started with the President who sets goals for minister. Then minister in turn set the goals for chief directors and the latter set goals for the directors. The organisational performance is assessed through annual reports and annual statements. Performance agreements have been introduced to measure performance of the senior civil servants. At the end of year, the latter are made accountable to the achievement of outputs they delivered as per the agreement.

It was observed that performance appraisal became a routine affair in Ghanaian public sector. For instance, both performing and non-performing civil servants were rated alike. Besides, promotions became a routine aspect in the Ghanaian civil service.

Ohemeng (2009) observed that traditions and culture in Ghanaian society hindered the improvement of performance of the public service, let alone civil service. For instance, the tradition came in conflict with the administrative rationality which is a basis of modern organisational theory. These traditional practices have interfered in the matters related to recruitment, performance appraisal, and compensation. He noted that: the *'exaggerated respect for the elderly, power distance between bosses and subordinates, extended family values into office culture, institutional fragmentation (in 'decision-making', lack of resources to achieve targets, lack of political will, secrecy in performance schedule, absence of follow-up of the performance appraisal, absence of enthusiasm on part of the political authority, people's ignorance of Performance Measurement* contributed to failure in PMS. A study of the public knowledge about CSSIP shows that 72.6 per cent of Ghanaians were not aware of performance measurement (Ibid, p. 125).

4.3.1(v) Service Delivery

Under the Civil service Law (1993, PNDCL 327) OHCS was established to look into the matters pertaining to implementation of national policies and plans. Standards were set to improve the service delivery system by testing performance of civil servants against the needs of the customers. Customer orientation was introduced in the Ghanaian civil service system by introducing Client Services Units (CSU). The Public Complaints Units were introduced since 1995 to make services customer friendly and transparent. A Code of Conduct was issued to civil servants in 1999. The first phase was envisaged to be implemented within 12 months the inception.

Citizens' Charters were introduced to improve accountability of administration to customers in service delivery. It broadly laid out the types of services that a public agency had to offer and deliver to the people. It provided a framework for the rights and entitlements of the people with reference to these services. Further, it also stipulates the remedies available to them if problems arise in these transactions. Ohemeng (2010), argues that implementation of the Citizens' Charter did not achieve the intended objectives. A major criticism against this charter was that though people are the target of this Programme, they have not been consulted in the implementation of the programme. Besides, lack of autonomy and resources to CSUs became a major stumbling block to the implementation of the Citizens' Charter. Civil servants did not have positive attitude towards these Charters. Further, the involvement of senior

management and front-line staff in the process did not take place. Added to this, low motivation among employees and absence of the legislative backing up to the Citizens' compounded the problems. For instance, the government isolated Citizens' Charter from the reform Programme. Lack of coordination among different agencies such as the Head of civil service, the Public Service Reforms Commission delayed service delivery. The untrained civil service had further hampered the process of CSR.

4.3.1(vi) Recruitment

As has been mentioned, one of the salient features of Ghanaian civil service is the uncontrolled recruitment, and the undesirable expansion. As part of the reforms, the recruitment and promotions were centralised through Public Service Commission, the Office of the Head of Civil Service, the Heads of the Classes or Ministries, Departments and Agencies (MDA) or Civil Service Council. The Public Services Commission supervised and regulated entry, recruitment, appointment and promotion; and sets standards for terms and conditions of employment. It was under the CSPIP the recruitment was made open in 2002 to the competent and skilled people. Talented candidates from the private organisations and other public organisations were recruited. This led to the replacement of the career based civil service with automatic promotion to civil service based on contract.

4.3.1(vii) Capacity Building

Prior to the implementation of the CSR, the overall position of the Ghanaian civil service training was not up to the mark to meet civil service needs. The steps to reform training include revamping of the Training and Manpower Development Division (TMDD) and the revision of training policy. Besides, a strategy was developed to train civil servants about the new liberal and decentralised environment. Training focused on improving the skills of civil servants to deliver services. A scheme called *High Flyer* Scheme was introduced in 1996 to build the capacity of civil servants. Under this scheme, the young civil servants were encouraged to undergo training in the specialised areas and enable them to maximise their potential and strengthen their capacity. They will be promoted if they exhibited the performance. Besides, the Government Secretarial School was revamped and supplied with electronic equipment. With a view to enhance the delivery of services, Civil Service Reform Programme (CSRP) focused on strengthening the capacity of central institutions, particularly the institutions of OHCS. However, these efforts did not yield effective results (Ayee, 2001).

4.3.1(viii) Impact of CSR in Ghana

Ghana initiated CSR during PNDC regime (led by Rawlings). It is to be noted that economic reforms are integral to the CSR in Ghana. Many studies show that civil service reform in Ghana had limited success. Major reasons cited are the poor administrative mechanism and the resultant fiscal deficit. According to Ayee, the approach to reforms was incremental rather than comprehensive and system wide. For instance, the size of civil service was reduced by 17 per cent: from 1, 31,000 in 1987 to 1,08,000 in 1992. By 1995, civil service was rightsized to 8000 (Ayee, 2001, p.29). This appears to be a significant achievement due to rightsizing civil service. However, savings that accrued due to retrenchment were smaller than expected. The pay and grading reform was delayed in its implementation (Ibid, p. 12). Lack of coordination among different agencies was reported to result in poor management of civil services. The training Programme was driven by conditionalities of SAP. It missed the elements of participation, enhancing commitment, transparency and accountability (Ibid, p. 27). A Civil Service Improvement Programme launched in Ghana in early 1990s was assessed in 2003 and was reported to have been largely unsuccessful in improving service delivery.

The continuation of reforms by J.A. Kufuor's regime opened up the neoliberal policies in Ghana. His government's efforts to encourage private sector were limited by lack of institutional capacity. The Public Sector Reform launched during his regime had limited success due to lack of coordination among the agencies. According to Ayee, CSPIP had resulted in modest success. Ohemeng (2011) noted that rewards could not be delivered to performers due to budgetary constraints. To overcome this limitation, the OHCS designated a special fund known as the Performance Improvement Facility. He opined that the Performance Management policy did not yield intended results due to absence of people's involvement in designing the policy and lack of legitimacy. He further added that the efforts to institutionalise performance measurement through legislation did not make civil servants accountable in their actions. He outlined that the government of Ghana has to move away from the traditional mode of performance measurement to performance governance wherein the internal and external stakeholders are involved in improving the performance. Though civil servants were closely involved in the process of reform

design, decision making and implementation, the experience of Ghana shows that the impact of CSR has been incremental (Ibid, p. 482).

4.3.2 ETHIOPIA

4.3.2(i) Civil Service in Derg (1974-1991)

Civil service in Ethiopia was not modernised for a long period of time due to the fluctuations in the political regime. Tegegne Teka and Alemayehu Assefa (1996) discussed problems that Ethiopian civil service faced during the Derg period (1974-1991)¹⁴. During this Derg period, civil service became an instrument in the hands of the military regime. There used to be higher levels of political interference in the policy implementation, which denied the senior managers from owning the project/Programme. The senior managers were not involved in the policy-making. Top officials without adequate knowledge about policy implementation used to give orders to their subordinates. Administrative decisions were dictated by the party in power who were not associated with the implementation. This kind of situation created a fear among civil servants to work independently. There was confusion over the respective roles of politicians and civil servants. A senior civil servant holds authority which was not commensurate with the responsibility that s/he holds. It resulted in the lack of trust between the government and civil servants. Government did not have citizen-orientation as it behaved as a master of the people rather than their servant. On the other hand, civil servants adopted their role as controller than facilitator. In both ways, there was lack of participation of the people. People were not in a position to articulate their problem; rather the party in power did articulate their problems.

Civil service was highly centralised and authority was not delegated to the subordinates. Managers were given responsibility without authority. In addition to this, several technical and institutional constraints affected Policy Management. There were no units to review policies and performance appraisal within the highest government body, line ministries, state governments and bureaux. The managerial processes and operating systems had a chain process rather than being transparent and

¹⁴ . This was the period that, Mengistu Haile Mariam, the socialist dictator ruled the country. Derg refers to "committee" or "council" and is the short name of the *Coordinating Committee of the Armed Forces, Police, and Territorial Army*, led by Mengitsu.

result oriented. Financial operating procedures in Ethiopia did emphasise on the control aspect rather than getting things done efficiently.

Civil service was marked by the absence of SMART *specific, measurable, action-oriented, realistic and resource and time* objectives. It lacked Strategic Management Practices and focused on processing the activities than on achieving policy objectives. A proper motivation or reward system was absent during the Derg regime. Civil service system was marked by the poor Information Management and absence of culture of sending feedback on reports and poor recording system. Civil servants were not trained on the information management; as a result they had inadequate capacity to process information. This has further affected the use of the available information for decision-making at various levels. Civil servants were in a weak position to bargain with donor agencies in the implementation of public policies.

During Derg period, financial management in Ethiopia was at rudimentary stage. Auditor General's Office did not have adequate audience in the legislature for its reports on the financial positions and performance of government institutions. Civil service was staffed with low quality and quantity personnel in the area of financial management and accounting. All these constraints affected the senior manager's way in assessing the value for money of the policies.

HRM was poor during the Derg regime. Civil service pay was about 20 per cent lesser than that of public enterprises and half of the private sector. During the Derg regime, experts and civil servants in important positions were not allowed to leave the department. This is in contrast to the spirit of the liberalisation. Poor Performance Assessment System was in place. There was no direct relationship between performance measurement and training systems. Imbalance existed between organisational objectives and employee benefits. Further, lack of human resource development scheme, absence of training policy and any budgetary training provision for that purpose had hampered the performance of civil servants. Civil service system operated in a "closed" and confidential way.

Most of the laws/rules/regulations were outdated and they were imperial in nature. There was lack of macro policy analysis unit in higher government structures. It can be summed up that core public management system at the federal and regional level in

Ethiopia were hampered by outdated civil service legislation and working systems; the absence of a medium-term planning and budgeting framework; ineffective financial and personnel management controls; inadequate civil service wages and inappropriate grading systems; poor capacity for strategic and cabinet-level decision-making; and insufficient focus on modern managerial approaches to service delivery. In order to address these constraints, the Government of Ethiopia embarked on a comprehensive CSRP in 1996. The CSRP was also influenced by the international NPM trend and reforms in New Zealand in particular.

4.3.2(ii) Civil Service Reform Programme (CSRP) -1996

Ethiopian civil service passed through several regimes right from feudalism to democracy in contemporary times. The size of Ethiopian civil service in 2011 was huge, that is, 10, 17,351¹⁵. It was unable to keep up with the changing times. CSRP introduced in mid 1990s aimed to make civil service efficient and effective. As part of reform, the Transitional Government of Ethiopia¹⁶ appointed a Civil Service Reform Study Task-force to diagnose problems and suggest ways and means of improving it. The Task force identified several key problems and made recommendations to improve civil service. Most of them were accepted by the Government and formed the bases for the Ethiopian Civil Service Reform Programme in 1994. The impetus to CSR in Ethiopia came from the need for i) expenditure management and control, ii)HRM, iii) top management systems, iv) service delivery and quality of services and v) ethics. CSR are one of the six sub-Programmes under the Public Sector Capacity Building Programme (PSCAP) developed in 1998.

Expenditure management in Ethiopia had a poor record management. For instance, Auditor General's Office did not have an adequate audit mechanism. Further staffs were ill-equipped to deal with financial management and accounting. The low remuneration in civil servants led to low motivation among the employees. For instance, civil service pay is about 20 per cent less than that of the public enterprises and approximately half of the private sector (Tegegne Teka, and Alemayehu Assefa, 1996). In a study by Abigail Barr *et al.* (2004) it is found that low pay to public

¹⁵ . *The Ethiopian Herald* 2011, Government increases civil servants' salary, 27 January, p.1.

¹⁶ . Ethiopia moved from Communist regime to the Federal Democratic Republic in 1991.

servants led to corruption in Ethiopia. Therefore, civil service reform had to factor in the hiking of pay of civil servants. Patron-client relationship still continued in civil service as it was developed to be loyal, subservient and obedient to the politicians in power. The awareness of public service was missing in civil service. The need for building the capacity of civil service was envisaged through CSR.

4.3.2(iii) Business Process Reengineering- 2004

As has been mentioned above, CSRP includes Expenditure Management and Control. Expenditure was envisaged to be controlled through restructuring of civil service by adopting several methods. One such instrument is the Business Process Reengineering (BPR) in 2004. BPR aimed at flat organisational structure by increasing the horizontal units and lowering the number of organisational hierarchies. Accordingly, the organisations in Ethiopia are designed around outcomes to make them efficient, effective and flexible (Tesfaye Debela and Atkilt Hagos, 2011).

The Ministry of Civil Service (former Ministry of Capacity Building) took the responsibility for coordinating, monitoring and controlling the implementation of BPR at national level. It set up and chaired three ministerial steering team forums to monitor and evaluate the progress of BPR implementation. Initially, 18 public organisations were selected to implement BPR with each organisation was assigned permanently to a group until the end of BPR. National Quality Assurance Team (NQAT) provided high-level technical support and undertook on the progress, management and achievements of the BPR objectives.

The governance structure of BPR in Ethiopian public organisations consisted of a leader (Director or General Manager), a steering committee, reengineering Czar (s), reengineering teams, process owners and other teams. In public organisations the leader is either the president or the Director. Two steps were followed in undertaking the BPR: training and reengineering the organisation. There were five steps in the implementation of the BPR: *preparation, understanding the current process, redesigning the process, preparing for implementation and pilot testing, and post implementation review*. The implementation of BPR did not yield desired results. For instance, the former Federal Civil Service Agency (FCSA) was isolated from leading the reform Programme. This had negative impact on its capacity for structuring and

scaling of jobs for other civil service organisations that have implemented BPR (Ibid, p.28).

4.3.2(iv) Capacity Building

The educational background of civil servants in Ethiopia has been below the required level. According to Gebriel (2002), less than 17% of Ethiopian civil servants, that is 300,000 held a college diploma and the majority of these were concentrated in major cities such as Addis Ababa and Dire-Dawa. With this kind of civil service, it became imperative for the government to create an enabling environment for the reform by acquiring the resources to build the technical capabilities and to develop human resources.

4.3.2(v)Public Sector Capacity Building Support Programme (PSCAP) - 2001

The launch of PSCAP in September 2001 revived the CSRP. The government took steps to implement CSRP on full scale across all regions and levels of government. Pilot studies and special Programmes were initiated to improve performance and service delivery in selected Ministries, Agencies, and Bureaus. For instance, focal points responsible for reform implementation have been established across tiers of government. A series of workshops to sensitise the political leadership and civil servants have been undertaken across the country. It culminated in the launch of a “special Programme” of Performance and Service Delivery Improvement Policy (PSIP) in priority Ministries, Agencies, and Bureaus designed to deepen the implementation of performance management.

Along with other reform Programme areas, PSIP has promoted BPR ministries that interface directly with the private sector. It was widely perceived that the CSRP lost momentum. It has been attributed to the following challenges in the implementation of PSCAP: inefficiencies derived from poor financial management, poor incentives and a lack of strategic or performance orientation across all levels of government (Watson, 2005). In the light of the CSRP and other reform Programmes included in the package of SAP, the Ministry of Capacity Building reformulated the following objectives for the CSRP in June 2003:

- (i) to shake off basic weaknesses ingrained in the existing civil service inherited from the past regime;

- (ii) to build the capacity of civil service so that it will execute the policies and Programmes of the government successfully;
- (iii) to facilitate civil service to provide efficient and fair services to the public;
- (iv) to enhance transparency and accountability in civil service;
- (v) to build a civil service that stands for gender and ethnic equality and rights; and
- (vi) to build a civil service that is ethically sound and free of corruption, nepotism, and favoritism.

As in the case of most African countries, a consortium of donors, coordinated by the World Bank, have extended loans to finance the PSCAP, which has the following objectives:

- (i) To improve the scale, efficiency, and responsiveness of public service delivery at the Federal, regional, and local level
- (ii) To empower citizens to participate more effectively in shaping their own development
- (iii) To promote good governance and accountability¹⁷.

It is underscored that civil servants in Ethiopia had to change their values to achieve these objectives. Mengistu and Vogel (2006, p.209) observe that ‘the lack of capacity of civil servants presents a severe, fundamental governance challenge for reform process in Ethiopia’. However, the pace of CSR is continuing in Ethiopia.

4.3.2(vi) Growth and Transformation Plan

The Federal Democratic Republic of Ethiopia (FDRE) has come up with a recent plan titled ‘Growth and Transformation Plan (GTP)’ to be implemented for five year period, 2010-15. This is a national development plan which touches upon all the aspects of the public sector including civil service capacity building. GTP is the transformation agenda of Ethiopia. The GTP and the Ministry of Civil Service (MCS) have embarked on CSRP cutting across all the sectors.

¹⁷ .
<http://web.worldbank.org/WBSITE/EXTERNAL/COUNTRIES/AFRICAEXT/0,,contentMDK:21082643~menuPK:1804110~pagePK:146736~piPK:146830~theSitePK:258644,00.html>, viewed on 1 January, 2014.

Strategic directions in the capacity building component include a concerted and integrated effort to enhance the capacity of civil service to implement government policies and strategies effectively and efficiently. Another major strategy adopted during the GTP period is the scaling up of best practices in the design and implementation of CSR in Ethiopia. To implement this strategy, CSRP activities are being reviewed, and best practices are identified, packaged and scaled up. One of the key strategic directions is establishing government structures with strong implementing capacity. It involves the full-fledged implementation of CSRP at all levels of the government structure (federal and regional) in order to strengthen the reform agenda. GTP document envisaged participation of civil servants and creating awareness about public service. It aims to develop positive attitudes towards serving the public and ensuring that they understand government's policies and strategies fully, and implement them. In sum, this strategy aims to ensure increased efficiency, effectiveness, accountability and transparency of public sector service delivery. In particular, the Balanced Score Card (BSC), an initiative of CSRP is being implemented with communication support to strengthen the working systems.

4.3.2(vii) Impact of CSRP

Implementation of CSRP in Ethiopia witnessed some achievements. A new legislation was developed to reform civil services. For instance, a financial management proclamation, a civil service law, a code of ethics, complaints-handling procedures, and a service delivery policy were developed. Operating systems for budgeting, procurement and some aspects of personnel management such as salary surveys and records management were developed. Peterson (2001, p. 138), who was involved in the implementation of CSR in Ethiopia reviewed the financial reform. According to him, the strategy document of the reform is an impressive blueprint for broad transformation. However, he was skeptical of the sequence of implementation of reforms. He was of the view that reform of financial systems in Ethiopia must be evolutionary, but not revolutionary. The rationale is that financial systems in the public sector of in Ethiopia are fragile. Mengistu and Vogel (2006) underscore that institutional capacity, particularly to human resource development remains a major obstacle to CSR in Ethiopia.

It can be summed up that Ethiopia witnessed CSR ever since it became a democracy. A series of reforms is attempted since 1994. The incremental change in the reform led

to alternative ways of reforming civil service through amending the objectives of CSRP. New techniques of management, such as BPR and BSC have been adopted. Though they led to few changes, the organisational culture remained the same. The recent GTP is under implementation and it needs to be evaluated in so far as CSR are concerned.

4.4 Summary

CSR across the selected countries in this chapter came out of thinking for better governance. It can be traced to UK's Fulton committee's proposal for managerial reforms in civil service. CSR in UK were forwarded by the Conservative party under the leadership of Margaret Thatcher. The reforms are based on NPM philosophy that relied on economy, efficiency and effectiveness (3 Es). Citizens' Charter and benchmarking were the important characteristics of UK's CSR. The waves of CSR swept through the West Europe also. Politicisation of civil service is a dominant issue in West Europe CSR. In USA, the CSR were undertaken as part of the Reinventing Government Movement in the 1990s under the leadership of Vice-President Al Gore. One of the important characteristics of reinventing government is entrepreneurial government and focus on the outcomes rather than the process. This reform became a revolution in American public administration and later became a guiding force for reforms in other developing countries. It can be said that reform in these countries have brought incremental changes in civil services.

Under the influence of NPM philosophy, African countries (here Ghana and Ethiopia) undertook CSR. Ghana launched CSR with an intention to restructure civil service by right-sizing. The reforms got momentum with the adoption of neo-liberal policies under the leadership of John Kufuor. CSR were integrated in the economic reforms. The efforts to improve the performance of civil service have yielded incremental change as the people were not involved. On the other hand, Ethiopia, in East Africa, began to reform its civil service ever since it became democratic in 1991. Several management techniques including BSC and BPR were attempted. The analysis shows that the results were not up to the mark. The current GTP is under implementation. It can be safely inferred that reforms have not come to an end and it is an ongoing exercise in all the selected countries.

Chapter-5

CIVIL SERVICE REFORMS IN INDIA: AN OVERVIEW

5.0 Introduction

This chapter identifies and discusses the issues pertaining to CSR in India. It is divided into three sections. Section 5.1 outlines the background of CSR in India with reference to the economic crisis of 1991 and Structural Adjustment. Section 5.2 discusses the components of CSR in detail which were briefly outlined in theoretical framework of the Chapter-1. These components include: *structure, recruitment processes, capacity building, performance and promotion, professionalism and modernity, and accountability*. These issues are listed by different committees on civil services in India and also culled from approach paper of Second ARC. In addition to these, some conventional items like generalist vs. specialist, domain expertise, entry and exit mechanisms (including lateral entry), and politicisation of civil service have been dealt with. Section 5.3 summarises the discussion on CSR.

5.1 STRUCTURAL ADJUSTMENT AND CIVIL SERVICE REFORMS

During the Balance of Payment crisis in 1991, India did not have any other option than taking economic reform under the auspices of World Bank and IMF. The government focused on liberalising the economy and promoting export, abandoning the license raj, encouraging privatisation and marketisation of public services. Many states in India have focused on attracting Foreign Direct Investment (FDI). Private sector was allowed in critical sectors such as industry and energy, which were hitherto regulated by the state. These changes have had resonance in governance structures of India. The government had to play the role of an entrepreneur, investor and owner of industrial enterprises compared to that of a regulatory state. These economic reform packages were a response to the foreign exchange and fiscal crisis of 1991 (Pradhan, 2001, p. 743).

On the other hand, there was a visible change brought in the perceptions of citizens about the government. It has been marked by a trend of making people less dependent upon government. However, thrust is on improving efficiency of the system of the governance in the core areas of government. These developments have taken place at precisely the time when the phenomenon of globalisation is taken an increasingly firmer grip over the international economic relations. While the world is increasingly

integrated and trade and financial flows multiply, individual countries including India had to prepare themselves to face international competitions of increasing intensity (Rao, 2002, p. 31). On the other hand, civil services in India had to grapple with the yawning gap between people's expectations and its ability to satisfy their expectations. These developments culminated in thinking of initiating the CSR by the government on large scale in India.

As has been discussed in the first chapter, globalisation and liberalisation have put tremendous pressure on the Indian State to restructure civil services. The role of civil service has been perceived to be more responsive, open, and transparent; and enhance people's participation in governance. On the other hand, adoption of NPM principles requires civil services to ensure efficient and effective service delivery. Civil service in India is required to possess the capacity in order to meet these challenges and to carry out these responsibilities. In other words, facing new challenges calls for a new pattern of administration, new set of values and a new set of administrative and work culture in India. More importantly, strong social commitment of civil services was required to reorient itself and come out of the shackles of colonial legacy, inefficiency, and ineffectiveness (Kumar and Misra, 2000).

In 1991, the then late Prime Minister P.V. Narasimha Rao announced in his address to the nation that measures would be taken to make civil service an instrument of social and economic transformation. These measures aim to decentralise decision-making process, enforce accountability, simplify rules and procedures, and provide prompt services to citizens. In order to realise these goals, a separate ministry called the Ministry of Programme Implementation (MPI) was created. The concept of Annual Action Plans (AAPs) was introduced in all ministries and public enterprises. Besides, the Management by Objectives (MBOs) was introduced during this phase (Pradhan, 2001). Accordingly, the government had set up an arrangement to review and monitor the implementation of the programmes at three levels: the concerned ministry itself, MPI and Prime Minister's Office (PMO). Subsequently, CSR has occupied a policy priority area for successive governments in India. In the next section, the issues of CSR have been identified and discussed in detail.

5.2 ISSUES IN CIVIL SERVICE REFORMS

The following sub-sections discuss the issues raised by different committees appointed by the GoI on CSR. Discussion on CSR is done in accordance with the theoretical framework laid out in chapter-1. Every committee reflects the political and administrative milieu in which they are appointed. The discussion begins with proposed structural changes in civil service in India.

5.2.1 Structure

The role and functions of government were envisaged to expand in the post-independence period as the Indian State pledged to the welfare policies. This also witnessed an expansion of structure of civil service and its size. The administrative structures in India still carries British legacy. Though state's role changed from being regulator to facilitator, the structures of the government remain the same (Second ARC, 2009). Further it has become the practice of government(s) to create a large number of posts (structures) than required in order to accommodate a large number of IAS officers. This led to the creation of many structures and hierarchies in Indian civil service. It is to be noted that the Millennium Development Goal paper on CSR (n.d) mentions that a competent civil service is the one which is well-structured (p.5). According to this parameter, the size of civil service in India is larger than required. The need for rightsizing the government functionaries and civil service has been raised in this context.

One can observe that there has been enormous increase in the size of civil services over a period of time. For instance, the total number of people working in government was just 1 million in 1931. This number had become 4 million by 1953 (four times increase). The number has further gone up steadily after that. It reached almost 8 million in 1963, 12 million in 1973, 16.5 million in 1983, and 19.3 million in 1993. It peaked at 19.58 million in 1997 (Das, 2013, p.33). It is to be noted that the number of civil servants went up by a factor of four, between 1953 and 1997.

It is clear from the table 5.1 below that the size of civil service has increased enormously over the years. For instance, strength of IAS officers increased from 700 in 1951 to 1608 by the year 1996 (more than twice).

Table 5.1: Strength of IAS Officers

Ascending order	1951	1996
No. of Ministries	23	63
„ Secretaries to GoI	25	115
Special Secretary	1	--
Additional Secretary	1	57
Joint Secretaries	35	291
Deputy Secretaries	74	303
Under Secretaries	141	781
Total	700	1608

Source: *Das, SK 1998, pp. 150*

According to government statistics, the total number of civil servants in India in 2007 was 17.99 million. Out of this, the number of central government employees was 2.80 million while that of the state government was 7.21 million. The number of employees of quasi-government both in the central and state government was 5.85 million and same in local bodies was 2.13 million (Ibid, p.24). In contrast to this, the total number of people employed in the private sector in 2007 was just 9.28 million (Ibid, p.32).

It was argued that expansion in civil service had increased government wage bill. For instance, by the 1990s, wage bill of civil services had become the single largest item of government expenditure. In 1997-98, the GoI spent about Rupees 15000 crore alone on the pay and perquisites of civil servants, which is equivalent to about 1.5 per cent of the country's GDP. The state governments also spent the same amount on the pay and perquisites of their civil servants. Put these figures together, 3 per cent of GDP is spent on the upkeep of civil service in the country (Ibid, p.35). Resultantly, the amount of money spent on salaries of civil service left no money to spend on the welfare of citizens in terms of providing health and education. The critics of civil service had advanced the idea of cutting the fat and inefficient civil service. Subsequently, this idea has been accommodated in various policy documents of the government. The State had shown its intent to right size civil service.

The Fifth Pay Commission (FPC) in its report emphasised the need to right size the government, specified that the hierarchy of different cadres in different departments

should be reduced to the extent possible (GoI, 1997, Vol.2, p. 1075). It recommended that the number of civil servants be cut down to one-third of its strength. Following the recommendations of FPC, the government cut down the size of civil service to about 18 million in 2007, from the peak number of 19.58 million in 1997 (Das, 2013, p.37). Further, the GoI envisaged restructuring of civil services at the individual and process levels. At individual level, it sought attitudinal changes on the part of the government. At the process level, operational processes are required to be made flexible (GoI, 1997, p. 291).

FPC suggested that the Union Government should confine its role to the core areas, and leave the rest to state and local bodies. The identified core areas are: *national security, international relations, law and order, management of economy at macro-level, setting up of infrastructure, social services, and programmes for disadvantaged sections*. Voluntary retirement programme was initiated to cut down the size of the government. In addition, on the basis of job reviews, the bottom 5 percent was offered training to improve performance. If there is no improvement in the performance still, they were asked to leave with 8 months' severance pay (Second ARC, 2009, p. 22).

The spirit of rightsizing civil service was not carried out by the Sixth Pay Commission (2006). For instance, it did not make any specific recommendation about the size of civil service. There was no appreciable reduction of size of civil service after 2007. For the year 2009, the number stood at 17.79 million while for the year 2010, it was 17.86 million (Das, 2013, p 38). The Sixth Pay Commission has recommended merger of many pay scales to reduce layers in the government, accelerate the decision making process and improve flexibility in functioning. Introduction of running pay bands is expected to remove stagnation (GoI, 2008, p.367). The Second ARC reiterated that the number of levels a file passes through for a decision should not exceed three: from deputy secretary to joint secretary to secretary (Second ARC, 2009, p.163). It can be observed that restructuring of civil services through rightsizing and reducing layers of hierarchies has become a major issue in CSR. The next component of CSR is recruitment pattern of civil service examination.

5.2.2 Recruitment

Underlining the significance of recruitment, Peters (1995) mentions that civil servants are decision-makers who carry a host of values and predispositions with their jobs. Their social, ethnic and economic backgrounds affect the quality of their performance

and their decisions. More importantly, one's academic and professional backgrounds determine also the administrative decisions he or she takes. Therefore it is important to understand how government selects its employees. Merit based recruitment is a characteristic of modern democracy, it is efficient compared to the one based on ascriptive criteria- such as class, caste, region, religion, sex and affiliation (Ibid). The review of civil service examination is important in the wake of liberalisation, globalisation and privatisation (LPG) policies, technological advancement and changing roles of the state and civil service.

The Second ARC (2008b) in one of its report suggested that suitable changes in recruitment and training would bring changes in civil service functioning. Three committees are of paramount importance in so far as recruitment of civil services are concerned, i.e. Kothari Committee, Satish Chandra Committee and YK Alagh Committee. They uniformly agreed that recruitment pattern should change from time to time in order to attract the best talent available among aspirants. The following paragraphs discuss their recommendations with regard to scheme of examination and interview.

a) Scheme of examination

The pattern of examination prior to independence was a combined examination was held for a number of Central Services-Indian Audit and Accounts Service, Imperial Customs Service, Indian Railway and Accounts Service, Military Accounts Department, Postal Superintendents (Class II) Service; and Transportation (Traffic) and Commercial Departments of the Superior Revenue Establishment of State Railways.

In 1974, Mrs. Gandhi's government appointed a Committee in under the chairmanship of DS Kothari to look into recruitment policy and selection methods in civil services. Setting up of this committee is a major step towards reforming recruitment in the post-independence period. The prevailing social and political context was that Indian state pledged to achieve the socialist pattern of development by bringing 42nd amendment to the constitution. To achieve these goals, Mrs. Gandhi purportedly called for 'committed civil service' for an effective implementation of public policies.

A major contribution of Kothari Committee to Civil Service Examination (CSE) was its recommendation to have a unifying exam for both All India services and Class-I services as we have today. Examinations were held separately for different categories of services: Category I (IAS and IFS), Category II (IPS and Class II Police Services of Union Territories) and Category III (Central Services Class-I and Class-II) (GoI, 1976, p.30). A detailed discussion on the issues pertaining to recruitment of civil servants was in order.

i) Preliminary Examination

Kothari Committee suggested introducing Preliminary examination, which was first of its kind in the history of CSE in India. According to its recommendation, Preliminary Examination should consist of five papers: Paper I (Indian Language), Paper II (English), Paper III (General Studies), Paper IV and Paper V (One subject covered in two papers from the list of optional papers) (GoI, 1976, p.80). However, the Government was of the view that there should be only two papers in Preliminary examination i.e. GS of 150 marks and one Optional subject of 300 marks. The nature of questions for both these examinations will be of objective type with sufficiently wide choice in GS. The Committee suggested a list of Optional subjects that a candidate can choose for the purpose of writing preliminary examination.

After more than a decade, the GoI appointed another committee headed by Satish Chandra in 1986 to review CSE pattern, as suggested by Kothari Committee. Satish Chandra Committee thoroughly examined the existing pattern and endorsed the reforms in CSE proposed by its predecessor. It observed that preliminary exam was able to screen a large number of candidates to a manageable number as envisaged.

Endorsing the views of the Kothari committee, Satish Chandra Committee (GoI, 1989) agreed that a radical restructuring of recruitment method was essential in an age of scientific and technological developments. They emphasised that civil servants should have relevant knowledge and skills as well as moral qualities to work for and with the people. They should possess a variety of qualities such as, honesty, integrity, objectivity and sincerity in serving the people. Secondly, they should be trained to be professional.

The GoI appointed, exactly after a decade, appointed YK Alagh Committee to review civil service examination. The committee was appointed in a time when recruitment in civil services all over the world was undergoing a change. Indian State and civil service have been affected by these changes as evident in Alagh committee's recommendation. This committee found that there was mismatch between the persons selected and the requirements of the job. It suggested few reforms in the preliminary examination such as recasting the GS paper into an aptitude test paper called the CSAT (GoI, 2001). CSAT, according to the committee, was meant for testing a candidate's skills in comprehension, logical reasoning, and problem solving and data analysis. This recommendation was accepted by the government after a decade and it introduced CSAT in CSE -2011. The new exam pattern was discussed in the Chapter-2. The committee suggested that, like in private companies, young graduates should be selected into civil services at the campus. Though it is an innovative idea it has not been accepted by the government. The rationale of this suggestion is that it is easier to mould civil servants when they are young than at an age of 25 or so.

Negative Marking: Satish Chandra Committee also recommended for introducing the negative marking in the prelims to weed out the non-serious students who get score by just guess work (GoI, 1989, p.23). It examined that a candidate can qualify examination by just marking randomly. In case of wrong answer, there should be negative mark (50 percent of each question). Alagh Committee also supported this idea (GoI, 2001, p.23). However, this recommendation was recommended until CSAT was introduced in 2011. It was only in CSE-2011, that negative marking was introduced. One can observe that it took almost two decades to implement a minor recommendation by a committee.

Age and Number of Attempts: Kothari Committee considered the age limit to appear for CSE based on the classification of civil services. For instance, it recommended the age limit to enter IAS is 21-26 years and for IPS it is 20-26 years. The number of attempts for each category should not exceed 3 attempts (GoI, 1976, p.33). Satish Chandra Committee recommended 21-26 years as the age limit with a relaxation of 5 years of the SCs and the STs. Government did not accept this recommendation and decided to have the upper age limit of 21-28 years instead of 21-26 years for general Category candidates (GoI, 1989, p.2). The government put a cap

of three attempts for the general category, while no limit on the number of attempts for the SC/ST candidates.

Alagh Committee opined that the eligible age to appear for CSE should be 21-25 years. It felt that training a candidate above this age would be difficult as they would have been exposed to the evil practices existing in the society. However it is aware that reducing the age and number of attempts would affect candidates from rural areas and weaker sections negatively. Yet, the committee felt that it would be desirable to keep the age and number of attempts low in the best interest of the nation. It suggested two attempts for preliminary Examination and two for the Main Examination for all categories (GoI, 2001, p.20). Hota Committee suggested reducing the minimum age limit further to 21-24 years as eligibility for General Candidates against the age limit 21-30 years.

As on today, the government has put the age limit of 21-32 as eligibility for general category, with relaxation of 5 years for SC/STs and 3 years for Other Backward Castes. As the analysis shows, over the years, one can observe that the government has risen the minimum age and increased maximum age limit for eligibility in order to widen the representation of socially excluded groups.

ii) Mains Examination

Kothari committee suggested that it was not adequate to test candidate's knowledge in Mains examination, but also one's capacity to analyse and interpret complicated phenomenon and apply knowledge to solve practical problems (GoI, 1976, p.19). The committee suggested a pattern for Mains examination that consists of eleven papers: Paper I (Indian Language), Paper II (English), Paper III (Essay), Paper IV & V (General Studies), Papers VI and VII (Optional I) and VIII and IX (Optional II). However, the government restricted the number of papers to eight (300 marks each) and an interview of 250 marks with no minimum qualifying marks. Those eight papers include I) Indian Language (Qualifying only), II) English Language (Qualifying only), III) and IV) General Studies, V) and VI) First Optional, and VII) & VIII) Second Optional. Although the committee suggested introducing Essay Paper, it was not accepted by the GoI immediately (Ibid, p.47). It was also reiterated by Satish Chandra's Committee. Essay Paper was introduced as part of Mains examination since 1993.

Satish Chandra Committee recommended exemption from appearing in Preliminary Examination and Mains Examination in the second round, if he or she is qualified for interview. However, the government did not accept this recommendation. It observed that Main examinations could ensure fair competition among the candidates and judge the intellectual qualities of the candidates. It was affirmed that the exam was able to test social traits as well as mental alertness of the candidates required for civil services (GoI, 1989, p.19).

An interesting observation was made by Alagh Committee on the social base of recruitment. The committee suggested widening the social base of recruitment to enhance representativeness. During 1970s a large number of successful candidates in CSE came from the rural areas. It increased from 18 percent to 30 percent, while the number of candidates from urban areas has come down from 65 percent to 50 percent. It indicated a trend that the number of candidates from towns has increased from 15 percent to 20 percent (GoI, 2001, p.38).

It can be inferred that the current pattern of two-phase examinations i.e. Prelims and Mains exam (both written and interview) can be attributed to Kothari Committee. On the other hand introducing essay paper in mains examination is contribution of Satish Chandra Committee. Alagh Committee was instrumental in initiating CSAT in preliminary examination.

iii) Interview and Group Discussion

Interview is the third phase of CSE. Kothari Committee and Satish Chandra committee reiterates that interview is meant for testing a candidate's qualities such as the mental alertness, critical powers of assimilation, clear and logical exposition, balance of judgement, variety and depth of interest, ability for social cohesion and leadership and intellectual and moral integrity (GoI, 1976, p.61). Hota Committee added that interview will serve the purpose of testing a candidate's knowledge and leadership qualities. Alagh Committee suggested designing rigorous interview system which tests innate capabilities would lead to improved selection of candidates (GoI, 2001, p.56).

The Kothari Committee was against minimum qualifying marks at the Interview Test, for it might affect the prospects of candidates from rural areas and who cannot express

themselves (GoI, 1976, p.63). In contrast to this, Satish Chandra Committee was in favour of keeping minimum qualifying marks. Based on its recommendation, GoI, increased that minimum marks for interview from 250 to 300 (GoI, 1989, p.225).

YK Alagh committee focused on ethics in civil services. It observed that the deficiencies of civil service system can be rectified if candidates having positive value systems and commitment to public service are recruited. It outlined that civil servants should have some more qualities, such as, character, integrity, honesty, accountability, ability to resist temptation and a spirit of sacrifice and patriotism. Besides, they should possess analytical and synthesising qualities of mind, wisdom and ability to marshal and apply relevant knowledge. The examination structure and the post-induction training should be designed to fulfil the objective (GoI, 2001, p.55). It observed that there is no correlation between performance in UPSC examination and performance in personality test. Rather it is correlated with income level, attendance in coaching classes and competence in English.

The issue of introducing the Group Discussion (GD) figures in the committees on CSR. Both Kothari Committee (GoI, 1976, p.60) and Satish Chandra Committee (GoI, 1989, p.23) recommended introduction of the GD in the selection of the candidates. They justified GD on the ground that it would bring out the capacity of a candidate to interact with his/her peers. This skill is useful not only to work as a leader of his/her own team of officials, but also to interact effectively with peers in other limbs of administration. Further, GD will help in negotiating and convincing other groups. GD will help the Interview Board to test a candidate's ability to analyse, listen, and persuade. It can direct its attention to such areas for a more detailed probe during the individual interviews. Despite the visible advantages of GD, government did not accept this on the ground that the language can be a hindrance to those who are not proficient in a particular language. The committee refuted the argument of GoI saying that language proficiency may give confidence but it may not but be beneficial to those who come from rural areas.

It can be summed up that the constitution of each committee reflects socio-political milieu of the times. Kothari Committee was appointed at a time when India adopted socialistic pattern of development. This is reflected in committee's intention to enhance the social base of recruitment and inclusiveness. On the other hand, Satish

Chandra Committee was appointed at time when India was in transition from the mixed economy with socialist orientation to open economy. Its recommendations are gradual in nature as it did not find problems with the exam pattern suggested by Kothari Committee. Alagh committee was appointed at a time when India ushered in an era of globalisation and liberalisation. By that time, Indian State had introduced management reforms in the public sector in a limited manner. Recommendations of these committees on examinations reflect these changes in State and civil service

5.2.3 Capacity Building

Capacity building involves enhancing the skills of civil servants in public service delivery through short and long term training. Training can be imparted at the time of induction, mid-career, and at later stages for senior civil servants in career. The needs of training depend on vision, mission and goals of an organisation. Training focuses on imparting professional skills and attitudinal changes. Pradhan (2001) notes the GoI took steps to introduce compulsory training programmes, of late GoI recognised the role of building the capacities of civil servants in managing the country's public systems for all civil servants, particularly to those who are the decision-makers. Those civil servants officers who completed six to nine years of services were given training in the Programme Implementation; those who completed ten-sixteen years of service were given training in Management Concepts and Decision-Making Techniques, and for those who completed seventeen-twenty were given training in Policy Planning and Analysis.

Y K Alagh Committee (GoI, 2001, p.71) identified a variety of skills that a twenty first century civil servant should possess. According to this committee, civil servants should have a thorough understanding of ongoing socio-economic and cultural changes; and equip themselves to face them. They also should have a sense of vision and direction in which the Indian socio-polity is moving. They should understand and be able to appreciate some of the real scarcities that are emerging, and tap the strengths of civil society to cope with them. Civil servants in an era of governance should possess the ability to network with local government institutions, NGOs, cooperatives and other professional and people's organisations. Further, they should have an ability to interface with modern technology to provide a cutting edge to many solutions. Along with a sense of professionalism, persistence and commitment in pursuit of objectives; they should have an urge to champion beneficial change and

energy to pursue objectives. A sense of fair play, honesty, political and social neutrality; compassion for the underprivileged and commitment are required as envisaged by the Constitution. The committee observed that civil servants in India do not possess all these qualities or skills. It is of the view that some of these skills may be attained through mid-career training.

YK Alagh Committee, further underscored that post induction training will serve as an effective supplement to the selection process and build competencies of civil servants. It argues that training should be fully professionalised and made more rigorous. Apart from providing the academic input, the professional training should be given followed by on the job training/field assignment (GoI, 2001, p 163). At the end of the two-year programme, the committee suggests, a post graduate degree in Public Policy and Systems Management should be awarded. The following training framework was suggested by the committee for civil servants.

Table 5.2: Duration of Training for Civil Servants

1 year	
16 weeks	LBSNAA
30-44 weeks	Professional Training Institute
2 Year	
32-46 weeks	On job-Field training
12 weeks	Professional Training Institute/Project

One can observe from table 5.2 that above suggested training time duration is beyond the normal span of training schedule of civil servants. However, this pattern was not accepted by the GoI.

YK Alagh committee stressed professionalism among civil servants. According to it, civil servants should develop specialisation in a particular area after putting in few years of service. They should go for mid-career training to build their competencies. Thus, after 8 to 9 years of service (Deputy Secretary Level) the officers should be sent to professional institutions for a period of one year including a stint of three months abroad. It suggested exploring the possibility of awarding a Master of Philosophy degree during this training. However, this recommendation was not accepted by the government (GoI, 2001, p 167). In addition to one's own degree, civil servants should be allowed to acquire additional degrees or qualifications. It should be noted that

Alagh Committee gave emphasis on the academic aspect of training to familiarise civil servants with the on-going changes in society. Hota Committee (GoI, 2004) suggested a measure with regard to mid-career training. Accordingly, the DoPT took an initiative to provide funds to the Indian Institute of Management; Bangalore (IIM-B) to develop a two-year course for officers of the IAS at mid-career level. During their stay at IIM-B, they are given training in areas such as, e-governance, managerial skills, and public service strategies. For instance, the scheme of Domestic Funding for Foreign Training (DFFT) was introduced in the year 2001, under which officers are being sent for mid-career training in reputed foreign training institutes.

The role of foreign agencies such as UNDP and Ford Foundation cannot be ignored in terms of their contribution to the mid-term training to civil servants abroad during 1950s. Mathur (2003) critically examined the unprecedented influence of these agencies in shaping the agendas of research and in influencing the policies of recipient countries including India. The focus of these institutions is to strengthen civil servants by making them professional, competent and committed in order to achieve development goals of the nation. A major justification for such training is purportedly lack of capacity of the administrative mechanism and its attendant weak implementation of public policies. A case was made to train civil servants and improve their standards of performance.

The objective of this training policy is to develop a professional, impartial, and efficient civil servant who is responsive to the needs of citizens (GoI, 2012, p2). The GoI formulated National Training Policy (NTP) in 2012 by replacing NTP (1996). According to NTP, 2012 competencies encompass *knowledge, skills and attitude*, which are prerequisites for effective functioning of a post. Competencies can be broadly divided into two sets of skills. Skills include core skills which civil servants would need to possess with different levels of proficiency for different functions or levels. Some of these skills pertain to leadership, financial management, people management, IT, project management and communication. The other set of competencies relate to the professional or specialised skills, which are relevant for specialised functions such as building roads, irrigation projects, taking flood control measures, civil aviation, and medical care. According to the competencies framework of the government, each work has to be done by a person who has the required competencies for job. In other words, *right person for the right job* (GoI, 2012, p.2).

The Second ARC in its approach paper mentioned the same with regard to competency of civil services.

5.2.4 Performance and Promotion

Enhancing the performance of civil servants has become one of the important issues of CSR. The incentive structure to motivate civil servants in India has been insufficient. Unlike in private sector, efficiency of a civil servant is not related with salaries or incentives. There is no mechanism to reward good performance by providing hike in salary, housing facilities and perks. The Second ARC in its tenth report on *Refurbishing Personnel Administration: Scaling New Heights* has aptly summarised the limitations of the existing performance management system (PMS) and the desired a new PMS to be kept in place. It is shown in the Table 5.3.

Table 5.3 Gaps in the Performance Management System

Present PMS	Desired PMS
Individual ranking	Process
Appraisal	Joint Review
Periodicity- Annual	Periodicity-More periodic
Outputs	Outputs/outcomes
Performance and pay not related	Performance related Pay
Ratings- top down	Periodicity- consultative
Directive	Supportive
Monolithic	Flexible

Source: GoI, 2008, p.225.

Hota Committee also recommended that the government should encourage civil servants to do outstanding work by giving them National or State awards and commendations. It suggested a transparent and objective mechanism for evaluating performance of civil servants (GoI, 2001, p.48). Following these recommendation, the GoI instituted Prime Minister's Award Excellence in Public Administration since 2006. This is a positive step in recognising the services of efficient and honest civil servants in India.

Hota Committee also discussed that individual's performance should be measured against the goal of the organisation for which he/she is working. The indicators and

targets should be specific to the nature of the job that a civil servant carries. The committee strongly felt that there should be mid-career review of performance for every five years after the completion of fifteen years of service. YK Alagh Committee suggested that there should be a composite Civil Services Board to look into matters, such as, the career advancement of civil servants, empanelment for deputation posts in the government, lateral movement and selection in other organisations. It suggested the government to allow a civil servant to move into other organisations on completion of 15 years of experience. Further joining into the other institution should be limited to 5 years only.

The GoI in 2002 appointed a Committee headed by Surendranath, former Chairman of UPSC, to review the system of performance appraisal, promotion, empanelment and placement for the “All India Services” and other Group ‘A’ services. The committee identified weaknesses in the prevailing system of performance evaluation. For instance, it identified that the performance appraisal is not based on monitorable inputs thereby making it difficult to appraise the work as per the standards set by the organisation. Hota Committee also suggested quantification of performance targets and replacing ACR with the Performance Appraisal Mechanism. It was critical of not showing the performance evaluation report to the appraisee, and preventing him/her from knowing one’s strengths and weaknesses. It added that delays in writing ACRs led to the subsequent delays in promotion (GoI, 2003, p.38).

Thirdly, it observed that there is arbitrariness in grading the subordinate officers by the reviewing officers. It is reported that a large number of officers are graded ‘very good’ without proper scrutiny. The committee found that lack of clear norms for screening gave rise to the questioning of objectivity of ACRs. Fourthly, there is no provision for feedback from juniors and peers. Fifthly, there is no linkage between evaluation for individual parameters and overall grading. It is alleged that there is no recognition for innovation and creativity. Sixthly, the ACRs of the officers who are on deputation outside the government are not available. In the state governments, the officers are known based on their reputation rather than through ACRs (Ibid, p.39).

It has been argued that performance of civil servants should be integrated with the financial management systems. Budget allocation should be based on the extent of achieving the results as stipulated. It involves annual reporting in terms of outputs and

outcomes. This will help to monitor the performance of civil servants (Das, 2013, p.24).

5.2.5 Professionalism and Modernity

Neutrality is a hallmark of civil services in India. However, one can see a shift from professionalism to loyalty among civil servants during the mid 1970s. The demand for loyal civil servants from politicians has been increasing. It has become a common practice for the honest civil servants to face a premature transfer from the current posting to an insignificant posting in remote areas. This has spawned a transfer industry in civil services. As a result, tenures of civil servants have become too short to hold them accountable for their performance. The number of IAS officers who have spent more than three years in their respective postings has consistently been less than 10 percent during the period from 1978 to 1996. Mass transfer of officials has become a routine every time there is a change of political regime. Such changes are more visible at state level. However, the Central government in Delhi has not been immune to the practice. Transfers have become an important instrument for “taming” the bureaucracy (Mathur, 2009, p.88). The Economic Times of 7 August 1999 reported that during the period 1978 to 1993, on an average, only seven percent of them held their posting for more than three years. Most of them (58 percent) were transferred within one year of their posting (Ibid). Those who desire to continue in a particular posting either have to compromise or face the consequences. This leads to unintended nexus between civil servant and political executive. Frequent transfers affected the professionalism of civil servants. This affected the professionalism of civil servants (Ibid).

There have also been cases where a Union Minister has asked the GoI to replace his Secretary due to incompatibility. In 1998, in a letter to the Prime Minister, the Urban Development Minister wrote a litany of complaints against the Secretary heading his ministry and personally requested the transfer of the senior IAS officer. Resultantly, over the years, the image of civil servants as impartial and neutral professionals giving advice to the ministers without fear or favour has become questionable. They are now regarded as civil servants colluding with political leadership for short-term gains rather than as “platonic guardians” of the old ICS mythology (Mathur, 2009, p. 90).

Headlines in the Indian Express (30 May 2007) reported that the then government of Prime Minister Manmohan Singh has begun to fix 'minimum tenure' for officers of All India Services in the states. Under the new rules being framed, every officer would be assured continuity at a job for a tenure specified by the state, and any transfer before the guaranteed period could be done only on the recommendations of a Committee on Minimum Tenure (Mathur, 2009, p. 89). It was felt that there should be a law to prevent the arbitrary transfer of civil servants. Absence of such law to ensure better performance of civil servants is conspicuous in India. Public Service Bill was drafted by the UPA-I government in 2006 towards this direction.

The important provisions of the Bill pertain to transfer of civil servants discussed below. If the bill becomes an act, it will not only assure civil servants of fixed-tenure postings but also protect them from political interference in their day-to-day functioning. If any civil servant is transferred before three years, he or she will have to be compensated for the inconvenience and harassment caused due to such a move. Besides, all bureaucratic appointments, transfers and postings will be subject to parliamentary scrutiny. As a consequence, the IAS and IPS officers in the country will no longer be at the mercy of the whimsical transfer and posting regime that operates currently (Draft Public Services Bill, 2006, p.20). However, this bill has not been passed by the previous UPA-II government.

It is reported that the level of professionalism in the Indian civil service is low. It is not a unified, cohesive, and powerful entity (Khator, 1997, p. 93). Civil servants in India still continue with colonial legacy in terms of maintaining the structures and processes. They have to recognise the changing complexities of the society with a focus on critical sectors like policing, justice delivery, education, healthcare, transportation, land management. The existing systems do not have adequate domain expertise in sector with critical insights.

PV Narasimha Rao-led government in the mid 1990s attempted to modernise the work environment in government offices. It included the use of modern equipment and work layouts. More importantly, redressal of public grievances has occupied important place in reform agenda. The role of CSOs in this regard was seen an important area of reform and laid the basis for further cooperation and mutual support (Pradhan, 2001). They have to use information and communication technology in

delivering services to the citizens. The National e-Governance Plan (NeGP) was formulated in 2006 to improve delivery of Government services to citizens and businesses with the following vision to “*make all Government services accessible to the common man in his locality, through common service delivery outlets and ensure efficiency, transparency and reliability of such services at affordable costs to realise the basic needs of the common man*” (Second ARC, 2008, p.106). So the civil servants in India are expected to adapt themselves to use modern ICTS as proposed by the plan.

5.2.6 Accountability

Incorporating an element of accountability among civil servants is crucial to ensure good governance. It depends on the relationship between the political executive and civil servants. In India, the permanent executive is accountable to the legislature. As has been discussed in the previous section civil servants have been allegedly harassed by the political executives through frequent transfers. This hampers the development of any region which the civil servant is looking after. Therefore, it is proposed to bring harmony between them.

It is recommended that both of them have a Key Result Agreement (KRA) i.e., agreement to achieve in a fixed time frame (Second ARC, 2005). According to this framework, minister should set up *Key Performance Targets* with civil servants. The minister decides what outputs have to be included to achieve the desired outcomes. Accordingly, civil servants will have to hold responsibility for the provision of outputs. In the end the minister will be held responsible for the expected outcomes in the constituency. This kind of framework will be useful to track the progress of achievement of outcomes. However, India lacks a proper mechanism of measuring the performance of civil servants and holding them accountable for their actions.

It is widely perceived that civil servants wield enormous power in the execution of their duties. This is further complicated by systemic rigidities and over centralisation. Even the lower rung of administration exercises enormous power on the most of the citizenry who are illiterate and poor. This asymmetry of power has been cited as a major reason for lack of accountability among civil servants to be set right. Sound management envisages that responsibility is not divested from authority. Matching the

authority of a civil servant assigned with the responsibility has been given attention in CSR.

Initiative like RTI and Public Interest Litigation (PIL) brought an element of accountability among civil servants and helped aggrieved groups to fight against the arbitrariness of the state. Getting such redressal is not easy and continues to be a struggle against state mechanisms. However, in face of weaknesses in other institutions of accountability, RTI is proving to be a strong instrument against corruption and holding public officials accountable for their public functions. Perhaps, it is now the most important step in the quest for good governance (Mathur, 2000, p. 133).

It is pertinent to note that Public Services Bill draft (2006) envisages about the setting up of the Central Public Services Authority (CPSA) to oversee the management of civil service. The CPSA will work under a chairperson whose rank will be equivalent to that of the Chief Election Commissioner. The chairperson will be appointed for five years by a committee comprising the PM, a Supreme Court judge, a Union Home Minister and the Leader of Opposition in the Lok Sabha. The Cabinet Secretary will act as convener of the committee. This bipartisan composition of the committee puts a check on the arbitrary recruitment and allows recruiting the professional, politically neutral, merit based and accountable public servants. This mechanism will serve the interests of both bureaucrats and people while keeping checks and balances on the former (Draft Public Services Bill, 2006). Due to policy logjam, the UPA government could not get the bill passed.

Apart from the six components that have been discussed above the following issues also occupy the agenda of CSR in India.

5.2.7 Generalist Vs Specialists

Absence of 'specialisation' in civil servants is the lacunae in the current recruitment pattern. The 'generalist' civil service in an era of globalisation seems to have become obsolete. It is expected that civil servants become expert in a particular area after they put in few years of service. Kothari committee felt that civil servants should have domain knowledge and skills to implement the public policies. It suggested changes in the exam pattern to meet the goals of specialisation in civil services (GoI, 1976, p.19). However, the current pattern allows the candidates to select one optional paper

as varied as Mathematics to Pali and medical science to commerce. This pattern would suit the generalist orientation of the past but it does not serve the current needs of specialization and professionalism. It is argued that civil servants should be experts who can negotiate at international level on economic matters, Such as GATTs (General Agreement on Trade, Tariff and Services) and WTO. Unfortunately, civil servants who have this expertise are few in number.

Satish Chandra Committee argued that a common examination to get into different services does not serve the purpose, for each service requires a separate aptitude and skills. For instance, the aptitude required to become an IAS officer is different from that of an IPS officer. It suggested adopting selection method accordingly (GoI, 1989, p. 10). However, this recommendation has not been considered by the government.

5.2.8 Lateral Entry

It is argued that steps should be taken by the government to tap expertise within civil service (retired) and outside civil service drawn from academia, CSOs, and industry. For instance, a Revenue Officer can be allowed to work in the Ministry of Finance. It is suggested that the DoPT should track the officers by maintaining a data bank with job profile of officers. It helps them to know who is suitable for a job as and when vacancy arises. In the changing paradigm from government to governance, taking inputs from multi-stakeholders is useful to run the administrative system. Taking the outsiders into civil services would help civil servants to have a broader understanding of the societal problems.

5.2.9 Redressal of Public Grievances

Hota (2007), a former civil servant and also the former chairman of UPSC, was critical of the attitudes of civil servants in India. According to him, civil servants do have a negative image among the public as *predatory class* because their education and training from the universities is not reflected in their work culture. They are inefficient in so far as redressing the grievances of citizens. This is unlikely to happen with their counterpart in some South-east Asian countries like Singapore who attends to a complaint by a person in a time-bound manner. Moreover, civil servants in India do not have inclination to update their domain knowledge. Hota laments that these are not qualities of civil servants of twenty-first century. The challenges posed by globalisation require change in their mindset. He is of the view that, until and unless

there is a change in their attitudes, any effort of reforming civil service will not yield the desired results.

5.3 Summary

This chapter attempted to locate CSR in India in globalisation and governance reforms. Reforms in India are largely induced by the donor agencies like World Bank and IMF. These agencies gave inputs to civil service on how to reorient itself towards market economy. The crucial issues that have been discussed in this chapter are: change in the recruitment procedures, key result agreement between the political executive and civil servant, matching authority with accountability competence and commitment of civil servants. In addition to this, insulating civil servants from undue political interference, change in the recruitment procedures; ensuring the stability of the tenure of a civil servant; and harmony between civil servants and political leadership has been discussed.

It can also be observed that there was a call for human face of reforms, wherein civil servants are required to adapt themselves to change. Lateral entry, enhancing domain expertise and encouraging civil servants to go for specialisation have received attention in the chapter. The chapter also focussed on capacity-building of civil services. One can observe that the issues discussed by the Second ARC revolve around structural changes as well as procedural changes in civil services. One can see that State lags behind in implementation of these reforms. These reforms advocated by donor agencies, governments, civil servants, political parties and CSOs.

The next chapter discusses the results and findings of the study.

Chapter-6

RESULTS AND DISCUSSION

6.0 Introduction

This chapter discusses results of the study. Analysis of the data was done in alignment with the objectives of the study:

- (i) to understand and describe changes in the role of Indian state vis-a-vis civil service in post-globalised era;
- (ii) to examine the State's policy on CSR in India; and
- (iii) to understand the perspectives of stakeholders on CSR in India.

6.1 State and Civil Service in India in post-globalised era

Globalisation posed a challenge and opportunity to public administration in India. As 'complex globalisation thesis' proposes, India witnessed a shift in its power *upwards* (to international organisations and movements), *downwards* (local pressure groups) and *sideways to market actors* (multinational corporations). Balance of Payment crisis in the early 1990s was the prime mover of neo-liberal reforms as part of LPG policies. It was reflected in New Economic Policy's call for opening up of the economy and increasing competition. To overcome economic crisis, Indian State negotiated a 'package' referred to as SAP. The donor agencies suggested conditions as part of this package to the government. These include, cutting down subsidies, downsizing civil service and creating a more 'efficient' government. CSR figure in prominently in this scheme of things.

Different committees looked at the feasibility of introducing some reforms. The Government Subsidies Committee (1997) is notable. Among others, these reforms aimed at reducing the government's expenditure spanning measures like reduction in subsidies, increase prices and privatisation. It is argued that subsidies are unduly large, non-transparent, largely input-based, poorly targeted, and generally regressive. They are considered as wasteful and misallocation of resources; and promote inefficiencies (Srivatsava *et al*, 2003). This argument became a theoretical underpinning for a 'minimalist' and '*leaner*' State with reduced role for government.

Neo-liberal reforms brought in a radical shift in the role of welfare state towards citizens and civil service. In 1950s, State took to the path of development through planning with an increased role for the state and minimal role for private sector. A clear demarcation of the public and private sectors was visible up until 1990s in service delivery. However, the scenario changed as technological revolution opened new opportunities for unbundling services and allowing a larger role for markets. These changes meant new and different roles for government.

The Reform Scenario at the State's Level

Governance of states across India was reviewed at Chief Ministers' Conference in 1997. The conference came to a conclusion that country needs SMART. Thrust on governance reforms is evident in National Human Development Report (2001) and Tenth Five Year Plan (2002-07) document. In these documents, role of State vis-a-vis private sector in service delivery has been redefined as 'facilitator' in place of 'controller'. The role of multiple actors such as market and civil society in governance has been recognised. The entry of private sector in critical sectors such as industry and energy was allowed. A paradigm shift 'from government to governance' in Indian administration (Mathur, 2008) redefined the roles of State and Civil Service.

Shifts in Civil Service

Civil servants were considered 'agents of social change and development in the post-independent India. They were entrusted with the responsibility of contributing to the growth and development and' (Krishnan and Somanathan, 2005). By and large, they were successful in the smooth conducting of elections, maintaining law and order or political stability. It worked as a great instrument of national cohesion and integration (Rao, 2002). As a pillar of governance, it provided continuity to administration in post-independence period. As discussed earlier in Chapter-1, its image as 'social guardian' began to change, particularly during 1990s. Its performance of civil service has come under scrutiny. Trends show that civil services in India. A yawning gap between people's expectations and its performance is seen articulated as undesirable. As public choice theory stipulates, Indian civil service is also not an exception to become self-centred.

Governance reforms were conceived in all three branches of the state- legislature, executive and judiciary. This study focussed on reforms in the executive branch of the government, that is, civil service. There has been increased pressure on the state and civil service to perform well due to sweeping managerial reforms discussed in the previous chapters. Civil service had to cope with demand to perform better in delivering services with accent on managerial approach. Technological revolution afforded an opportunity to civil servants to move from the use of traditional paper work to paperless government. ICTs were encouraged to enhance service delivery in India and facilitate the interface between the government-citizen; citizen-market and state-market. Extensive usage of ICTs was advocated to reduce cost, redefine administrative process, reduce corruption and enhance efficiency.

On the other hand, the granting of greater powers to the panchayats through constitutional amendment in the mid 1990s further encouraged citizens to build pressures for reform and demand a say in governance. Civil servants received a major push for reform from below due to increased level of people's awareness from grassroots level. It facilitated the people to identify gaps in the implementation of public policies.

As state's role changed from being a regulator to that of facilitator, civil service has to adapt itself accordingly. With the entry of private and third sectors in service delivery, civil service has to network with them. Right to Information Act, 2005 has further added its voice to demand for more transparency and accountability in governance, compelling civil service to discard its monopolistic character. On the one hand, they have to discharge their primary responsibility of maintaining law and order in society. On the other hand, they have to cope up with the entry of private sector and market in policy-making. GoI's initiative to increase the size of Council of Trade and Industry from 8 in 1998 increased to 18 in 2004 (Mathur, 2008), posed a new challenge to civil service in negotiating with the business groups on policy matters related to economy. Despite these changes, studies show that civil service was not equipped to deal with such changes. Civil service has been criticised for not learning lessons despite its involvement in the implementation of several public programmes such as Community Development

and Integrated Rural Development Programme. It reflects civil service's apathy towards change (Dubashi, 1985).

The increasing incidence of political interference since mid 70s has thrown shoddy light on the image of civil service. It is an off-shoot of the government's thrust upon commitment of civil service to a political party that is in power and its ideology. Growing nexus between politician-civil services has come to redefine the assumption of 'apolitical civil service' as mentioned by Peters and Vincent (1998). There has been a call for professionalism among civil servants and adherence to principles of civil service, such as, neutrality, integrity and honesty. In addition to this, emphasis was added to the role of civil service in contributing to economic growth. Resultantly, civil service has become a policy candidate for reform as it attracted criticism from the stakeholders-people, political executives, civil society and business groups. It is to be noted while 1990s saw the demand for minimal role for state, global meltdown in 2008 witnessed an increased role for State and Civil service in welfare activities of citizens.

6.2 State's Policy on CSR

As has been discussed in Chapters 3 and 5, since independence, many efforts have been made by the GoI to reform civil service through setting up of several committees and commissions. Three committees have been appointed to look into recruitment of civil services led by Kothari (1974), Satish Chandra (1988) and YK Alagh (2000). These committees were formed out of the need for recruiting civil service that suits the contemporary needs of society. When the State pledged to achieve socialist goals and enhance raising the standards of living of the people, civil services were considered to be critical to achieve these objectives.

Kothari Committee was appointed in 1970s to look into recruitment methods of civil servants who can meet the social needs. Around the same time, late PM Mrs. Indira Gandhi called for a 'committed civil service'¹⁸. As has been discussed, civil

¹⁸. Committed civil service has been interpreted in many ways. While the Congress party interpreted it as commitment of civil service to the socialist goals of the country, scholars viewed it otherwise. Literature in political science depicted it as commitment of civil servants to the

service was to cope up with the ideology of the party in power. One cannot ignore politics of reforming civil service. Politically, the timing of the constituting of the Committee was when Congress Party's vote base was declining across India. Lasswell (1936) regards political power as the ability to produce intended effects on other people. Likewise, Mrs. Gandhi desired to enhance Congress Party's image through enhanced performance of civil servants by calling for a committed civil service. It is noteworthy that civil servants were already committed to the goals of constitution. Yet call for committed civil service appears to be an outcome of competitive politics.

It needs to be stated that not all recommendations made by Kothari Committee's are practically feasible by the political establishment. For instance, the refusal of them to introduce radical changes in examination pattern is one of them as also the training modules. The data collected by the researcher shows that the training component is uninspiring and calls for thorough review. This observation vindicates the position as stated by Kothari on recruitment policy and selection methods.

Shifts in Governance Processes

The pressure for Indian State to restructuring of civil services continues to be felt by different political regimes in the wake of globalisation. There was enormous pressure on the State and civil service to be more responsive, open, and transparent by enhancing people's participation in governance. In addition to this, civil service was required to be efficient and effective in service delivery. Building the capacity of civil service was contemplated to meet these expectations through CSR. Late Prime Minister P.V. Narasimha Rao in 1991 announced few reforms to revamp civil service such as decentralisation of decision-making process, enforcing accountability, simplifying rules and procedures, and providing prompt services to citizens. A separate ministry known as Ministry of Programme Implementation (MPI) was created to oversee the implementation of public policies. The government evolved an institutional arrangement to review and

ideology of Congress Party so that the latter would enhance its popularity among the Indian masses.

monitor the implementation of the programmes at three levels: concerned ministry itself, MPI and PMO. Annual Action Plans (AAPs) were introduced in all ministries and public enterprises. Besides, the Management by Objectives (MBOs) was introduced during this phase (Pradhan, 2001).

Call for a SMART governance at Chief Ministers' Conference in 1997 augured reforms across states. For example, the United Andhra Pradesh initiated governance reforms in the mid 1990s. By 1990s, 3 percent of GDP is spent on the upkeep of civil service in the country (Das, 1998, p.35), reducing the money to spend on the welfare of citizens by providing health and education. Fifth Pay Commission and Subsidies Committee suggested downsizing civil service, reducing the unnecessary expenditure and improving their productivity. In pursuance of this goal, the government cut down the size of civil services from 19.58 million in 1997 to about 17.99 million in 2007. However, this did not result in the downsizing of top civil service in the subsequent periods. For instance, the strength of IAS officers has increased from 1608 in 1996 to 4552 in 2010, 4619 by 2014 (Das, 2013, GoI, 2010 and Civil List as shown in Table 2.6). There is no uniformity in approach to CSR as downsizing exercise has been confined to the Group-C and Group-D.

Out sourcing as a tool

One can find that state's interest of cutting the size of civil service and pruning the expenditure have been accommodated in the policy documents of government. Besides, in pursuance of the NPM goals, the State had introduced outsourcing of services outside the state agencies at Group-C and Group-D level. Outsourcing of services was introduced in customer services, basic product information, data entry, and at times basic clerical work. State made an attempt to reduce the cost of its operations by outsourcing the work to the third parties at lower costs.

Incremental Approach to CSR

The appointment of Second ARC in 2005 further indicates State's interest in reforming civil services. The approach paper of Second ARC looked into CSR pertaining to: putting the right person in the right place, key result agreement between the political executive and civil servant, matching authority with

accountability, insulating civil servants from undue political interference, competence and commitment of civil servants, a call for human face to reforms. It is visible from the voluminous reports of Second ARC that there has been pressure on the Indian State to adopt principles of NPM in civil services to bring structural change in civil services. State adopted decentralised model of CSR in restructuring of CSR. Though State appears to be interested in bringing a radical change in civil services, but the pace of implementation of these reforms is yet to be gauged.

Further, State's approach to reforms has been incremental in nature and appears to be ambiguous some other times. Reforms started with Congress 1991, followed by a vacuum of a decade. For example, look at the following: Surendranath Committee (2003) and PC Hota Committee (2004) have been appointed by National Democratic Alliance (NDA) to address CSR in different perspective. The issue of CSR came up again during the UPA-I regime which came to the power in 2004. In retrospect it appears the UPA government might not be having agenda for reforms except in appointing the committees. Constituting Second ARC was included by UPA as part of National Common Minimum Programme (NCMP)¹⁹. Ostensibly, UPA constituted Second ARC to show its commitment to bring change. A few steps have been taken to reform civil service since then. For instance, GoI instituted the "Prime Minister's Award for Excellence in Public Administration" in the year 2006. April, 21 is earmarked as Civil Services Day to recognise the performance of civil servants and their commitment to serve citizens (See Annexure-10).

As has been discussed earlier, implementation of CSR hinges on commitment of a political party in power at the centre. Congress-led UPA government was in power for two terms, from 2004 to 2014. Observers opine that ten years of time span is sufficient to see changes in the administrative system, and both UPA –I and UPA-II have missed an opportunity to reform. A number of corruption related controversies during UPA-II have cast a shadow on civil services. The image of Indian civil servants has been shoddy according to some surveys. For instance,

¹⁹. NCMP was a blue print for what the UPA government wants to achieve while it was in power.

Hong Kong based organisation, Political and Economic Risk Consultancy Limited, in its study in 2012, rated Indian civil servants high on the index of red tape among other civil service of Asian countries (9.21 points out of 10). It revealed that working with civil servants in India is a slow and painful process (Times of India, 2009)²⁰. The Hindustan Times-MaRS Governance Survey rated India behind other countries in providing quality public services and pursuing welfare of the people²¹. The measure for government's performance is improvement in service delivery. To that extent, one can say that reforms have not yielded the positive results.

Macro Indicators of Indian Civil Service

Despite high economic growth rate in the last decade (estimated as 7 percent average per annum) public service delivery in India calls for improvement. For instance, about 200 millions of Indians still do not have access to electricity. India does not do better than Bangladesh in improving the living standards of its citizens. About 20 percent of children between 6 and 14 were not attending school in 2005-06. In terms of malnourishment of children, it is worse than that of sub-Saharan Africa (Dreze and Sen, 2014). Deterioration in the quality of services dented the image of civil services. A survey by Gallup World Poll reveals that the percent of Indian citizens who trust their government has plunged to 55 percent in 2012 from 82 percent in 2007 (reduced by 27 percent)²².

It took nearly forty five years to get the Lokpal Bill passed in the Indian parliament. During its tenure, UPA-II failed to get The Right of Citizens for Time Bound Delivery of Goods and Services and Redressal of their Grievances Bill, 2011. Had this Bill been passed, an effective time-bound grievance redressal system could have been in place by now; and the officials who are responsible for their failure in service delivery could have been punished. The UPA-II was able to get 165 Bills in parliament, making it one of least deliberative full-term Parliaments in the history of India²³. Thus both policy formulation and

²⁰.The criteria for this study include the availability of infrastructure, corruption, regulations for doing business, and legal procedures. The report highlighted that civil servants in India wield excessive powers and are rarely held accountable for their actions.

²¹ . www.hindustantimes.com, accessed on 1 February, 2014.

²² .The Economic Times, 16 December, 2013, p.11, Jaipur.

²³ . www.businessstandard.com, viewed on 14 February, 2015.

implementation during UPA-II regime was reported to have been low at all time. It was reported widely that India was running through a phase of ‘policy paralysis’ with low economic growth²⁴, reflecting poor implementation of CSR.

Competitive politics always gained upper hand over good governance during elections. For instance, Congress party in its Manifesto for 2014 elections claimed its success in creating the Lokpal and Lokayukta Act 2013, and promises the passing of further pending Bills. The Bharatiya Janata Party (BJP) government too in its Manifesto mentions about CSR, notably opening up government to draw expertise from the industry, academia and society. India’s long term measures to ‘reengineering’ civil service and improvement in service delivery have become long-cherished goals of citizens. Adhocism continues to be the mark of CSR.

6.3 Perspectives on CSR

1. Reengineering of civil services

All respondents portrayed civil servants in India in a manner unexpected from them. Some responses regarding civil servants are even shocking. They view that civil servants are lacking aptitude to serve the public, self-serving, *statusquoist*, risk averse, dysfunctional, manipulative and poor in service delivery and implementation of public policies. These subthemes under this Superordinate theme (See Table 6.1) are explained with specific illustrations.

(i) Distancing from goals of welfare state: Majority of the respondents emphasised that the civil servants have distanced themselves from the goals of welfare state i.e. promotion of social and economic wellbeing of the citizens. It was striking to note an observation made by a respondent:

‘Of late, civil service has drifted from the ideals of welfare state; and moved from being pro- poor to the pro-rich.’

²⁴.<http://www.dailymail.co.uk/indiahome/indianews/article-2147306/UPAs-red-report-card-Policy-paralysis-continues-dog-government-completes-years-office.html>, viewed on 20 May 2012.

Table 6.1

Superordinate themes and their sub-themes with specific illustrative quotations

Superordinate Theme	Sub-theme	Illustrative quotations
Reengineering of civil services	Distancing from goals of welfare state	‘Of late, civil service has drifted from the ideals of welfare state; and moved from being pro-poor to the pro-rich.’
	Statusquo	‘I have not observed any significant change in civil services ever since I joined....’
	Lack of accountability	‘Over a period of time....civil servants have become risk averse and unaccountable.’
Selection Process of Civil Service	Inclination to Managerialism	‘...UPSC is inclined to New Public Management in recruitment.’
	Lack of transparency	‘...whole process of recruitment is a hoax. Nobody knows how a candidate is selected.’
	Ineffective method	‘Current CSAT pattern tests the aptitude of a prospective civil servant, but not his/her mind set.’
	Social Inclusion	‘...Constitutionally stipulated reservations will not affect the quality of civil service, therefore they should be continued.’
	Selection of the young candidates	‘I think, young graduates should be recruited in civil service, for it is easier to induct them into service.’
Building the capacity of civil servants	Outdated and irrelevant Content	‘Training at LBSNAA is a kind of punishment.’ ‘Personally, I feel that best training should be provided to the trainees by the best faculty.’
	Formalism	‘..There is a general disinterest among trainees towards any session...’ ‘Training period is taken as a paid holiday.’
	Lack of specialist orientation.	‘The heyday of ‘generalist’ civil service is over.’
Designing Performance Appraisal Mechanism	Delinking promotion with performance	‘I think, the career based civil service can no longer work’
	Absence of 360 degrees performance evaluation	‘There is subjectivity in evaluating the performance of civil servant.’ ‘I feel that 360 degrees performance evaluation should be introduced in place of age-old Annual Confidential Reports...’
Politicisation of Civil Services	Violation of ‘neutrality’ principle	‘Gone are days, a civil servant is neutral and impartial.’
	Transfers as a means of punishment	‘...These politicians... use transfers to punish the honest and upright officers!’
Leading the reforms for change	Lack of Vision	‘I don’t think the political leaders do have any clear stand on reforms!’
	Resistance to Change	‘How can implementation of reforms be successful when that responsibility is given to civil servants?’

(ii) Statusquo: It was reiterated by all the respondents that civil servants have become outdated in contemporary times and are not willing to adapt themselves to new changes in society. It was expressed that they work in an old fashion without

realising the shift in the role from being commander to facilitator. It was said that civil servants rely excessively on paper work without taking advantage of ICTs. The pessimism expressed by a respondent about civil service is illustrated here:

'I have not observed any significant change in civil service ever since I joined it'

(iii) Lack of accountability: Majority of the respondents emphasised that civil servants do not have an aptitude to serve the public. They say it was reflected in the poor implementation of welfare programmes. Complacency, ineffective monitoring of performance, pursuance of patron-client relations, self-seeking nature have been cited as critical factors contributing to the lack of accountability among civil servants.

'Over a period of time....civil servants have become status-quoist, risk averse and unaccountable.'

2. Selection Process of Civil Services

Majority of the young respondents were not confident of the selection process adopted by UPSC. Ineffective, biased and unfair selection methods were cited as the major lacunae in the selection process that emerged as subthemes.

i) Inclination to Managerialism: Majority of the respondents were of the view that UPSC adopts an approach that favours the candidates hailing from urban areas and the socially advantageous sections.

'...UPSC is inclined to follow NPM in recruitment.'

ii) Lack of transparency: The trainees were not confident of selection process of civil service. They firmly responded that UPSC is not transparent in conducting CSAT. They felt that exam pattern is skewed towards science and engineering streams and English speaking people. One common apprehension among the young respondents is that UPSC maintains unwanted secrecy. The exasperation of one respondent is given below:

'...whole process of UPSC recruitment is a hoax. Nobody knows how a candidate is selected for a service.'

iii) Ineffective method: Against the popular notion, majority of the respondents said that there were no changes in the attitude of civil servants. According to them, current CSAT pattern tests aptitude of the prospective civil servants, but not their mind set.

'Current CSAT pattern tests aptitude of the prospective civil servants, but not their mind set.'

iv) Social Inclusion: Almost all the respondents supported the continuation of reservations in the selection of civil services. They firmly said that continuation of reservations would expand the social base of civil service and play the level playing field for all the socially disadvantaged sections.

‘...Constitutionally stipulated reservations will not affect the quality of civil service, and they should be continued.’

(v) Selection of the young candidates: Majority of the respondents viewed that young candidates should be recruited between 21-24 years. They justified it that the younger recruits can easily be inducted and trained.

‘I think, young graduates should be recruited in civil service, for it is easier to induct them into service.’

3. Building the Capacity of Civil Servants

Training is meant for both the individual and organisational growth. Majority of the respondents were dissatisfied with the current efforts made by the GoI towards capacity building of civil servants. These efforts are not sufficient to address the problems, such as, outdated and irrelevant content, formalism, lack of specialist orientation. These sub-themes are discussed here:

i) Outdated and irrelevant content: Majority of the respondents explained that training given at LBSNAA is not relevant to the contemporary times. Particularly, the young trainees expressed that the contents of the training module calls for updating and it is now repetitive with more focus on theory than practice. They, further, observed that the trainers are incompetent.

‘Training at LBSNAA is a kind of punishment.’

‘Personally, I feel that best training should be provided to the trainees by the best faculty.’

ii) Formalism: The in-service civil servants elaborated that civil servants do not take training seriously. It was due to lack of enthusiasm and aptitude for undergoing training.

‘...There's a general disinterest among trainees towards any session...’

‘Training period is taken as a paid holiday.’

iii) Lack of specialist orientation: Majority of the respondents viewed that current training does not train civil servants to become specialists in their field. It does not cater to the needs of contemporary society.

‘The heyday of ‘generalist’ civil service is over.’

4. Designing Performance Appraisal Mechanism

Performance appraisal is a process tool by which contribution of an officer is assessed in a stipulated year. Now it has been revisited and is regarded as an important area of reform. De-linking performance with promotions, biased performance appraisal and absence of 360 degree performance are the areas that need intervention. These subthemes are discussed under the superordinate theme as shown below.

i) De-linking performance with promotions: Majority of the respondents explained that promotions of civil servants are based on seniority, but not their performance. It, according to them, would discourage the hardworking civil servants. They see it as against the principle of meritorious civil service.

‘I think, career based civil service can no longer work’

ii) Absence of 360 degree performance: As Surendranath Committee (GoI, 2003) outlines that an officer’s performance and qualities must be evaluated by peers, subordinates and clients known as 360 degrees evaluation. Majority of the respondents said that current performance appraisal does not have such mechanism. They also expressed that the reviewing officer always promotes his/her subordinate based on their personal relations than performance. This finding agrees with a finding of the GoI’s study in 2003.

‘There is subjectivity in evaluating the performance of civil servants.’

‘I feel that 360 degrees performance evaluation should be introduced in place of age- old Annual Confidential Reports...’

5. Politicisation of Civil Services

Almost all the respondents have expressed that politicisation of civil service is evident and is causing severe concern. Violation of ‘neutrality’ principle and transfers as a means of punishment has been cited as major factors contributing to such phenomenon. Discussion on these subthemes is figuring in separately.

(i) Violation of principle of neutrality: Majority of the respondents viewed that constitutional principle of civil service, that is, neutrality underwent radical change. Civil servants, as they opined, are showing allegiance to a particular political party and its representatives in contemporary times. The blurring of role of civil servant

between policymaking and policy implementation is considered to be a significant factor.

'Gone are days, a civil servant is neutral and impartial.'

iii) Transfers as a means of punishment: Most of the respondents explicated that the political executives use transfers as a means to intimidate. They are of the view that there is no objectivity in postings and transfers of civil servants as it is left to the whims and fancies of a political executive.

'...These politicians... use transfers to punish the honest and upright officers!'

6. Leading the Change

Almost all the respondents explained that implementation of CSR has been slow and incremental. They attributed it to lack of vision and resistance to change from civil servants.

(i) Lack of Vision: Majority of the respondents reported that political leaders do not have a vision to implement CSR. They perceived that political parties do not have commitment towards reforming civil service.

'I don't think the political leaders do have any clear stand on reforms!'

(ii) Resistance to Change: Respondents have expressed that there has been resistance to change within civil service. It was said that reforms will affect the vested interests of civil servants.

'How can we expect implementation of reforms be successful when that responsibility is given to civil servants?'

Discussion

Discussion on the results can be diagrammatically explained as shown in the Figure 6.1.

Respondents, some being civil servants, felt that civil service departed from the welfare goals as stipulated by the constitution. A common perception expressed by them is people are alienated from the governance processes. A visible trend, as mentioned by them, is that civil servants do have a soft corner for the rich and the business groups. This calls for revisiting the principles of civil service.

Majority of the respondents said that civil servants wield enormous power for self-perpetuation. They were perceived to be resistant to change. They criticised civil servants for carrying colonial mindset with "I know everything" attitude. They attribute this to complacent nature due to permanent nature of job. They felt that civil

servants' performance has to be assessed against the fixed targets, without which they should not be allowed to continue in service. With a lot of anguish, they expressed that a non-performing civil servant should be asked to take retirement or to take a break. Surendranath Committee (2003) and Hota Committee (2004) have emphasised on fixing targets to assess the performance of civil servants. However, the government has not come up with a clear Performance Appraisal Mechanism to assess the target achievement by civil servants.

Figure 6.1 Perspectives on Civil Service Reforms



A respondent who was the former UPSC member told that current pattern of CSAT is biased towards a particular stream of education, say, sciences, engineering and management. Some of civil service aspirants also said that it excludes candidates from the rural background and socially disadvantaged sections. This trend is against Kothari Committee's (1974) observation which emphasises on the need for rural bias for civil servants.

While young respondents (both civil servants and civil service aspirants) are sceptical of recent reforms in the selection of civil services, aged respondents including the senior civil servants consider selection process as appropriate. According to them, lack of efficiency in civil services is not due to selection method; rather it is due to the administrative culture that prevails. Good number of respondents felt that selection process would not bring positive changes in the attitude of civil servants as long as rigid structures and procedures remain in place. CSAT was viewed to test the ability of candidate to become civil servant, but not the attitude to serve the public! The respondents were of the view that young civil servants should be recruited to civil service so that they will be open to new ideas; and they can easily be sensitised to the plight of the poor.

Respondents said that training is not as challenging as was the case earlier. They mentioned that contents of foundational course need to be improved as they felt that it should cater to the needs of contemporary society. They categorically said that curriculum should be updated; competent faculty have to be recruited at LBSNAA and training methods have to be made relevant and flexible. For instance, a respondent objected to compulsory horse riding as he finds it irrelevant in contemporary as much of commutation takes place wither by means of road transport. It was firmly expressed by young trainees that the trainees should be taken to the nearby villages (in place of far distant places) as part of field trips. Perhaps, this may give greater exposure to have better understanding of the society. More than five decades ago, First ARC (GoI, 1969 b) has rightly pointed out the need for strengthening the training for civil services. Yet, one can observe from the finding that the training requirements have not been fulfilled as suggested by Commission.

They expressed that there is no relation between the training and promotion in the later stages. Assessment of the impact of the training calls for a review. In 2010, the researcher under the RTI requested for Information from the DoPT to know about the outcomes of the training imparted to civil servants and whether there is an assessment made by the Government. The Information Officers said that they did not any record regarding (See Annexure-12 for RTI Queries on Civil Services). It shows negligence in the response pattern of bureaucracy in India.

It is interesting to note that almost all respondents have agreed with the idea of reservations in civil services. They viewed that reservations will not affect the quality of civil service, as perceived by some members of the society. Some of them have even said that reservations should be continued.

Respondents viewed that the organisational culture of civil services would change through innovation and creativity. According to them, specialisation would enhance both of them. It was viewed that civil servants should become specialists in the area they serve, such as, health and education. Satish Chandra Committee, way back in 1989 recommended for introducing changes in the examinations to encourage specialisation. This is to keep civil servants in tune with changing aspirations of the society. One can see lukewarm response of the government towards this direction.

Almost all respondents said that civil services do have least accountability to the people. This can be located within the principal-agent framework as discussed in Chapter-1. In so far as this framework is concerned, civil servants (agents) would least bother about the services they provide to the people (principals). It was expressed that civil servants carry an outlook of 'patron-client relations' in being accountable to the people. Ostensibly, several attempts to reform civil services did not bring in attitudinal changes.

The respondents felt that there is there is high degree of bias in evaluating the performance of civil servants. According to them, ACRs do not take into consideration the satisfaction level of beneficiaries of services. They felt that civil servants' performance should be evaluated by all stakeholders that include the peer groups. They viewed that this would make civil servants accountable. This finding corroborates with a finding of the study carried out by Ramabrahmam and Mukteswararao (2007). In this study, it was recommended that performance evaluation should be made objective.

Respondents elaborated that political executives blame civil servants for the failure of policy or a programme implementation. Undue interference of political executives was reported to have deprived civil servants of their freedom and caused tension

between both of them. Transfers of civil servants are used as powerful means to control honest officers. They viewed it as deterrent to work freely and harmoniously with the political executive. They objected to this scenario, saying that, absence of security of tenure will affect the performance of a civil servant and in the end, the development activities. It was also said that some of civil servants are siding with the political parties for their selfish interests. This requires policy intervention by the state to make civil servants free from the undue political interference. This shows that politicisation of civil services since 1990s has been on the raise.

Respondents viewed that reforms are just rhetoric. They said that reforms are implemented at lower level of civil service, but not at higher level. They cited that lateral entry has been introduced in civil services after long years of persuasion. Respondents are of the view that CSR have not been mediated through a visionary politics as political will and transformative leadership are missing in India. The same has been attributed to the incremental approach to slow implementation of reforms.

The discussion on the findings of the study indicates that respondents desired transformed civil services but not reformed one alone. A reformed civil service has a tendency to drift to its previous state, and this is not the case with the transformed civil service. India needs such leadership in civil services. These perspectives on CSR and GoI's attempts to reform civil service can be aptly related to Caiden's (1969) statement that 'reforms continue as long as human civilisations exists'.

Chapter-7

SUMMARY AND CONCLUSIONS

7.1 SUMMARY

Globally, in the post-Second World War period, State's responsibility to look after the welfare of its citizens has increased. State-dominated development strategies were embraced in the developing countries. It saw the increased public spending towards welfare of the people. The total public expenditure around the world increased from 12.6 percent of GDP in 1960 to 17.3 percent in 1995 (as cited in Jackson, 2007, p.31). Civil service has been considered as key to achieve development.

Weber considers civil service as an efficient instrument of organisational leadership, and a 'social guardian' representing universal interest of the state (Das, 1998). However, civil service has come under intense scrutiny as it has been perceived as self-interested and inefficient. It has been viewed more as a problem than a solution. Both external and internal factors have caused changes in civil service. Externally, globalisation and neoliberal policies; and internally, increased expectations from the citizens, and ICT revolution have brought changes in civil service. No other institution in the twenty-first century has undergone as many changes as civil service underwent (Peters and Wright, 1998). Thus, civil service is one of the most admired as well as criticised institutions of governance.

During 1980s, there was search for better governance in both developed countries as well as developing countries, such as the Sub-Saharan Africa and Asia. It was argued that inefficient civil service is the reason for poor implementation of development projects (World Bank, 1989). The onslaught of neo-liberal policies and globalisation has caused changes in the role of Indian state and civil service. In tune with the changing role of the state, India is expected to play the role of a facilitator role in place of regulator. Accordingly, civil services were expected to adjust to these changes to facilitate globalisation and encourage private sector.

World Bank in its Report entitled: '*The State in a Changing World*' (1997) stated that state's role has been inspired by important events in the global economy. State can no longer act as sole provider but as facilitator and regulator. The report identifies that an effective state is essential for sustainable development of a country. It suggests

shifting its role from carrying out traditional functions like law and order and taxes to move towards the market economy. The report identifies 'civil service' as one of the key institutions and state has to look for ways to improve its capability by reengineering public institutions (World Bank, 1997).

Public management reforms have been introduced in the developing countries under the auspices of multilateral and bilateral agencies such as, World Bank and IMF, under the label of 'governance reforms'. These reforms aim to liberalise the economy; and redesign public institutions (Singh, as cited in Chaudhary, 2007, p.1). CSR were initially not part of the agenda of the World Bank while it was funding the public sector reforms.

The Government of India has responded positively to the agenda of good governance promoted by the multilateral agencies. Under the guidance of the World Bank, it introduced SAP in the early 1990s to overcome the economic crisis impending due to Balance of Payment problems. This is reflected in GoI's official documents starting with the National Human Development Report (2001) and Tenth Five Year Plan (2002-07). They underscored the significance of governance for the sustainable human development (Choudhary, 2005, p.22-23).

Governance occupied a place in the party manifestos in the parliamentary election of 2004. Congress led (UPA)-I included 'the institutional reforms' as the underlying theme in its National Common Minimum Program (NCMP) (2004), and fought elections on a promise of good governance in the country. Under governance dimension, emphasis has been given to enhance efficiency, effectiveness, transparency and accountability of government. In economic domain, the reforms included the 'rolling back of the state' from its commitment towards welfare of the citizens, through distribution of goods.

Innumerable committees and commissions have been set to reform civil services in India. CSR are envisaged to protect the autonomy of civil service in its functioning and freeing it from the clutches of political leaders. Efficiency dimension is also added to the rationale of CSR. But reforming civil service remained as one of the foremost challenges of good governance in India today (Das, 2010). Despite the

commissioning of several committees to reform civil service in India, its efficiency and capacity to deliver services appear to be minimal. Studies on CSR by the Government, ARC and independent agencies appear to miss a holistic perspective that comprises of views of the diverse perspectives of stakeholders. The study attempts to fill this gap. The general objective of the study is to examine the Indian State's Policy on CSR and perspectives of diverse stakeholders on CSR. Specific objectives of the current study are as follows: (i) to understand and describe the changes in the role of Indian state vis-a-vis civil service in post-globalised era; (ii) to examine the state's policy on CSR in India; and (iii) to understand the perspectives of stakeholders on CSR in India.

Administrative culture of civil services in India is marked by feudalism and extortion. Loyalty and integrity were hallmarks of the ancient civil service. Though there was a slight change in British civil service in terms of its outlook, it was instrumental in perpetuating British interests. This was evident in the larger responsibility entrusted to the then civil servants to collect revenue for them. The legacy of British continued in the post-independence period, and the institution of civil service provided continuity to administration. The structure of civil services in the post-independence period was multi layered and hierarchical.

Civil services can be classified under three heads: Central Services, All India Services (AIS), and State Civil Services. Civil service system in India has the following characteristics: *impartiality and neutrality, integrity; and adequate capacity and knowledge*. IAS is the most important among all the services in the country, and considered to be the 'steel frame' of the British raj. Its importance emanates partly from the advantage that the IAS enjoys over other civil services in pay scales and faster promotions, and partly from the job content of the positions that IAS officers hold. As on 01 January, 2014, the total numbers of IAS officers in India are 4619.

Civil services examination is considered one of the toughest examinations in the world. It takes almost one year to complete the process of recruiting an IAS officer. The candidates who possess a degree of any one of the universities are eligible to apply for civil service examination. The recruitment takes place in three stages: preliminary examination, main examination and interview. Civil services Aptitude

Test (CSAT) is the recent reform in preliminary examination held by the Union UPSC, once every year (usually in the month of May), in accordance with the rules published by the Department of Personnel and Training (DoPT). LBSNAA, located at Mussorie provides Foundation course to the probationers for about 15 weeks.

When the Foundational Course is about to come to an end, the cadre allotment of IAS probationers will be communicated by the Government to them. The IAS probationers are given sandwich training into two phases. In the first Phase, theoretical knowledge is imparted to the IAS probationers. On completion of the first phase of training, the probationers are sent to the Cadre States for receiving practical training in the districts for a period of one year. Then they come back to the Academy to undertake Phase II course that lasts about 10 weeks. Although the IAS officers are given different state cadres, they have opportunity to come to the central government periodically on deputation.

Krishnan and Somanathan (2005) attempted to measure the effectiveness of civil service by adding three more criteria: i) promoting economic development, ii) preserving constitutional order in the country and iii) translating the will of elected governments into policies and implementing them. They rated the performance of civil service '*poor*', '*noteworthy*', '*fair*' against this criterion. Remarkable changes took place in the politico-administrative culture starting from the mid-sixties. Particularly, civil servants were reported to lack of commitment to the development efforts of the government. There has been a steady erosion of the ideological foundation of public policies. Loyalty to leadership had become the sole virtue, based on which effectiveness of civil servants is judged. These developments had a devastating effect of the administrative culture of the country. Massive and frequent transfers of civil servants have eroded the confidence of civil servants. Consequently, in contemporary administrative culture is marked by hostility between politicians and civil servants. Decision-making in government is delayed because it is concentrated among high-ranking officials, with hardly any delegation of power to the middle or lower levels of the hierarchy. More often than not, an officer tends to put the onus of decision on his next higher ranking officer (Mehta, 2000, p. 16-17).

It is expected that administrative reforms would generate positive qualities in bureaucracy, such as efficiency, effectiveness, dynamism, innovativeness and forward looking character (Dubhashi, 1985, p.180). Bhaumik (1999) classifies the implementation of administrative reforms in the post-independence period into three phases: the period of consolidation (1947-66), period of reconstruction (1966-80) and period of modernisation (1980-1994). During the first phase of administrative reforms, efforts were made to consolidate the administrative setup in India. Thrust was laid on increasing the strength of civil servants, identifying the core areas of government activities, improving recruitment method, constituting functionally related ministries and departments, enhancing the implementation of community projects, establishing Whitley Councils, establishing the IIPA, and steps to improve state and district administration. The second phase of administrative reforms includes attempts to improve the administration and police administration and decentralizing governance. Administrative reforms since 1980s saw modernisation of Indian administration. At federal level, Economic Reforms Commission was appointed by the GoI in 1981 under the chairmanship of LK Jha. Its main function was to study the important areas of economic administration and suggest measures for rationalisation and improvement of tax administration; and develop a coordinated rational approach for the establishment of a new economic order (Singh, 2012, p. 280).

Prior to 1997, several attempts were made by State to reform administration. Major attempt among them is the setting up of First ARC. However, the impact of these reforms has been incremental. Despite attempts to reform government, the structure of administration processes and procedures of work have remained still intact, except that cosmetic changes have been made here and there. Moreover the outlook of civil service in dealing with the citizens had little impact on the lives of the common citizens (Mathur, as cited in Mehta 2000, p.117-118). The analysis of administrative problems is confined to structural aspects of administration. These structural problems have caused bottlenecks in coordination or in communication or behavioural frictions in a team (Mathur, as cited in Mehta, 2000, p.119).

Indian State introduced cut back management in the wake of globalisation. Fifth Pay Commission and Subsidies Committee recommended downsizing the civil service and improving the efficiency of the public sector employees. These reforms aimed at

managing the public sector by avoiding unnecessary subsidies, which will have huge bearing on the economy. The Chief Ministers' Conference in 1997 heralded a phase of SMART governance. Several states also introduced governance reforms, notably the United Andhra Pradesh. Right to Information (2005) has been a major policy outcome of an initiative to promote transparency in governance. The administrative reforms have been given legitimacy through setting up of Second ARC in 2005.

CSR came out of thinking for better governance in Asia, Africa and Europe and North America those countries. It can be traced to UK's Fulton committee that proposed managerial reforms in civil service. CSR in UK were forwarded by the Conservative party under the leadership of Margaret Thatcher. Reforms are based on NPM philosophy that relied on Economy, Efficiency and Effectiveness (3 Es). Citizens' Charter and benchmarking were the important characteristics of UK's CSR. The wave of reforms swept through the West Europe also where politicisation of civil service was rampant. In USA, the CSR were undertaken as part of the Reinventing Government Movement in the 1990s under the leadership of Vice-President Al Gore. One of the important characteristics of reinventing government is entrepreneurial government and focus on the outcomes rather than the process. This reform became a revolution in American public administration and later became a guiding force for reforms in other developing countries.

African countries (here Ghana and Ethiopia) implemented CSR under the influence of NPM. Ghana launched CSR with an intention to restructure civil service by right-sizing. These reforms got momentum with the adoption of neo-liberal policies under the leadership of John Kufuor. CSR were integrated in the economic reforms in Ghana. The efforts to improve performance of civil service have yielded incremental change in Ghana as the people were not involved. On the other hand, Ethiopia witnessed to reform its civil service ever since it became democratic in 1991. Several management techniques including BSC and BPR were adapted to reform Ethiopian civil services. The analysis shows that the results were not up to the mark. The current Growth and Transformation Plan (2010-15) is under implementation. It can be learnt from these countries that reforms are an ongoing exercise. More importantly, political will is visible in the implementation of CSR in these European and African countries.

CSR in India can be located in the context of globalisation and governance reforms. Reforms are largely induced by the donor agencies like World Bank and IMF. These agencies gave inputs to civil services on how to reorient themselves towards market economy. The crucial issues that have been discussed in this thesis are aligned with the approach paper of Second ARC, such as, *structure, recruitment processes, capacity building, performance and promotion, professionalism and modernity, and accountability*. These issues have been discussed earlier by different committees also. In addition to these, some conventional items like generalist vs. specialist, domain expertise, entry and exit mechanisms (including lateral entry), and politicisation of civil service have been dealt with.

In other words, focus was laid on issues, such as, putting the right person in the right place, key result agreement between the political executive and civil servant, matching authority with accountability, insulating civil servants from undue political interference, competence and commitment of civil servants. In addition to this, change in the recruitment procedures; ensuring the stability of the tenure of a civil servant; and harmony between civil servants and political leadership were identified as critical ingredients of the CSR.

Researcher adopted purposive and convenient Sampling. Sample is drawn from Assam, Chhattisgarh, Delhi, Himachal Pradesh, Karnataka, Maharashtra, Rajasthan, Telangana, and Uttar Pradesh. Initially a sample of 58 was planned, but only 27 respondents have agreed to be interviewed. Primary data was collected by interviewing IAS officers and allied service officers, civil service aspirants, member of a Civil Society Organisation, member of UPSC, former member of the Second ARC and policy expert. In-depth Interview was taken from respondents to get their detailed views on civil service and how to go about the reforms. Expert interview is carried with a prominent person who is well-informed about the CSR. Secondary data was collected from the relevant books on CSR, and articles in peer reviewed journals. The researcher adopted thematic analysis, a method by which data was read and re-read again. By the identification of words that are repeated analysis is attempted and the most important issues in relation to the objective of the study get tested using Open Coding. Analysis is done using Axial Coding.

Respondents viewed that reforms are just rhetoric. They said that reforms are implemented at lower level of civil service, but not at higher level. They cited that lateral entry has been introduced in civil services after long years of persuasion. Respondents are of the view that CSR have not been mediated through a visionary politics as political will and transformative leadership are missing in India. The same has been attributed to the incremental approach to slow implementation of reforms.

The discussion on the findings of the study indicates that respondents desired transformed civil services but not reformed one alone. A reformed civil service has a tendency to drift to its previous state, and this is not the case with the transformed civil service.

7.2 Conclusions

7.2.1 State and Civil Service in the post-globalised era

Like in other developing countries in South Asia, India took up the role of a welfare state in the post-independence period. Its intervention through planned development was pervasive in developmental and regulative activities. By providing constitutional status, civil service was entrusted with the task of maintaining law and order and facilitating democracy. Civil service was under tremendous pressure during the mid-1970s to adapt itself to the socialist goals pledged by the Indian State. Here, the party politics played a predominant role in distorting the image of civil service. Mrs. Gandhi's call for 'committed civil service' was seen a political agenda to manipulate civil service to accommodate party interests to gain popular mandate in elections. The blurring of the responsibilities between the political executive and civil services and their unholy nexus to pursue their individual goals were wide spread since then.

As the state adopted neoliberal reforms in 1990s, state took the role of facilitator of the economy by relegating the public welfare to the periphery. This metamorphosis in the nature of State from 'welfare state' to that of 'facilitator' affected the manner in which civil services continue. As the state began to withdraw from the welfare activities, civil service had to oblige the direction given by the political executive. Civil service was envisaged to facilitate market, encourage the entry of private sector and develop networks. Of late, it was seen that civil service lost their commitment to the welfare goals of poor. Instead, it was seen to be and inclined towards

accommodating the business groups. While politicisation was lesser degree during the welfare state era, one can see that its incidence increased with the globalisation. Resultantly, civil service is unable to cope up with the role of balancing a ‘social guardian’ and also ‘facilitator of the market’.

7.2.2 State’s Policy on CSR

State’s approach to reform civil services has been incremental. Setting up of various committees beginning with Kothari committee reflects this. Data collected from the respondents vindicates the findings of the First ARC with regard to training inputs imparted to civil servants. It identified that the foundational training was inadequate to impart right attitude and skills, and equip them with national outlook and heritage. It recommended updating the foundational training, imparting specialised knowledge to civil servants and replacing ACRs with the Performance Reports (GoI, 1969 b, p.iii). It is to be noted that these recommendations have not been implemented until now, excepting introducing the performance reports. It is apparent that there is low level of commitment among the political parties in introducing reforms except constituting committees from time to time.

A critical review of the reports of the GoI and various Committees on CSR shows that recommendations made by each committee do have some similarity except variations in the context. By and large, these committees suggested revamping of civil service by making it relevant to meet the aspirations of the people. A critical appraisal of these reports and recent trends in civil service reveals gaps between policy on CSR and their implementation.

Government’s approach to reform civil service was necessitated by the needs of the society and times. ‘Strengthening bureaucracy’ was the goal of state during the planning period. Government in power made cosmetic changes to steel framed civil service here and there without reengineering its functioning. The attempts at strengthening bureaucracy created administrative situations that were imitative, ritualistic and symbolic rather than conducive to real change (Mathur, 2003). Structural aspects than the processes have received greater attention in the implementation of CSR (Krishna, 2001).

From the study findings, it was evident that mere structural changes will not help unless the processes get revamped. Globally, contemporary public organisations are in search of means to improve their internal business process in terms of cost, quality and time. It is imperative for Indian civil service to excel and continuously add value for services delivered. CSR need to focus on the processes to deliver the intended services to the citizens. It requires that governments have to identify and design new internal process from time to time as required. The findings of the study reveal the need for reengineering of civil services.

In the post-globalisation period, economic reasons dominated the agenda of CSR. Economic reforms have been linked with CSR as it is argued that reformed civil services would contribute to economic growth. To facilitate growth, it was envisaged to downsize the role of the government through dismantling of the excessive controls, disinvestment in the public sector, corporatisation of departmental undertakings, privatisation and contracting out of many services. Government's role was envisaged more in evolving the policy of governance to function as facilitator rather than inhibitor of growth. New regulations were evolved and enforced so as to provide a level playing field between the public and private sector enterprises.

CSR is a political activity. There has been absence of consensus among political parties on CSR. Pace of implementation of CSR depends on the vicissitudes of political changes. It was ironical that the Congress party which was in power when CSAT was introduced raised objections to the same pattern when it became opposition. CSR were seen as candidate for political manifesto to impress upon the people to gain in elections. The momentum of implementation of reforms was sporadic. It was argued that the commitment of the government is not as strong as it was in Margaret Thatcher's or Reagan's time or in other countries such as Malaysia, Australia and New Zealand which reinvented the government (Mehta, 2000).

Implementation of CSR in India can best be understood with the following four policy options: *do nothing; act symbolically; take a few small steps at a time; and opt for 'large scale policy'* (which will never happen) (Aiyar, 2009, p.151). When inefficiency is the hallmark of Indian administrative system, the GoI waited (doing nothing) until appointed First ARC in 1966 and Second ARC in 2005 (acting

symbolically). When the both ARCs forwarded recommendations, it took small measures (incrementalism). Setting up of Second ARC did not lead to large scale policy as envisaged to bring transformation in the administrative system of the country as its reports have been confined to letter but not in spirit.

7.2.3 Perspectives on CSR

From the findings of the study, it was evident that there was yawning gap between expectations of sample respondents and performance of civil servants. A commonly observed perception is that civil services departed from the goals of constitution i.e. welfare of citizens. A concern expressed was the decline of ethics among civil servants. All the stakeholders expressed that there was need for reengineering civil services with divergent views on how to go about it.

Though there were divergent views on selection process, it was widely perceived that right candidates should be selected to civil service. The young respondents of the study were highly critical of the recent reform, that is, CSAT. They raised concerns about the same practice of the recruitment by UPSC. Ostensibly, UPSC seem to have failed to convince civil service aspirants about the need for reforms as their doubts regarding English language, bias against region and social sciences and humanities remain unanswered. This purportedly led to an agitation against CSAT in the North in India in mid-2014. There was consensus among the respondents that the work culture of civil servants matters a lot. A large number of respondents perceived that civil servants are becoming inefficient in delivering services. In contrast to the popular perception, research findings conclude that reservations would not affect quality of civil service. It was necessary to enhance the representation of lower castes in civil services as there is growing evidence that efficiency and reservation are not correlated, if one goes by efficiency principle of NPM.

From the research findings, it was found that training was inadequate. Surprisingly, it was perceived by the respondents that some trainers (faculty) were incompetent. This finding throws light upon the efficacy of the training being given at LBSNAA. Otherwise, one is unlikely to know about the training. There was felt need for updating the training to make civil service specialist in the twenty first century. Study shows that training was not taken seriously by civil servants. Therefore training has to be linked with promotion in career. Like in Ghana, there is a need for providing

incentives to civil servants if there is increase in their performance in the post-training period.

Respondents felt that current performance evaluation of civil servants does not factor in people's feedback. Therefore they have become increasingly unaccountable for their actions. It can be concluded from the study that performance evaluation should be evolved to take the feedback of beneficiaries of public service.

There was a fundamental change in the principle of neutrality as more civil servants were reported to have shown their allegiance to either one or the other political party. It was observed that the tussle between political executive and civil service led to disharmony among them. A way forward has in ensuing a definite period of say 2 or 3 years in a post preceded by a training module say work as a district collector.

It was evident from the study that civil servants were averse to adapt to change. As Caiden (1969) cites, resistance is concomitant of the process of reform. Since reform is a transformatory process, one cannot expect civil servants in India to accept the reforms in toto. Moreover, political executive does not have a vision in the implementation of CSR. It can be concluded that CSR was envisaged to mould civil servants to uphold the welfare goals enshrined in the constitution. These perspectives from the findings of the study will provide a policy feedback in implementation of CSR.

7.3 Recommendations

Selection process, reengineering, building capacity, designing performance, politicisation of civil services and leading reforms are the themes around which the sample respondents reacted. The following are some of the recommendations based on study.

- i) The contemplated reform of CSAT tilted balance in favour of a particular category of education, which might exclude other streams. Therefore, it is suggested to open or strength Equal Opportunities Cells in all universities to those students who are from other streams of education.
- ii) The redefinition of welfare domain in terms of Mahatma Gandhi National Employment Guarantee Scheme needs to be highlighted. The debates on

inclusion and exclusion need to figure prominently in training. Perhaps more provisions for individual accountability will have to be built in.

- iii) The domain of training has to be revisited with the help of studies by universities. Every fifth year or before every promotion some training may have to be arranged for civil servants.
- iv) The performance appraisal has to be redesigned for a fair assessment.
- v) The All India Services Act, 1951 may have to be revisited to ensure at least 2 or 3 year continuous stay of civil servants at one place to ensure that transfers are not used as punishment.

The study looked at policy on CSR and different perspectives on it. A longitudinal study on the implementation of CSR needs to be carried out to assess their impact on the performance of civil servants. Civil services consist of several services. Each service requires a different set of reforms. Therefore, there should be a study on each service and its functioning.

Bibliography

Books

Adamolekun, Ladipo 2007, *Africa: rehabilitating civil service institutions- main issues and implementation progress*, in Raadschelders, Jos C.N; Toonen, Theo A.J; and Van der Meer, Frits M. (eds.), *civil service in the 21st century*, Palgrave Macmillan, New York.

Agrawal, K. and Vittal, N. 2005, *I am sorry: Indian bureaucracy at crossroads*, Manas Publications, New Delhi.

Aiyar, Vaidyanatha RV, 2009, *Public policymaking in India*, Pearson, New Delhi.

Andrew Erridge 2007, *Contracting for public services*, in Tony Bovaird and Elke Löffler (ed.) *Public Management and Governance*, Routledge, London.

Arora, RK 2003, *Good governance and the desideratum of sustainable efficiency: the Indian experience*, in Sahni, Pradeep and Medury, Uma, *Governance for development: issues and strategies*, PHI Learning Pvt. Ltd, New Delhi.

Basu, Duraga Dasu 2013, *Introduction to the Constitution of India*, 21st ed, LexisNexis, Gurgaon, India.

Bekke, Hans and Meer, Frits van (ed.), 2000, *Civil service systems in West Europe*, Edward Elgar, UK.

Bell, Stephen and Hindmoor, Andrew (2009), *Rethinking governance: the centrality of the state in modern society*, Cambridge University Press, UK.

Bhattacharya, Mohit 2013, *New horizons of public administration*, Jawahar publishers, 7th edn, New Delhi.

Bhaumik, Dhruvajyoti, 1999. 'Administrative reforms in India: a critique', in Ramesh K. Arora (ed.), *Indian administration: perception and perspective*, Aalekh Publishers, Jaipur.

Bipan Chandra, Mukherjee, Mruda; Mukherjee, Adity; Panikkar, KN; and Mahajan, Sucheta 1989, *India's struggle for independence*, Penguin, New Delhi.

Bouckaert, Geert and Van Dooren, Wouter 2007, 'Performance measurement and management in public sector organisations', in Tony Bovaird & Elke Löffler (eds.) *Public Management and Governance*, , Routledge, London.

Bovaird, Tony and Löffler, Elke (eds.), 2007, *Public management and governance*, Routledge, London.

Caiden, Gerald 1969, *Administrative reform*, Penguin, London.

Caiden, Gerald 1991, *Administrative reforms comes of age*, Walter de Gruyter, New York.

Chaudhary, Kamesh 2007, 'Globalisation, governance reforms and development', in Kamesh Chaudhary (ed) *Globalisation, governance reforms and development in India*, Sage, New Delhi.

Das, S.K. 2013, *Civil services in India*, Oxford University Press, New Delhi.

Das, S.K. 2010, *Building a world class civil service for twenty-first century India*, Oxford University Press, New Delhi.

Das, SK 1998, *Civil service reform and structural adjustment*, Oxford University Press, Delhi.

Denhardt, Janet.V, and Denhardt Robert B 2007, *The New Public Service: serving, not steering*, ME Sharpe, New York.

Downs, Anthony 1966, *Inside bureaucracy*, Little Brown, Boston.

Dreze, Jean and Sen, Amartya 2013, *An uncertain glory: India and its contradictions*, Penguin, England.

Dwivedi, O. P, and Gow, James Iain 1999, *From bureaucracy to public management: the administrative culture of the Government of Canada*, Broadview Press, Peterborough, Canada.

Erridge, Andrew 2007, Contracting for public services, in Tony Bovaird and Elke Löffler (ed.) *Public management and governance*, Routledge, London, pp 90.

Farazmand, Ali (ed.), 2001, *Administrative reform in developing nations*, Prager, London.

Fry, Geoffrey K. 1993, *Reforming civil service*, Edinburgh University Press, Edinburgh.

Gautam, DN 1993, *The Indian police: a study of fundamentals*, Mittal, New Delhi.

Hidaeki, Tanaka 2009, *Civil service system and governance*, The Tokyo Foundation, Tokyo.

Hindmoor, Andrew 2005, Public choice, in *The state: theories and issues*, eds, Colin Hay, Michael Lister and David Marsh, Palgrave Macmillan, New York.

International Records Management Trust, 2008, *Fostering trust and transparency in governance: Ghana case study*, International Records Management Trust, London.

Jackson, Peter, 2007, 'The size and scope of the public sector', in *Public management and governance*, Tony Bovaird and Elke Löffler (eds.), Routledge, London.

Jackson, PM 1993, 'Public sector bureaucracy: the neoclassical perspective' in Garston, Neil (ed.), *Bureaucracy: three paradigms*, Kluwer Academic Publishers, Boston.

Khator, Renu 1997, 'Professionalism in Bureaucracy some comparisons based on the Indian case', in (ed) Farazmand, Ali, *Modern systems of government*, Sage, Thousand Oaks.

Krishna, Tummala 2001, 'Administrative reforms in India', in Farazmand, Ali (ed), 2001, *Administrative reform in developing nations*, Praeger, London.

Krishna, Tummala 1994, *Public administration in India*, Allied Publishers, New Delhi.

Krishnan, KP and Somanathan, TV 2005, 'Civil service: an institutional perspective', in Mehta, Pratap Bhanu (ed), *Public institutions in India: performance and design*, Oxford University Press, New Delhi.

Kumar, G.Prasanna and Misra, Suresh, 2000, 'CSR: towards a citizen friendly administration', in Mehta, Vinod (ed), *Reforming administration in India*, Har-Anand, New Delhi.

Lakshmana C and Satyanarayan Rao AV 2007, 'Max Weber', in *Administrative Thinkers*, ed Ravindra Prasad et al, Sterling Publishers, New Delhi.

Lane, Jan-Erik 2005, *Public administration and public management: the principal-agent perspective*, Routledge, London.

Maheswari, SK 2005, *Public administration in India: the higher civil service*, Oxford University, New Delhi.

Marsh, David; Smith, Nicola, Smith, J, & Hothi, Nicola, 2006, 'Globalisation and the state', in Colin Hay (eds.), *The state: theories and issues*, Palgrave Macmillan, New York.

Matheson, Alex and Kwon, Hae-Sang 2007, 'Public management in flux: trends and differences across OECD countries', in Tony Bovaird & Elke Löffler (eds.), *Public Management and Governance*, Routledge, London.

Mathur, Kuldeep 2005, 'Strengthening bureaucracy: state and development in India' in Bidyut Chakrabarty & Mohit Bhattacharya (ed.), *Public administration: a reader*, Oxford University Press, Delhi. pp 363.

-----, 2003, 'Strengthening bureaucracy : state and development in India' in Bidyut Chakrabarty (ed) *et. al*, *Public administration: a reader*, Oxford University Press, New Delhi, pp 363.

-----, 2003, 'Privatisation as reform: liberalisation and public sector enterprises in India', in Gurupreet Mahajan (ed.), *The public and the private: issues of democratic citizenship*, Sage, New Delhi.

Mathur, Kuldeep, 2008, *From government to governance: a brief survey of the Indian experience*, National Book Trust, New Delhi.

Mathur, Kuldeep and Bojorkman, James Warner 2009, *Policy making in India: who speaks? who listens?*, National Book Trust, New Delhi.

Meer, Fits M. Van der; Trui Steen and Wille Anchrit, 2007, *West European Civil Service Systems: A Comparative Analysis*, in Raadschelders, Jos C.N; Toonen, Theo A.J; and Van der Meer (eds), *civil service in the 21st century*, Palgrave Macmillan, New York.

Mehta, Vinod (ed), 2000, *Reforming administration in India*, Har-Anand, New Delhi.

Metcalf, Barbara D, and Metcalfe, Thomas. R, 2006, *A concise history of modern India*, 2nd ed, Cambridge University Press, Cambridge.

Mueller, Dennis 1979, *Public choice*, Cambridge, London.

-----1989, *Public choice II*, Cambridge, London.

Niven, Paul, R 2006, *Balanced scorecard step-by-step: maximizing performance and maintaining results*, 2nd edn, John Wiley, New Jersey.

Osborne, David and Gaebler, Ted 1992, *Reinventing government: how the entrepreneurial spirit is transforming the public sector*, Prentice Hall of India, New Delhi.

Palambara, Joseph La (ed), 1963, *Bureaucracy and political development*, Princeton, New Jersey.

Peters, B.G and Pierre, J (ed), 2004, *The politicisation of civil service in comparative perspective: a quest for control*, Routledge, London.

----- 2006, 'Governance, government and state', in *The state: theories and the issues*, ed Colin Hay, Palgrave Macmillan, New York.

Peters, Guy 1995, *Politics of bureaucracy*, Longman, New York.

Peters, Guy and Wright, Vincent 1998, 'Public policy and administration: old and new', in *A Handbook of Political Science*, (eds) Robert Goodin & Hans-Dieter Klingemeann, Oxford University Press, New York, pp 628-641.

Peterson, Stephen B, 2001, *Financial reform in a devolved African country: lessons from Ethiopia*, Public Administration and Development, Volume 21, Issue 2, pages 131-148, May.

Pollitt, Christopher and Bouckaert, Geert 2004, *Public management reform: a comparative analysis*, Oxford University Press, New York.

Quah, Jon ST, 2010, *Public administration: Singapore style*, Emerald, UK.

Raadschelders, Jos C.N; Toonen, Theo A.J; and Van der Meer, Frits M. (eds), 2007, *civil service in the 21st century*, Palgrave Macmillan, New York.

-----, 2007, 'Civil service systems and the challenges of the 21st century' in *Civil service in the 21st century*, eds Jos CN Raadschelders , Theo A.J. Toonen, Frits M. Van der Meer (Eds), 2007, Palgrave Macmillan, New York.

Rangarajan, LN (ed) 1992, *Kautilya: the Arthasastra*, Penguin, New Delhi.

Rao, Sreedhar, K. 2002, *Whither governance: reflection of an Assam Civilian*, South Asian Foundation, New Delhi.

Singh, Vikram 2012, *Public administration dictionary*, 2nd ed, Tata McGraw-Hill, New Delhi.

Sreedhar Rao, K. 2002, *Whither governance: reflections of an Assam civilian*, South Asian Foundation, New Delhi.

Stiglitz, J.2002, *Globalisation and its discontents*, Penguin, London.

Tesfaye Debela, and Atkilt Hagos 2011, *The design and implementation of business process reengineering in the Ethiopian public sector: an assessment of four organisations*, OSSREA, Addis Ababa, Ethiopia.

Vatsava, AL 1966, *The Sultanate of Delhi*, 5th ed, The educational Press, Agra.

Weber, Max 1947, *The theory of social and economic organisation*, trans. A M Henderson and Talcott Parsons, The Free Press, New York.

Articles

Arora, Dolly 2000, 'Public management reforms', *Administrative Change*, Vol.XXVII, No.2 and Vol.XXVIII, No.1, Januray-December.

Arthur, Peter, 2006, *The state, private sector and development, and Ghana's "golden age of business"*, African Studies Review, Vol.49, No.1.

Ayee, Joseph 2001, *CSR in Ghana: a case study of contemporary reform problems in Africa*, African Journal of Political Science, Vo. 6, No 1.

Barun, V and Clarke, V 2006, Using thematic analysis in psychology', *Qualitative Research in Psychology*, Vol.3, No.2.

Bhatt and Hyung- Ki Kim 2000, *Japanese civil service system: relevance for developing countries*, Economic and Political Weekly, Vol. 35, No: 23, p 1942.

Condrey, Stephen E and Battaglio, Paul 2007, *A return to Spoils? revisiting radical civil service reform in the United States : theory to practice*, Public Administration Review, May-June.

Coyne, Imelda T, 1997, 'Sampling in qualitative research. purposive and theoretical sampling; merging or clear boundaries', *Journal of Advanced Nursing*, No.26.

Dubhashi, PR 1985, 'Administrative reforms: the current context', *Administrative Change*, Vol. XII, No.2, January-June.

Farazmand, Ali 1999, 'Globalisation and public administration', *Public Administration Review*, Vol. 59, No. 6, pp.509-522.

Haruna, Peter Fuseini 2001, 'Reflective public administrative reform: building relationships, building gaps in Ghana', *African Studies Review*, Vol.144, No.1.

Hood, Christopher 1995, 'The NPM in the 1980s: variations on a theme', *Accounting, Organisation and Society*, Vol. 20, No: 2/3.

Horton, Sylvia 2000, 'Competency management in the British civil service', *International Journal of Public Sector Management*, Vol.13, No.4.

Hota, PC 2007, 'Administrative reforms in the era of liberalisation and globalisation: need for change of mindset of civil servants', *Indian Journal of Public Administration*, Vol. LIII, No. 3, July-September.

Krishna, B 2006, *Sardar Vallabhai patel: India's iron man*, Rupa, New Delhi.

Krueger, Anne O, 1974, '*The political economy of the rent-seeking society*', The American Economic Review, June.

Lasswell, Harold 1936, *Politics: who gets what, when and how*, Tata McGraw-Hill.

Marshall, Bryan; Cardon, Peter, Poddar, Amit and Fontenot, Refnee 2013, 'Does sample size matter in qualitative research? a review of qualitative interview in IS research', *Journal of Computer Information*.

Marshall, Martin N 1996, 'Sampling for qualitative research', *Family Practice*, Vol.13, No.6.

Mengistu' Berhanu and Voge, Elizabeth, 2006, *Bureaucratic neutrality among competing bureaucratic values in an ethnic federalism: the case of Ethiopia*, *Public Administration Review*, Volume 66, Issue 2, pp 205–216, March.

Moe, Ronald C, 1994, The "Reinventing Government" Exercise: Misinterpreting the Problem, Misjudging the Consequences, *Public Administration Review*, Vol. 54, No. 2 (Mar. - Apr.).

Myrdal, Gunnar 1968, *Asian Drama: an inquiry into the poverty of nations*, Vol.I, Allen Lane Penguin, London.

Ohemeng, FLK 2009, 'Constraints in the implementation of performance management systems in developing countries: the Ghanaian case', *International Journal of Cross Cultural Management*, vol. 9, no. 1.

----- 2011, 'Institutionalizing the performance management systems in public organisations in Ghana: chasing a mirage?' *Public Performance and Management Review*, vol. 34, no.4.

-----, 2010, 'The new charter system in Ghana: the "holy grail" of public service delivery?' *International Review of Administrative Sciences*, vol.76, no.1.

Olowu, Bamidele 1999, 'Redesigning African civil service reform', *The Journal of African Studies*, vol. 37, no.11.

Paranjpe, Nalini 1996, 'Bureaucracy, liberalisation policy and social sector scenario', *Indian Journal of Public Administration*, July-Sept 1996, Vol. XLII. No.3.

Pradhan, Gireesh 2001, 'Civil service reform in independent India: an overview', *Indian Journal of Public Administration*, Vol. XLVIII, No. 4, October-December.

Rambrahmam,I and Mukteswararao, 2007, Civil service reforms: stockholders perspective, *Indian Journal of Public Administration*, July-Sept 1996, Vol. LIII. No.3.

Ranga Rao, S. P and Ali, Sofi 1990, 'Indian administrative culture: emerging trends', *Indian Journal of Public Administration*, Vol. 36, No.3.

Satish, M 2004, *Civil Service Reforms*, Centre for Good Governance, Hyderabad.

Seminar, 168, August, 1973. Special issue on *A committed civil service*.

Sharma, TR 1995, 'Social bases of administrative culture in India', *Indian Journal of Public Administration*, Vol. XLI, No. 4 (October-December).

Shaw, Carl 1992, 'Hegel's theory of modern bureaucracy', *The American Political Science Review*, Vol. 86, No. 2, June.

Singh , Jaspel 2000, Effectiveness of bureaucracy', *Indian Journal of Public Administration*, Vol.XLVI, No.2.

Singh, Ravindra and Singh, Sewa 2007, 'Grievance redressal machinery in UK', *Indian Journal of Public Administration*, Vol. LIII, No. 2, April-June.

Singh, SS 1998 , 'Liberalisation and public service: agenda for reforms', *Indian Journal of Public Administration*, Vol. XLIV, No. 4.

Sundaram, PSA 1997, 'Recent initiatives for administrative reform in India', *Indian Journal of Public Administration*, Vol. XLIII, No.3.

Walters, Jonathan 2002, *Life after CSR: the Texas, Georgia and Florida experiences*, Governing Magazine.

Wilson, Woodrow 1887, 'The study of administration', *Political science quarterly*, Vol.2, No.2 (June).

Reports

Administrative Reforms Commission (ARC), (1970), *A brief survey: the ARC and its work*, Manager of Publications, Government of India, New Delhi.

African Development Bank and African Development Fund, 2009, *Federal Democratic Republic of Ethiopia: country profile*, Governance, Economic and Financial Reforms Department.

Aggarwal, U 1984, *Report of Study Group on Revision of the Syllabus for the Training Courses*, Lal Bahadur Shastri National Academy of Administration, Mussorie.

Appleby, Paul H. 1953, *Public administration in India: report of a survey*, Government of India, Cabinet Secretariat, New Delhi.

----- 1956, *Re-examination of India's administrative system with special reference to administration of government's industrial and commercial enterprises*, Government of India, New Delhi.

Department of Personnel and Training, 2003, *Report of the committee to review in – service training of the IAS officers*, (Yugandhar, Chairman), Committee to review In-Service Training, New Delhi.

Government of Ghana, Ministry of Public Sector Reforms, 2006, *Work Programme to coordinate the implementation of public sector reforms*, Government of Ghana, Accra

Government of India, 1947, *Report of secretary reorganisation committee*, Government of India Press, New Delhi.

-----, 1949, *Report of the Economic Committee on the Ministry of Industry and Supply*, Government of India, New Delhi.

-----, 1949, *Report on the reorganisation of the machinery of the government and Supply*, Government of India, New Delhi.

-----, 1951, *Report on public administration*, Planning Commission, New Delhi.

-----, 1962, *Report on problems of district administration*, Vol. II, Planning Commission, New Delhi.

-----, 1963, *Report of the Committee on prevention of corruption*, Ministry of Home Affairs, New Delhi.

Government of India (a), 1969, *Administrative Reforms Commission Report on personnel administration*, Planning Commission, New Delhi.

----- (b), 1969, *Administrative Reforms Commission Report on state administration*, Planning Commission, New Delhi.

-----, 1976, *Report of the committee on recruitment policy and selection methods*, Union Public Service Commission, New Delhi.

-----, 1989, *Report of the committee to review the scheme of civil services examination*, Union Public Service Commission, New Delhi.

-----, 1997, *Report of Fifth Central Pay Commission*, Vol. II, All India Railwaymen's Federation, New Delhi.

-----, 2001, *Report of civil service examination review committee*, Union Public Service Commission, New Delhi.

-----, 2003, *Committee to review the system of performance appraisal, promotion, empanelment and placement for the "AIS" and other Group 'A' services*, Union Public Service Commission, New Delhi.

-----, 2004, *National common minimum program of Government of India*, May 2004.

-----, 2008, *Report of the sixth pay commission*, Government of India, New Delhi.

-----, 2010, *Civil Services Survey- a report*, Government of India, New Delhi.

-----, 2012, *National Training Policy, 2012*, Ministry of Personnel, Public Grievances and Training, New Delhi.

Hanumanthaiya,K 1970, *The Administrative Reforms Commission and its work: a brief survey*, Government of India, New Delhi.

Second Administrative Reforms Commission, 2006 a, *'Right to Information: master key to good governance'*, Government of India, New Delhi.

-----, 2006 b, *'Unlocking Human Capital: Entitlements and Governance- A Case Study'*, Government of India, New Delhi.

-----, 2006 c, *'Public order'*, Government of India, New Delhi.

-----, 2007 a, *'Ethics in Governance'*, Government of India, New Delhi.

Second Administrative Reforms Commission, 2007 b, '*Crisis management*', Government of India, New Delhi.

-----, 2007 c, '*Local governance: an inspiring journey into the future*', Government of India, New Delhi.

-----, 2008 a, '*Capacity building for conflict resolution: friction to fusion*', Government of India, New Delhi.

-----, 2008 b, '*Refurbishing personnel administration: scaling new heights*', Government of India, New Delhi.

-----, 2009, '*Organisational structure of Government of India*', Government of India, New Delhi.

Srivatsava, D K; Rao, Bhujanga; Chakraborty, Pinaki and Rangamannar, TS 2003, '*Budgetary subsidies in India: subsidising social and economic services*', National Institute of Public Finance and Policy, New Delhi.

World Bank, 1989, '*Sub-Saharan Africa: from crisis to sustainable growth*', World Bank, Washington DC.

-----, 1992 '*Governance and development*', World Bank, Washington DC.

-----, 1997, '*World Development Report 1997, The state in a changing world*', World Bank, Washington D.C.

-----, 2003, '*World Development Report 2004: Making services work for poor people*', World Bank, Washington.D.C.

Conference Proceedings /Policy Documents

Abigail Barr, Magnus Lindelow and Pieter Serneels 2004, '*The public servant's dilemma*', World Bank Policy Research Paper 3187, World Bank: Washington DC.

Chaudhry, Shahid Amjad, Gary James Reid and Waleed Haider Malik (eds), 2005, '*Civil service reform in Latin America and the Caribbean*', World Bank, Technical Paper No: 259, Washington DC.

Cooper-Enchia, Victoria J. 2008, '*Pay Reform in Ghana*', 30th African Association for Public Administration and Management (AAPAM) Annual Roundtable Conference, Accra, Ghana, 6 – 10 October 2008.

Draft Public Services Bill, 2006, Government of India, New Delhi.

Gebriel A, 2002, '*Building civil service capacity through tertiary level education: the Ethiopian experience*'. Paper presented to the Development Management Institute, Addis Ababa.

Mathur, Kuldeep 2000, '*Administrative reform, liberalisation and state in India: some issues for discussion*', in '*Reforming administration in India*', Vinod Mehta (ed), Har-

Anand, New Delhi, p. 118-119. Proceedings of the Symposium on Administrative Reforms, New Delhi, 3 January, 2000, organized by Indian Council of Social Science Research.

Ministry of Finance and Economic Development (2010). *Growth and Transformation Plan (2010/11-2014/15)*, Federal Democratic Republic of Ethiopia, Addis Ababa.

Second Administrative Reforms Commission and Indian Institute of Public Administration, 2007, *Workshop Report on CSR*, Second Administrative Reforms Commission and Indian Institute of Public Administration, Government of India, New Delhi.

Shields, William P. and Gadsby, William J, n.d, *Building on strengths: lessons from comparative public administration reforms: country reform summaries*.

Shihata F.I, 2005, 'Administrative reforms in developing countries: some general observations', in *Civil service reform in Latin America and the Caribbean*, Chaudhry, Shahid Amjad, Gary James Reid and Waleed Haider Malik (eds)World Bank, Technical Paper No: 259, Washington DC.

Singh, Sujata 2007, *CSR: issues before the second administrative reforms*, in proceedings of the fifty-third members' Annual Conference, Indian Institute of Public Administration, New Delhi.

Tegegne Teka, and Alemayehu Assefa, 1996, *The Ethiopian civil servant and policy management*, Development Management Policy Forum, Working Paper No:2, Addis Ababa, Ethiopia.

The Millennium Development Goal paper on Civil Service Reform (n.d).

The UK Civil Service Code, 2002, City and County of Honolulu, Hawaii.

United Nations Economic Commission for Africa, 2003, *Reforms of public sector management*, UNECA, Washington. D.C.

Watson, 2005. *The Contribution of civil service to Good Governance in Ethiopia: Challenges and Prospects*, A Paper Presented at the Regional Conference on promoting good Governance and Wider Civil society Participation in Eastern and Southern Africa. Addis Ababa, Ethiopia.

News Papers

Reddy, Ulchala Hariprasada 2014, *Gaddi thinevarikiki guddi rakshana*, Eanadu (e-Paper), 1 April, 2014, p.4.

Sharma, Aman, *How UPA failed its retired bureaucrats*, Economic Times, Jaipur, April 1, 2014, p.4.

Times of India, 2009, *Indian bureaucracy ranked worst in Asia: survey*.

The Hindu, May 2013, *PM's 'empty' glass is now full with corruption, says Modi.*

Web Sources

Second Administrative Reforms Commission (n.d), *Issues for civil services reforms: what needs to be achieved*, Accessed 30 July, 2010, < <http://arc.gov.in/q-csr>>.

Transparency International, 2013, www.transparencyinternational.org, Accessed on 2 July, 2013.

APPENDICES

Appendix: 1

Interview Guide for IAS trainees

1. How do feel after becoming an IAS officer?
2. What are your observations about the current system of administration in India?
3. What reforms need to be introduced in the civil service?
4. Do you think introducing the Civil Service Aptitude Test (CSAT) is useful?
5. Suppose a candidate clears the prelims exams once in the first round, but not the mains examination. Should that score be carried to the second round wherein the candidate can appear for the mains examination?
6. Was it good idea that two options in mains examinations done away with?
7. Do you think that the interview process is fair?
8. Should reservations be there in CS Examinations or be done away with?
9. Is the current training adequate and useful to you?
10. How do you want to contribute it to India's governance?

Appendix: 2

Interview Guide for Civil Servants

- 1) What are civil service reforms according to you?

Policymaking and Implementation

- 2) It is perceived that civil servants failed to deliver public services. What measures do you suggest to improve the efficiency of civil servants?
- 3) Policymaking is done in combination with the civil servants. Politicians take credit if the policies are successful. In case the policies fail, then the blame will be on the civil servants. How would you respond to this?

Recruitment

- 4) What kind of changes need to be introduced in the recruitment of civil servants?
- 5) It is argued that reservation in civil services will impact the quality of civil service. Should reservations in civil services be continued or dismantled?

Training

- 6) Is the current training given to the civil servants sufficient to equip themselves with the skills required to deliver public services?
- 7) It is said that the civil servants do not show interest in undergoing training after reaching a particular level, say commissioner. What is your view?

Performance Evaluation

- 8) How can the performance of civil servants be evaluated?

Political Interference

- 9) What measures should be taken to reduce the incidence of political interference in the functioning of civil servants?
- 10) After Narendra Modi came to power, he assured civil servants of freedom in their work. Don't you see this as overriding the powers of concerned head of the department in a ministry?

Obstacles to reforms

- 11) Do you think civil service reforms are being implemented as envisaged by the government? What are the obstacles to reforms process?

Appendix: 3

Interview Guide for Former UPSC Member

1. We find two kinds of bureaucracy in the public administration literature. One is a Weberian model of steel framed bureaucracy; and the other one is bureaucracy that follows New Public Management. What is the alternative view of bureaucracy?
2. What is the context of the civil service reforms? Can you explain it from political economy perspective?
3. Implementation of CSR across the globe has been perceived as failure. The issues of nepotism and corruption are on the rise. What is your stand on this?
4. As a former member of the civil services recruiting agency, what are your views on the quality of civil service performance?
5. Do you think introducing the Civil Service Aptitude Test (CSAT) has brought changes in the Indian civil servants?
6. If the candidate clears CSAT once, what is the need for him/her to take CSAT again in the second attempt? Can't it be made one time business? What is your view?
7. It is construed that Reservation Policy had degenerated the quality of civil service. Do you agree with the idea of doing away with reservations in civil service?
8. Why are reforms not being implemented as expected?

Appendix: 4
Interview Guide for Politician (Member of Second Administrative Reforms Commission)

1. In your career, there has been from a shift from a bureaucracy to civil society movement to a political party. Do you see any change in civil service during all these phases of life your life?
2. What are civil service reforms according to you? What kind of reforms is required among the civil servants?
3. What was your experience as a former member of second Administrative Reforms Commission (ARC)? Do you think there has been impact of 15 reports on civil service reforms?
4. Do find any problems with in civil service recruitment and training?
5. How can the civil servants be made accountable? How to keep the image of bureaucracy high among the public?
6. What are the causes for slower implementation of reforms?
7. What steps can be taken by political parties to implement Civil Service Reforms?

Appendix: 5

Interview Guide for Members of Civil Society Organization

1. Civil society organizations champion the rights of citizens in ensuring the service delivery by bureaucracy. What is MKSS' stand on bureaucracy?
2. Consultation with the Civil Society Organizations (CSOs) has become part of the policy making in the recent times. Have you observed any changes in the policymaking during your association with National Advisory Council?
3. It is increasingly perceived that civil servants are not able to deliver public services. What measures do you suggest to improve the efficiency of civil servants?
4. What are civil service reforms, according to you?

Policy/ Program Implementation

5. Policymaking is done in combination with the civil servants. Politicians take credit if the policies are successful. In case the policies fail, then the blame will be on the civil servants. How would you respond to this?
6. It is reported that bureaucratic hurdles hamper the implementation of the social policies, such as Right to Education, MNREGA and National Rural Health Mission. What role can Civil Society Organizations play in ensuring the effective implementation of these policies?

Recruitment

7. What kind of changes need to be introduced in the recruitment of the civil servants?
8. It is argued that reservations in civil services lead to inefficiency among the civil servants. Should reservations in civil services be continued or dismantled?

Training

9. Do you find any problems with the training given to the civil servants in India? What additional inputs do you suggest to make civil servants sensitive to the needs of the poor?

Accountability

10. What measures should be taken to reduce the incidence of political interference in the functioning of civil servants?

Performance Evaluation

11. How can the performance of civil servants be evaluated?

Obstacles to Reforms

12. What are major obstacles to implement civil service reforms in India? Provide your inputs.

Appendix: 6

Interview Guide for Policy Expert

1. What kind of reforms is required in the civil service reforms?
2. It is perceived that civil servants failed to deliver public services. What measures do you suggest to improve the efficiency of civil servants?
3. What are your views on recruitment? Is it up to the mark?
4. It is argued that reservation in civil services will impact the quality of civil service. Should reservations in civil services be continued or dismantled?
5. How can the performance of civil servants be evaluated?
6. What measures should be taken to reduce the incidence of political interference in the functioning of civil servants?
7. After Modi came to power, he assured civil servants of freedom in their work. Don't you see this as overriding the powers of concerned head of the department in a ministry?
8. Comment on the decline of ethics among the civil servants in India. Any suggestion?
9. What are the obstacles to reforms process?

Appendix: 7

Interview with Civil Service Aspirants

1. Why do you want to become a civil servant (motivation)?
2. Do you think introducing the CSAT serves the purpose of recruiting the competent candidates to civil service?
 - a) Comment on the current controversy over giving more weight to English in CSAT?
 - b) It is argued that current CSAT pattern benefits those coming from the management background and urban areas. Offer your inputs in this regard.
3. What is your observation with regard to introducing one optional in place of two in the Mains exam?
4. Do you think that the interview process held by the UPSC is fair and unbiased?
 - a) It is required to introduce Group Discussion in the interview?
5. It is argued that reservations in civil services lead to inefficiency among the civil servants. Should reservations in civil services be continued or done away with it?
Comment
6. Allotment of services to civil servants should be done after the completion of common training rather than deciding at the time of recruitment. What is your view?
7. Should the minimum eligibility to appear for civil services exam should be upgraded to Post-Graduate from Graduate? Will it serve the purpose of recruiting the well educated aspirants to civil services?
8. If the candidate clears CSAT once, what is the need for him/her to take CSAT again in the second attempt? Can't it be made one time event? What is your view?
9. What changes are required in the civil services in India?

Age:

Sex:

No of attempts to Civil Service Examination:

Social Category:

Appendix: 8
Photos during Data Collection

7.1 Researcher Interviewing the Retired Indian Foreign Civil Servant



7.2 *Interviewing Public Policy Expert on Civil Service Reforms*



7.3 Participating in the Meeting of School for Democracy (Loktantrashala) at Bhim, Bhilwara District, Rajasthan



7.4 Interviewing the Civil Society Activist, Nikhil Dey



7.5 Researcher at Majdoor Kissan Shakti Sanghatan (MKSS), Devdungri, Rajasthan



7.6 Participating in the preparatory meeting for Gram Mela on May day (2014)



7.7 Huge Gathering of people at Bhim for Gram Mela at Bhim, Rajasthan, 01 May, 2014



7.8 People sloganeering for their rights to livelihood and employment at Gram Mela



Appendix: 8
List of Services

- (i) Indian Administrative Service.
- (ii) Indian Foreign Service.
- (iii) Indian Police Service.
- (iv) Indian P & T Accounts & Finance Service, Group 'A'.
- (v) Indian Audit and Accounts Service, Group 'A'.
- (vi) Indian Revenue Service (Customs and Central Excise) Group 'A'
- (vii) Indian Defence Accounts Service, Group 'A'.
- (viii) Indian Revenue Service, Group 'A'.
- (ix) Indian Ordnance Factories Service, Group 'A' (Assistant Works Manager, Non-technical)
- (x) Indian Postal Service, Group 'A'.
- (xi) Indian Civil Accounts Service, Group 'A'.
- (xii) Indian Railway Traffic Service, Group 'A'.
- (xiii) Indian Railway Accounts Service, Group 'A'.
- (xiv) Indian Railway Personnel Service, Group 'A'.
- (xv) Post of Assistant Security Officer, Group 'A' in Railway Protection Force.
- (xvi) Indian Defence Estates Service, Group 'A'.
- (xvii) Indian Information Service (Junior Grade), Group 'A'.
- (xviii) Indian Corporate Law Service, Group "A"
- (xix) Armed Forces Headquarters Civil Service, Group 'B' (Section Officer's Grade)
- (xx) Delhi, Andaman & Nicobar Islands, Lakshadweep, Daman & Diu and Dadra & Nagar Haveli Civil Service, Group 'B'.
- (xxi) Delhi, Andaman & Nicobar Islands, Lakshadweep, Daman & Diu and Dadra & Nagar Haveli Police Service, Group 'B'.
- (xxii) Pondicherry Civil Service, Group 'B'
- (xxiii) Pondicherry Police Service, Group 'B'

Appendix: 9 Respondents' Characteristics

Sam ple No	Name*	Age	Gender	Category	Duration (minutes)
1	Laxman	30	Male	IAS Trainee	35
2	Vikrant	29	Male	IAS Trainee	30
3	Sudhakar	27	Male	IAS Trainee	25
4	Subba Rao	50	Male	IAS	25
5	Samson	61	Male	IAS	50
6	Nikhil Chakraborty	31	Male	IAS	40
7	Aparna	29	Female	IAS	30
8	Ramanamurthy	35	Male	IAS	20
9	Sourabh	67	Male	Retired IAS	20
10	Chakradhar	74	Male	Retired IAS	45
11	Shankar	76	Male	Retired IAS	55
12	Gurucharan	32	Male	IPS	50
13	Sadanand	29	Male	IPS	45
14	Vikas	70	Male	Retired IFS	90
15	Kishore Babu	73	Male	Retired IFS	30
16	Bhubnesh	76	Male	Retired IFS	50
17	Susmita	31	Female	IFS	25
18	Abhinav	33	Male	IRTS	40
19	Surender	27	Male	CSA	35
20	Mohammad Hussain	27	Male	CSA	50
21	Harmand Khasria	24	Male	CSA	25
22	Ajitesh Gupta	28	Male	CSA	40
23	Arpit Chadda	31	Male	CSA	35
24	Anand	66	Male	Member of UPSC	55
25	Ajay Siswal	59	Male	Second ARC Member	25
26	Viswajit Dutta	52	Male	Civil Society Organization Member	50
27	Rajat Kumar	76	Male	Policy Expert	30

Note. IAS = Indian Administrative Service, IFS = Indian Foreign Service, IPS = Indian Police Service, IRTS = Indian Railways Traffic Service, CSA = Civil Service Aspirant

*All names are pseudonyms

Appendix: 10

Prime Minister's Awards for Excellence in Public Administration for the year 2005-06 presented on 21st April, 2007

1. Shri Rajeev Chawla, IAS – for the initiative “Bhoomi – Online delivery of land records in Karnataka”.
2. Shri R.S. Pandey, IAS – for the initiative “Programme of Communitization of Public Institutions and Services in Nagaland”.

Prime Minister's Awards for Excellence in Public Administration for the year 2006-07 presented on 21st April, 2008

1.	Initiative- Name of the Awardee:	Trichy Community Policing Shri J. K. Tripathy, IPS Inspector General of Police Economic Offences Wing Government of Tamil Nadu
2.	Initiative- Name of the Awardee:	Improving Maternal and Child Survival and Health (Tamil Nadu) Ms. Sheela Rani Chunkath, IAS Chairperson Tamil Nadu Industrial Investment Corporation Ltd.
3.	Initiative- Name of the Awardee:	Changing Face of Thane & Nagpur Cities (Maharashtra) Dr. T. Chandra Shekar, IAS Vice President & CEO Maharashtra Housing & Area Development Authority Mumbai
4.	Initiative- Name of the Team Members :	Lokvani-an effort to empower the Citizen (Uttar Pradesh) (i) Shri Amod Kumar, IAS (ii) Ms. Zohra Chaterjee, IAS (iii) Shri S B Singh

		(iv) Shri Uma Shankar Singh (v) Shri Devendra Pande (vi) Shri A P Singh
5.	Initiative- Name of the Team Members:	Information Technology Audit Initiative (i) Shri Gautam Guha IA&AS (ii) Shri L S Singh, IA&AS (iii) Shri Rajesh Goel, IA&AS (iv) Shri Neelesh Kumar Sah IA&AS (v) Dr. Ashutosh Sharma IA&AS
6.	Initiative- Name of the Team Members:	Effective Management of Protected Areas – Uttarakhand (i) Ms. Jyotsna Sitling, IFS (ii) Shri A. K. Banerjee, IFS
7.	Initiative- Name of the Team Members:	Unreserved Ticketing System – Ministry of Railways 1. Shri Vikram Chopra, IRTS 2. Dr. Rajesh Narang 3. Shri T. Venkatasubramanian IRSME 4. Shri R. Chandrashekar 5. Shri Raman Bansal 6. Ms. Monica Malhotra 7. Shri Alok Chaturvedi IRTS

		8. Shri T. Kiran Kumar 9. Shri Kaustav Mandal 10. Shri Debashish Ghosh 11. Shri G. J. Jerrie Auric Singh 12. Shri Kapil Bhagat 13. Shri Projinsh Biswas 14. Shri Dileep Mishra 15. Shri Sandeep Kumar Vats 16. Shri Ashish Arora 17. Shri Gaurav D. Johari 18. Shri Nitin Goyal 19. Shri Pankaj Kumar 20. Shri Ashish Vishwakarma 21. Shri Gaurav Jain 22. Shri Balu Lal Dhaker 23. Shri Ritesh Lal 24. Shri Prem Kumar 25. Shri Mahender J Dubey 26. Shri Mohd. Shahid 27. Shri Anjani Kumar Malik 28. Shri Darshan
8.	Initiative- Name of the Team Members:	Rajarshi Shahu Sarvangin Karyakram, Zilla Parishad Kolhapur, Maharashtra (i) Shri Deshmukh Prabhakar- Krishnaji, IAS (ii) Shri Mane Mahavir Damodar

9.	Initiative- Name of the Team Members:	Radical Improvement in Delhi Government School System Government of NCT of Delhi (i) Sh. Rajendra Kumar, IAS (ii) Sh. Vijay Kumar, IAS (iii) Smt. Gitanjali G Kundra, IAS (iv) Sh. Ashok Kumar
10.	Initiative- Name of the Team Members:	Extraordinary Performance in Emergent Situation of Earthquake in the State of J&K (i) Shri B. B. Vyas, IAS (ii) Shri Basharat Ahmad Dhar, IAS (iii) Shri Bashir Ahmad Rumiya, IAS (iv) Shri Abdul Majid Khanday KAS (v) Shri Jai Pal Singh, KAS (vi) Shri Syed Sharief-ud-din KAS (vii) Shri Mohammad Ramzan Thakur, KAS
11.	Initiative-	Water & Sanitation Management Organisation (WASMO) – “Innovative Participatory Drinking Water Delivery Approach in Rural Areas of Gujarat” – Government of Gujarat

12.	Initiative-	State Poverty Eradication Mission, Kudumbashree – ‘Asraya – Destitute Identification, Rehabilitation and Monitoring Project’ - Government of Kerala
13.	Initiative-	Electronically Deliverable Services (e-Seva) – Government of Andhra Pradesh
14.	Initiative-	Orissa Primary Education Programme Authority (OPEPA) – “Child Tracking System in Orissa”- Government of Orissa

**Prime Minister's Awards for Excellence in
Public Administration for the year 2007-08
presented on 21st April, 2009**

1.	Initiative- Name of the Awardee:	Financial Sustainability of Bangalore Metropolitan Transport Corporation, Karnataka. Shri Upendra Tripathy, IAS then Managing Director Bangalore metropolitan Transport Corporation, Government of Karnataka
2.	Initiative- Name of the Awardee:	Activity Based Learning (ABL) Methodology for Primary Education, Tamil Nadu Shri M. P. Vijaya Kumar, IAS then Commissioner of Chennai Municipal Corporation, Government of Tamil Nadu
3.	Initiative- Name of the Awardee:	Evacuation of Indian Nationals from Beirut during the war Mrs. Nengcha Lhouvum, IFS Ambassador of India in Lebanon
4.	Initiative- Name of the Awardee:	Safe Motherhood and Child Survival Programme Dr. Amarjit Singh, IAS Secretary, Health & Family Welfare Department, Government of Gujarat

5.	Initiative- Name of the Team Members:	SCORE: e-Registration in Bihar 1. Shri Anil Kumar, IAS IG Registration 2. Shri Dilip Kumar, AIG Registration 3. Shri Birendra Kumar Singh 4. Shri Baruna Nandan Singh 5. Shri Nirmal Kishor Prasad SSA 6. Shri Sanjay Kumar, SSA Government of Bihar
6.	Initiative- Name of the Team Members:	MCA21 – an e-Governance Project 1. Shri Amurag Goel, IAS Secretary, MCA 2. Shri Yudhvair Singh Malik, IAS then JS, MCA 3. Dr. (Ms.) Sheela Bhide, IAS then JS, MCA 4. Shri R. Chandrashekhar, IAS then AS (IT) 5. Shri Jitesh Khosla, IAS, JS MCA 6. Shri S. Sridharan, JA, MCA Ministry of Corporate Affairs Government of India

**Prime Minister's Awards for Excellence in
Public Administration for the year 2008-09
presented on 21st April, 2010**

1.	Initiative- Name of the Awardee:	Removal of Encroachments of Structures - Maintaining Communal Harmony Jabalpur, Madhya Pradesh Shri Sanjay Dubey, IAS then Collector & District Magistrate Jabalpur, Madhya Pradesh
2.	Initiative- Name of the Awardee:	Involvement of Community in Naxalite-affected Areas Balaghat, Madhya Pradesh Shri Gulshan Bamra, IAS, then Collector and District Magistrate Balaghat, Madhya Pradesh
3.	Initiative- Name of the Awardee:	Making Medicines Affordable Chittorgarh, Rajasthan Dr. Samit Sharma, IAS, then District Magistrate, Chittorgarh Rajasthan
4.	Initiative- Name of the Awardee:	River Linking Project Jalgaon, Maharashtra Shri Vijay Singhal, IAS, then Collector & District Magistrate Jalgaon, Maharashtra

5.	Initiative- Name of the Awardee:	Cervical Cancer Screening Chennai, Tamil Nadu Shri Rajesh Lakhani, IAS Commissioner, Corporation of Chennai, Tamil Nadu
6.	Initiative- Name of the Team Members:	Computerization of Paddy Procurement and Public Distribution System, Chhattisgarh 1. Dr. Alok Shukla, IAS then Secretary, Department of FCS & CA 2. Shri Gaurav Dwivedi, IAS then, Managing Director, 'MARKFED' & 'CGSCSC' 3. Shri A. K. Somasekhar Scientist 'D', National Informatics Centre
7.	Initiative- Name of the Team Members:	Recognition of Forest Rights Madhya Pradesh 1. Shri O. P. Rawat, IAS Principal Secretary Govt. of Madhya Pradesh 2. Shri Jaideep Govind, IAS then Commissioner Tribal Development 3. Shri Anil Oberoi, IFS Addl. Principal Chief Conservator of Forest

**Prime Minister's Awards for Excellence in
Public Administration for the year 2009-10
presented on 21st April, 2011**

1.	Initiative- Name of the Awardee:	Bridging the Gap - The Turn around of Bihar Rajya Pul Nirman Nigam – A Success Story Shri Pratyaya Amrit, IAS, Secretary Rajya Pul Nirman Nigam Ltd., Patna
2.	Initiative- Name of the Awardees:	Success Story of Malkapur 24×7 Water Supply Scheme 1. Mr. Rajendra Ganeshlal Holani Chief Engineer, Maharashtra Jeevan Pradhikaran, Region Aurangabad 2. Mr. Sadanad Kashinath Bhopale Section Engineer 3. Mr. Sunil Yashwant Basugade Section Engineer 4. Mr. Uttam Pandurang Bagade Section Engineer Office of the Executive Engineer Maharashtra Jeevan Pradhikaran Works Division, Karad District: Satara.
3.	Initiative- Name of the Awardees:	Education and Training Centre (ETC) - Dreams to Reality 1. Mr. Vijay Shantilal Nahata, IAS Municipal Commissioner Navi Mumbai Municipal Corporation (NMMC)

		2. Ms. Varsha Vishwajeet Bhagat Director - ETC
4.	Initiative- Name of the : Organization	Sickle Cell Anemia Control Programme, Government of Gujarat Commissionerate of Health, Medical Services & Medical Education Gandhinagar, Gujarat
5.	Initiative- Name of the : Organization	Sustainable Plastic Waste Management in Himachal Pradesh: From Concept to Policy Department of Environment, Science and Technology (DEST) Government of Himachal Pradesh

**Prime Minister's Awards for Excellence in
Public Administration for the year 2010-11
presented on 21st April, 2012**

1.	Initiative- Name of the Awardee:	Rendering selfless service to evacuate Indian Nationals amid civil war in Libya Ms. M. Manimekalai, IFS then Ambassador of India in Libya
2.	Initiative- Names of the Awardees:	Conduct of Panchayat Elections in Jammu and Kashmir 1. Shri Madhav Lal, IAS Chief Secretary Jammu and Kashmir 2. Shri Kuldeep Khoda, IPS DGP, Jammu and Kashmir 3. Shri B. R. Sharma, IAS Chief Electoral Officer Jammu and Kashmir 4. Shri R. K. Varma, KAS Special Secretary to Chief Secretary Jammu and Kashmir 5. Shri B. B. Vyas Principal Secretary (Planning and Development)
3.	Initiative- Names of the Awardees:	Village Health and Nutrition Day in Complete Convergence Mode Tripura 1. Ms. Saumya Gupta District Magistrate and Collector North Tripura District

		2. Dr. S. N. Choudhuri, District Family Welfare & District Surveillance Officer Ministry of Health and Family Welfare Government of Tripura 3. Mr. Amalendu Bhowmik Programme Officer (ICDS) Kumarghat, North Tripura District Tripura 4. Mr. Pinaki Acharya Technical Director and DIO Ministry of IT & Communication National Informatics Centre North Tripura District Centre
4.	Initiative- Name of the : Organization	Participatory Scientific Watershed Management in Gujarat State Gujarat State Watershed Management Agency, Gujarat

Appendix: 11

Syllabus for Foundation Course

Public Administration

Module on Essentials of Public Administration

- Essentials of Administration
- Bureaucracy
- Organisational Structure of Government
- Inter departmental coordination
- Role and responsibilities of a civil servant

Administrative Environment

- Administration and the Citizen
- Corruption
- Relationship between Civil Servants and Political Executive
- Role of media
- Role of NGO's

Skills for Administrators

- Noting and Drafting techniques in Government and Maintenance of files
- Conducting effective meetings
- Time Management
- Report writing
- Making presentations
- Public speaking
- Delegation of work

Module on administrative Ethics and obligations of public servants

Personnel Administration

Financial Administration

- General Financial Rules
- Government Budget
- Role of audit
- Performance Audit

Module on Development, Welfare and Social Administration

- Health
- Education
- Problems of the Differently abled
- Issues relating to weaker sections
- Rural Development Schemes
- Social Welfare Schemes
- Gender Issues
- Participatory Approaches

(Participatory learning and action)

Module on E-Governance

- E-Governance Policy Framework
- Successful applications in Government

Decentralisation and local Government

Issues impacting on administration

- National Security
- Issues relating to North East, Islands and other remote areas
- Emerging Technologies - Biotechnology
- Environmental Issues and sustainable development
- Science and Technology in India

Innovations in Administration & Governance

Role Models

Basic Economics for Administrators

Micro Economics

- Introduction to Economics
- Theory of Demand, Supply, Market Structure, Elasticity
- Market Failure

International Trade & WTO

- Theory of International Trade
- WTO

National Income Accounts

Theory of Growth

Poverty

Industrial Sector

Infrastructure Sector

Population, Agriculture & Food Security

- Population
- Agriculture
- Food Security

Structural Reforms & Indian Economy

Public Private Partnership

Law

- Introduction to Law & Sources of Law
- Concept of Law and Judicial System
- Civil Procedure Code
- Law of Torts
- Consumer Protection Act
- Specific Relief Act and Arbitration Act
- IPC General Principles
- Principles of Natural Justice
- Judicial Review of Administrative Action
- Criminal Procedure Code
- Module on Contempt of Court
- Suits by or Against Government
- Liability of Government Servants in Contracts and Torts
- Law of Contract
- Contempt of Lawful Authority of Public Servants
- Rule of Law
- Principles of Administrative Law Administrative Discretion
- Inquiry by Domestic Tribunal
- Information Technology Act
- Legal Remedies including Writs
- Law of Evidence
- Search & Seizure
- Offences against Human Body
- General Exceptions & Right of Private Defence
- Sexual Harassment of Working Women
- Law related to Environment
- Labour Laws

Political Concepts and Constitution of India

Political Concepts

Political Theories

Indian political system

- Organs of Government
- Fundamental Rights and Directive Principles

Different rights and their enforcement Fundamental duties

- Directive Principles
- Comparison with fundamental rights

Nature of Indian Federation

- Civil Services under the Constitution
- Human Rights

India's Foreign Policy

National Integration and Communal Harmony

Basic structure of the Constitution

Constitutional Remedies

Indian History and Culture

Part A- History

- Overview of History

Polity and Governance in Indian history

- The State and Administration in Ancient, Medieval and Modern India
- Changing fiscal structures
- Resistance against the State
- Indian Nationalism; Gandhi
- Communal Politics, Partition and Independence
- Issues in Economic History
- Issues in Social History
- A Brief Introduction to the Major Religious Traditions of India

PART B- Culture

- Culture: Meaning, Context and Forms
- Conservation of Heritage
- Art and Architecture
- Literature
- Performing Arts

Management and Behavioural Science

Management and Organisation

- What is Management? Management Process, Scope etc.
- Quality in Government

Behavioural Science

- **Module on Self-Awareness**
 - Psychology of Interpersonal Behaviour Personality & Behaviour
- **Module on Team Building**
 - Coordination and Cooperation
 - Problem Solving
 - Handling Information
 - Decision making

- Consensus building
- **Module on Organisational Leadership**
 - Motivation, Management Policies and Practices.
 - Developing Sensitivity through Transactional Analysis.
 - Leadership – Role, Functions and Styles
- **Module on Communication**
 - Interpersonal Communication – Barriers and Gateways to communication
 - Public Speaking
 - Report Writing
- **Module on Principle Centered, Negotiation and Conflict Resolution**
 - Negotiation Theory
 - Management of Conflict
- **Module on Quantitative techniques in Management**
 - Data Analysis
 - Sampling and Sampling Distribution
 - Co-relation and regression
- **Module on Project Management**
 - Capital Budgeting, Discounted Cash Flow, Time Value of Money and Cost Benefit Analysis.
 - Project Formulation & Management
 - PERT/CPM
 - Exercise on MS Project
 - Information and Communication Technology
- **Module on Financial Management**
 - Understanding Financial Statements
 - Cost Concepts

Information and Communication Technology

Computer Hardware / Software, Internet & e-mail

- Introduction to Computer
- Internet & e-mail
- Workflow Automation

MS-WORD

- Introduction to MS-WORD
- Advanced features of MS-WORD

MS-POWERPOINT

- Introduction to MS-POWERPOINT
- Advanced features of MS- POWERPOINT

MS-EXCEL

- Introduction to MS-EXCEL
- Advanced features of MS- EXCEL
- Data Analysis using MS-EXCEL

- Financial Analysis using MS-EXCEL
- Correlation & Regression

MS-ACCESS

- Introduction to MS- ACCESS
- Advanced features of MS- ACCESS
- Handling Single & Multiple Table using MS-ACCESS
- Tenancy Database
- Client-Server computing using MS-ACCESS (front end) and SQL-SERVER (back end)

NETWORKING

- Basics of Network Technology
- Communication Technology

Purchase of Hardware / Software

Project Management using MS-PROJECT

Geographical Information System

Macromedia FLASH

Web Designing using MS-FRONTPAGE

SYLLABUS FOR IAS PROFESSIONAL COURSE PHASE-I

Law

Indian Penal Code

- Offences against Public Tranquility
- Offences against the State and Promoting enmity etc. (Sec. 153-A, 153-B & 295-A)
- Offences affecting Human Body
- Offences against Property
- Offences against and relating to Public Servants
- False Evidence and Offences against Public Justice
- Contempt of Lawful Authority of Public Servants

Law of Evidence

- Admission and Confession
- Documentary Evidence
- Examination of Witnesses
- Competency of Witnesses and Privileges of Communications
- Dying Declaration
- Expert Opinion and Scientific Evidence
- Relevancy and Admissibility
- Burden of Proof (Including Presumptions)
- Appreciation of Evidence
- Rule of Estoppel
- How to Record Evidence

Civil Procedure Code

- General Concepts, Types of Suits: Filing of Suits: Place of Suiting
- Appearance of Party and Consequence of Non-appearance, Settlement of Issues and Hearing of Suits
- Judgement and Decree - Preliminary and Final, Inherent Powers of Court
- Appeal, Reference, Review, Revision and Suits by and Against Minor and Persons of Unsound Mind
- Defending of a Suit
- Interlocutory Matters
- Parties to a Suit-Necessary and Proper Party-Meaning
- Pleadings – Meaning, Its Amendment, Complaint, Written Statement
- Injunction
- Issue of Commission, Abatement: Death and Marriage, Withdrawal of Suits
- Execution-I
- Execution-II

Criminal Procedure Code

- Inquest

- Dispersal of Unlawful Assembly (Sec. 129-132 Cr. P.C.)
- Public Nuisance - Principles and Practice
- Criminal Trials
- Security Proceedings (Chapter VIII-Sec. 107-124 Cr. PC) Court Procedure
- Disputes as to Immovable Property, Breach of Peace (Sec. 145-148)
- Urgent Cases of Nuisance or Apprehended Danger (Sec. 144 Cr. P.C.) including promulgation of Curfew
- Search and Seizure
- Contempt of Court under Cr. P.C.
- Role of DM/SDM/Executive Magistrates in Criminal Administration Particularly under Cr. P.C.
- Police Investigation
- Criminal Process
- Arrest, Remand and Bail
- Appeal, Reference and Revision

Minor Acts

- Arms Act, Explosive Act & Explosive Substance Act
- Stamp and Registration Act
- Dowry Prohibition Act
- Transfer of Property
- Motor Vehicles Act
- Specific Relief Act
- Right to Information Act, Whistle blowing provisions
- Child Labour and Bonded Labour
- Prevention of Atrocities against SC & ST
- Essential Commodities Act
- Cyber Laws and IPR
- General Clauses Act and Rules of Interpretation

Others

- AIS Rules, Conduct Rules
- Departmental Proceedings
- Leave/TA Service Rules
- Liability of Civil Servants in Contracts and Torts
- Law of Succession and Inheritance
- Alternate Dispute Redressal System

Information and Communication Technology

- Excel Exercise (Data Analysis Part-I)
- Introduction to Databases
- MS-Access Hands-on (Single Table)
- Handling Multiple Tables
- MS-Access Hands-on (Multiple)
- Tenancy Database using MS-Access
- Client / Server Computing

- Financial Accounting using Tally Software
- Financial Management using MS-Excel
- GIS Module
- MIS / SAD
- Case Study Presentation
- Data Structure Design
- Communication Technologies (Part-I)
- Communication Technologies (Part-II)
- Project Management
- Introduction & e-Governance
- e-Governance Maturity Models & INTRANIC a G2E
- Trends in Technology
- Information Management: Best Practices
- IT-Policy & Data Security Issues
- Business Processes Re-engineering
- Implementation of e-Governance Projects

Academic Modules

Perspective Building

IAS in Perspective

IAS - collective consciousness, service, reforms	PA	Lecture
Art 311	Law	Lecture
Qualities of a Civil Servant	PA	Lecture

District Administration

Administrative Framework, Structure, Functions	PA	Exercise
Role of SDM	PA	Lecture
Functions of Executive Magistrate	Law	Lecture + Handout

Problems in Insurgency Affected Areas

Experience of Distt Admin- Special provisions under the Constitution	PSC	WST Presentation + Seminar
Convergence of functions and jurisdictions	PA	Lecture

Issues in the North-East

PSC	Seminar
-----	---------

Administrative Skills

Basic Administrative Skills & Procedures

Office Procedures	PA	Exercises
AIS Rules, Conduct Rules	Law	Lecture
Inspections & Tours	PA	Mock Inspection
Departmental proceedings	Law	Exercise/Mock Court
Presentation and Communication Skills	PA	Exercise
Engineering Skills for Administrators	PA	Exercise
Leave/TA/Service Rules	Law	Lecture
Managing time bound works	PA	Visit to DMRC
Grievance Redressal	ICT	Case Study

Project Management

Understanding a project and project formulation	Mgt	Exercise
Financial appraisal of projects	Mgt	Exercise
Scheduling and monitoring projects- PERT-CPM, Gantt charts etc	Mgt	Exercise
Risk analysis	Mgt	Exercise
Elements of a successful project	Mgt	Case Study, Visit to DMRC

Dealing with the Media

Provisions of Press Council, Guidelines on media interface, how to interact with media, Communication skills	PSC	Lecture and Exercise, Visit to NDTV
--	-----	-------------------------------------

Law and Order

Principles of crowd control, intelligence collection, ESMA, preparation of reports under NSA , Commission of Enquiries Act, Regulation of foreigners registration and movement	Law	NPA Faculty
Caste Communal and Students Unrest	PSC	Seminar
Offences Against Public Tranquility	Law	Lecture
Security Proceedings	Law	Lecture
Public nuisance	Law	Lecture+ Mock court and exercise writing
Dispersal of Unlawful Assembly	Law	Case Study
Other preventive powers of police magistracy	Law	Lecture

Police Interface

Relationship with subordinate police	PA	Thana inspection, inspecting guard, taking salute, provisions for police lines etc.
Inquest/UD Cases	Law	

Land Management and Administration

Land Administration-organisation of tehsil and revenue circles	PA	Lecture
Land reforms-tenancy, ceiling, Current Land Policy	PA	Lecture
Land record management	PA	Village maps
Land Encroachment	Law	Case Study
Consolidation	PA	Exercise
Tribal Land Alienation	Law	Lecture

Revenue Recovery Act	Law	Cast Study
Land Acquisition Act	Law	Lecture
Mutation and Computerisation of land records	ICT	Exercise
Conduct of Elections	PA	Exercise
Disaster management	PA	Lecture + Exercise
Diplomatic skills, provisions relating to interaction with foreign officials	PA	FSI Module
Financial Management		
State Finances	Eco	Lecture
VAT	Eco	Lecture
Block and DRDA accounts	Mgt	Exercise
Understanding Financial Statements	Mgt	Exercise
Accounting	Mgt	Exercise
Cost Benefit Analysis	Eco	Exercise
District Funds	Eco	Exercise
E-Governance	Mgt	Seminar
First Aid for Administrators	<i>Optional</i>	Weekday evenings + Saturday/Sunday
Handling small weapons	<i>Optional</i>	Saturday/Sunday
Public Contracts		
Procurement Procedures	PA	Lecture + Exercise
ICB and externally aided projects	PA	Lecture
Civil Liberties		
Preventive Detention	PSC	Case Study
Human Rights	PSC	Seminar

Organisational behaviour, leadership profiling, team work etc	Mgt	team games, exercises
Language	Lang	
ICT	ICT	Exercises
Small Group Discussion	PA	
Knowledge Enhancement		
Urban Administration		
Urban Local Bodies	PA	WST Presentation + Seminar
Pub. Policy - Rickshaw Pullers	PA	Film + Talk
Planning for a new city	PA	Visit to Greater NOIDA
Municipal Services	PA	Case Study
Rural Development		
Govt Programmes- implementation, framing, role of admin, guidelines	Eco	Lecture + Exercise
Case study of a RD programme	Eco	Beneficiary Interaction
Development Banking	Eco	Case Study
Social Legislation/ Minor Acts		
Dowry Prohibition Act	Law	Lecture
SC/ST Prevention of Atrocities Act	Law	Lecture
Motor Vehicle Act	Law	Lecture
Transfer of Property Act	Law	Lecture
Prevention of Corruption Act	Law	Lecture
Arms Act, Explosives Act	Law	Lecture
Cinematograph Act	Law	Lecture
Indian Registration Act	PA	Lecture

Alternate Dispute redressal systems	Law	Lecture
Liability of civil servants in contracts and torts	Law	Lecture
Environment		
Issues	PA	Film + Lecture
Forest Act + Pollution Control Act	Law	Seminar
Bio Med Waste Mgmt Rules	Law	Lecture
Env. Economics	Eco	Case Study
Social Marketing		
AIDS - Case Study	Mgt	Lecture
Concepts	Mgt	Lecture
Public-Private Partnerships		
Models	PA	Lecture
Pvt Contracts	PA	Lecture + Exercise
Successful partnerships	PA	Case Study
Issues in Agriculture	Eco	Seminar
Economic theory		
*in addition to those already specified		
Market failure	Eco	Lecture + Exercise
Costs	Eco	Lecture
Law		
* in addition to those already specified		
Indian Penal Code	Law	Lecture + Exercise
Criminal Procedure Code	Law	Lecture + Exercise
Civil Procedure Code	Law	Lecture + Exercise

Evidence Act	Law	Lecture + Exercise
Order Writing Exercises, Moot Courts, Mock Trials	Law	Exercise
Attitudes and Values		
Social Security for Vulnerable		
PDS, right to food, Food Policy	Eco	ECA, dealer's view point
MDM, nutritional deficiencies	PA	Practice and guidelines
SC/ST Provisions	Eco	Lecture
Gender Issues		
Offences Against Women	PA	Lecture
Gender Issues	PA	Seminar
Transparency in Government		
Right to Information Act, Citizens' Charters	Law	Lecture
Right to Information Act in practice	PA	Lecture + Case Study
Admin Accountability	PA	Case Study
Best Practices		Handout/ CD from Do ARPG
Social Sector		
W&CD	Eco	Lecture/Discussion
Health	Eco	Lecture/Discussion
Education	Eco	Lecture/Discussion
Initiatives, Approaches	PA	Lecture/Discussion
Poverty		
Definition, concepts	Eco	Lecture

Understanding the problems of the poorest groups	PA	Group research and Presentation
Bonded Labour Act	Law	Case Study
Rural Credit, Money Lenders Act	Eco	Lecture

Dealing with Elected Representatives

Provisions of Acts relating to PRIs	PSC	Lecture
Expectation and functioning of local bodies	PSC	Discussion
Protocol	PA	Lecture + Case Study

CGMs

Seminar Topics

-
- Caste, Communal and Students Unrest:
 - The Legacy and the Solution
 - Center State Relations:
 - Need for a Reappraisal
 - E-governance: Replicability and
 - Effectiveness of Existing Solutions
 - Emerging Trends in Indian Agriculture
 - Enhancing Competitiveness of Indian Industry: Role of District Administration
 - Environmental Issues in District Administration
 - Insurgency: Measures to Tackle and Role of District Administration
 - Issues in the North-East
 - Urban Services and Planning:
 - The Role of Local Bodies
 - Women's Empowerment :
 - A Means of Social Reform

SYLLABUS FOR IAS PROFESSIONAL COURSE PHASE-II

Course Objectives

Objectives

- To make the officer trainees confident of shouldering responsibilities as field officers.
- To provide officer trainees with an opportunity to analyze their experiences in district training and to learn from the field experiences of their colleagues.
- To develop in officer trainees, skills to be effective team members and to be leaders of teams.
- To consolidate the basic knowledge of officer trainees relating to procedures in civil, criminal and revenue laws keeping in mind their job requirement as presiding officers of courts
- To consolidate the working knowledge of officer trainees in computers to that they are confident of leading initiatives in computerization in the field.
- To consolidate language training of officer trainees in the language of the state cadre to which they are allotted.
- To develop camaraderie and unity within the service through an active campus life.
- To keep officer trainees in a good physical shape.

Course approach

- The academic sessions will cover topics in the areas of Public Administration, Management, Law, Economics, Computers and Language.
- Interactive learning through experience sharing.
- Presentations by officer trainees will form the basis for designing most of the sessions.
- Presentations by Officer Trainees
- Case studies / exercises
- Panel discussions
- Seminars & workshops
- Counsellor group meeting
- Small group discussions
- Seminar on Law & Order
- Effective SDO Seminar
- Seminar on Human Rights
- Seminar on E-Governance
- Interaction with IAS officers (Retd.) of Golden Jubilee Batch.
- Interaction with Heads of State Administrative Training Institutes
- Module on Disaster Management
- Module on National Security
- Module on Elections
- Interaction with participants of in-service courses.
- Weapon Training Module at IMA
- Other local visits on weekends.

Language Inputs

- Text / Structure / Exercises
- Discussion Seminar
- Guided Composition / Report Writing
- Written Exercises on Noting and Drafting
- Usage of Technical terminology and phrases
- Presentation of Written Assignments
- Exercises on translation
- Discussion seminar on cultural aspects
- Report writing on specific topic
- Writing of Orders / Judgements
- Discussion and Feedback
- Feedback and Discussion on Correspondence Course
- Judicial Assignment Presentations
- Security Proceedings
- (Section 107/116 Cr. P. C.)
- Public Nuisance (Section 133 Cr. P. C.)
- Court Management
- Miscellaneous Legal Matters

Law

- Experience Sharing Presentations on cases under Criminal Procedure Code/ Indian Penal Code/ Revenue and Administrative Inquiries.
- Court Management
- Practice Sessions in defending suits etc.
- Topics not covered during the Phase-I and topics, which the Probationers feel need to be covered.

Information and Communication Technology

- Revision session on Excel
- Data Analysis using Excel
- Revision on Access
- Multiple Tables using Access
- Project Management
- Purchase of HW & S/W
- Macromedia Flash
- E-Governance Module

Annexure:12

Right to Information Queries

From
C. Jeevan Kumar

Date: 28 December, 2010

To
Shri S.S. Shukla
Under Secretary(AIS-II) (Promotion Desk)
Department of Personnel & Training
North Block
New Delhi

Sir,

Under the Right to Information Act, may I request you to furnish information on the following query:

- 1) The number of IAS officers in the country
- 2) The distribution of IAS officers:
 - i. state-wise
 - ii. caste- wise
 - iii. gender-wise
 - iv. age-wise
- 3) The number of State Civil Service officers conferred IAS since 1977 (cadre-wise/caste- wise/gender-wise).

Yours sincerely,

C. Jeevan Kumar

Reply: on 12 May 2011

1) So far as information sought at point 1 of your application concerned, there are 4356 IAS Officers are in position, as on 01.01.2011.

2) So far as information sought at point 2 is concerned, the Civil list of IAS officers, 2011 contains state wise data. This is priced publication of Rs. 680 only. It is available at the State Counter of the Department of Publications behind Old Secretariat, Civil Lines, Delhi 110054 and the same also available on this Ministry's Website (www.persmin.nic.in - IAS Civil list). Civil List contains name of the officer, his/her date of birth and state/cadre to which he is allocated. Caste is however not indicated.

Information by

S.S. Shukla

Under Secretary to the GOI &CPIO

- 3) It is informed that the data regarding number of State Civil Service Officers conferred IAS since 1977 (Cadre-wise/caste wise/gender wise) is not maintained in any of the document in my possession.

Date: 28 December, 2010

From

C. Jeevan Kumar

To

M.P. Rama Rao
Under Secretary (Training)
Department of Personnel & Training
Old JNU Campus
New Delhi

Sir,

Under the Right to Information Act, may I request you to furnish information on the following queries?

- 1) The number of IAS officers (cadre-wise/caste-wise/gender-wise) who received training within the country conducted by various agencies like IIMs in the country since 1991
- 2) What is the focus of these programmes?
- 3) Whether such programmes are useful for better policy making?
- 4) Has the Government of India commissioned a study to assess the impact?

Yours sincerely

C. Jeevan Kumar

Date: 28 December, 2010

From

C. Jeevan Kumar

To

Mrs. Anita Alexander
Under Secretary (Training)
Department of Personnel & Training
Training Division, Old JNU Campus
New Delhi

Madam,

Under the Right to Information Act, may I request you to furnish the information on the following queries?

- 1) The number of IAS officers deputed for training to other countries since 1991
- 2) Agencies which sponsored these programmes,
- 3) Expected outcomes of these training programmes,
- 4) Whether an assessment is made by the Government of India about the impact of these programs on policy.
- 5) Furnish the list of officers deputed state-wise/caste-wise/gender-wise.

Yours sincerely,

C. Jeevan Kumar