

## **BLOCK 5**

# **MANAGEMENT AND PUBLIC POLICY THINKERS**

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# UNIT 15 DWIGHT WALDO\*

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## Structure

- 15.0 Objectives
- 15.1 Introduction
- 15.2 Dwight Waldo: A Biographical Account
- 15.3 Dwight Waldo's Views on Public Administration
  - 15.3.1 Administration and Politics : Two Related Domains
  - 15.3.2 Administration and Politics : A Nuanced View
- 15.4 New Public Administration under Waldo
- 15.5 Conclusion
- 15.6 Glossary
- 15.7 References
- 15.8 Answers to Check Your Progress Exercises

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## 15.0 OBJECTIVES

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After reading this Unit, you should be able to:

- Describe Dwight Waldo's life and viewpoints;
- Examine the contribution of Waldo to New Public Administration; and
- Analyse Waldo's views on administration and politics.

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## 15.1 INTRODUCTION

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Dwight Waldo is essentially known for his management theories, which revolve around bureaucracy. He pioneered the New Public Administration movement. He felt that public administration suffered from an identity crises that needed to be addressed. His focus was on development of a theory of development administration; Public administration with a social purpose was the major concern. He wrote about issues in public administration in 1970s, which bear resonance even today. He focused on conflict between bureaucracy and democracy, as well as dichotomy between bureaucracy and politics. He basically was looking for a value-laden public administration that is change-oriented, goal-oriented and ethical. In this Unit, we will discuss Dwight Waldo's views on public administration and also his focus on the relationship between administration and politics.

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## 15.2 DWIGHT WALDO: A BIOGRAPHICAL ACCOUNT

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Dwight Waldo (1913-2000) was born in a farming family in rural DeWitt, Nebraska. He attended Nebraska Wesleyan College but unable to afford the expenses, transferred to Nebraska State Teachers College in Peru. After graduation, he wished to become a

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\* Contributed by Ms. Sanghamitra Nath, Assistant Professor, Bajkul Milani Mahavidyalaya, Vidyasagar University, West Bengal.

high school teacher, but teaching jobs were unavailable as the country was on the threshold of World War II. He was offered a graduate assistantship at the University of Nebraska-Lincoln and completed his Master's Degree. However, once again he failed to get teaching jobs in the market. With hardly any option in hand, he found a scholarship to attend Yale University. At Yale, he met Professor Francis Coker, who introduced him to the subject of public administration, *albeit*, from the perspective of American political theory. Though Waldo loathed the new subject, he grew interested eventually so much so that he took it up in his doctoral dissertation, which later got published as 'The Administrative State' (Carroll and Fredrick, 2001).

'The Administrative State' has been counted as a seminal work of Waldo by scholars worldwide. In this Book, Waldo studied: (1) the role of federal government in determining the American economy and society in the first half of the 20<sup>th</sup> century, (2) the relation between scientific management and public administration and found them to be rooted in Positivism, and (3) the shift from orthodox scientific administrative management (1920s and 1930s) to the heterodox public administration (1940s onwards) in the United States. By the time he finished his Ph.D. at Yale, America was on the verge of World War II and he found a job at the Office of Price Administration, where he learnt about the challenges confronting an effective public administrator. At the end of the war, he accepted an assistant professor's position at Berkeley, where he was required to teach political theory as well as other political science courses. The years spent at Berkeley were probably the most rewarding for him not only as a teacher but also intellectually with publications such as *The Administrative State* (1948), *Ideas and Issues in Public Administration* (1953), *The Study of Public Administration*, and *Perspectives on Administration* (1956) (*Ibid.*).

Waldo was appointed as the director of the Institute of Government at the University of California at Berkeley. Later, he left Berkeley to join Maxwell School at Syracuse University, New York. He was also the editor-in-chief of the Public Administration Review (PAR) from 1966 to 1978. With 12 years to his credit, Waldo had the longest tenure till date at PAR. During his tenure, he widened PAR's status from being a quarterly to a bimonthly journal of national and international repute. Every issue had contributions from exceptional scholars at that time on contemporary topics. He served as president of the National Association of Schools of Public Affairs and Administration (NASPAA) from 1977 to 1978. In 1979, the American Society for Public Administration (ASPA) started the Dwight Waldo Award, the highest honour, to recognise his academic contributions to public administration. In 1987, he was awarded the John Gaus Lecture award by ASPA for lifetime achievement in political science and public administration (*Ibid.*).

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## 15.3 DWIGHT WALDO'S VIEWS ON PUBLIC ADMINISTRATION

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### 15.3.1 Administration and Politics: Two Related Domains

During 1920s and 1930s, a widespread perception prevailed to delink politics from administration. Also called the politics-administration dichotomy, it had roots in the Progressive Reformism of Western cultural history (Marini, 1993). The politics-administration dichotomy intended to separate administrative tasks from political maneuvering. Simply put, it aimed to exclude politicians from administrative policy making and policy implementation (Svara, 2008).

Woodrow Wilson, one of the pioneers of the orthodox model of public administration,

said, “[t]he field of administration is a field of business. It is removed from the hurry and strife of politics” (1887). Matters of administration were different from matters of politics. Though politics determined administrative duties, it should not interfere in the discharge of administrative functions. Since administration was often found tangled with politics, he believed that civil service reform in particular and administrative reform in general could ensure separation of administration from politics. Administration, devoid of politics, would help to improve methods of appointment and carrying out executive functions as well as establish the sanctity of public office and restore public trust (Wilson, *ibid.*).

Dwight Waldo held views contrary to the orthodox model of public administration. His experience in the field of public administration witnessed intertwining of politics and administration. This explained his averseness to the very idea or model of strict division between politics and administration expected to eliminate risks of bureaucratisation of politics and politicisation of administration (Svara, *op.cit.*). In the words of H. George Frederickson, Waldo’s critique challenged the basic axioms of public administration “particularly the assumption that public administration is the neutral and objective management of State affairs” (Lowery, 2001).

In the Book, ‘The Administrative State: A Study of the Political Theory of American Public Administration’ (1948), Waldo made certain essential observations: (1) the rigid separation of politics from administration was untenable. The positions of public servants required doing more than merely implementing policies crafted by elected representatives. Administrative policies, procedures, and actions were located within political assumptions and preferences so that administrators based their work within the framework of constitutional democracy, (2) bureaucracy (connected with values of scientific management) and democracy (related to values of humanistic management) were found to be in a strained relation so that career public servants were compelled to adhere to democratic principles, (3) efficiency (as propounded by scientific management movement) had to be negotiated with due process and public access to government, and (4) the business-like view of government was not feasible because public servants were bound to uphold the Constitution and other democratic imperatives (Lowery, 2001; Werlin, 2001).

### 15.3.2 Administration and Politics: A Nuanced View

In his earlier writings (from 1940s to 1950s), Waldo adopted a pragmatist view where politics and administration (rather than politics-versus-administration) were a reality. Herbert Simon, Paul Appleby, H. George Frederickson, Kevin B. Smith, and many others credited Waldo for demolishing the pre-World War II belief in politics-administration dichotomy (Brown and Stillman (1986). In the seventh chapter of ‘The Administrative State’ Waldo (1948) coined the term “heterodoxy” to signify the mid 20th-century critical position against politics-administration dichotomy and saw himself as a representative of heterodoxy. The critical attitude towards dichotomy was carried forward in Waldo’s other works such as ‘The Study of Public Administration’ (1955), and lecture series on ‘Perspectives on Administration’ (1956). Thus, most of Waldo’s early publications echoed his dissatisfaction with the politics-administration dichotomy (Overeem, 2008).

Curiously, Waldo never used the word “dichotomy” in any of his works. In ‘The Administrative State’, he called it politics-administration “formula” (1948: 115, 121, 208), “distinction” (1948: 116), “notion” (1948: 115, 123), and “axiom” (1948: 110). He used the words “politics-administration” (1948: 75, 207) and “dichotomy” individually. While dichotomy meant separation, the rest of the terms indicated allocation or balance or expounded spheres of administration or class of officials (Svara, *op.cit.*)

Overeem (*op.cit.*) questioned exactly what was Waldo ardently rejecting in his writings. He noted that Waldo rejected the orthodox model of strict separation of politics from administration, which was popular prior to World War II. His heterodoxical stance disagreed only with the “spirit of rigid separatism” between deciding and executing. Moreover, Waldo rejected the separation of decision-making from execution arising from Constitutional division of powers. As a result, he rejected comparison of administration with execution because administrative work was more than “a mechanical application of political decisions made elsewhere, but is suffused with politics and concerned with policy making” (*Ibid.*).

One may consider Waldo’s later writings (from 1970s onwards), where the focus still remained on Waldo’s notion and appraisal of the dichotomy (Marini, *op.cit.*). After his acquaintance with Max Weber’s writings on bureaucracy, his focus shifted from interceding politics and administration or deciding and executing to negotiating democracy and bureaucracy (Overeem, *op.cit.*). He described democracy substantively (involving values of humanistic management such as equality, liberty, free association, widespread debate, representation, opportunity, and dissent) while he defined bureaucracy procedurally like Weber (involving values of scientific management such as hierarchy, expertise, discipline, control of communication, efficiency, legalistic and formal procedures, and impersonal relationships). Now, Waldo re-evaluated politics-administration dichotomy where “he clearly spoke up for the dichotomy” suggesting that the stiff institutional distinction might be possible in theory but not quite so in practice (*Ibid.*). Waldo’s lifelong fascination with politics-administration dichotomy requires a nuanced understanding. Overeem marked that Waldo was “neither a champion nor an opponent of the dichotomy” because he added qualifiers to his earlier criticism of dichotomy and he remained elusive about the idea of dichotomy by attaching it to a wide range of issues (Svara, *op.cit.*).

### Check Your Progress 1

**Note:** i) Use the space given below for your answer.

ii) Check your answer with that given at the end of the Unit.

1) Examine Dwight Waldo’s views on Public Administration.

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## 15.4 NEW PUBLIC ADMINISTRATION UNDER WALDO

The first Minnowbrook Conference held in 1968 under the chairmanship of Dwight Waldo was special for it marked the advent of the expression, ‘New Public Administration’. Dwight Waldo, then Professor at Syracuse University, organised and financed the Minnowbrook Conference to ascertain the domain of public administration from the perspectives of young students, teachers and practitioners. Most of the delegates agreed that public administration lacked a consistent set of concepts, ideological-philosophical framework, and techniques to explain and practice contemporary

administration. Furthermore, it was argued that the instrumentalist role of public administration led to inefficiency or unresponsive and unimaginative methods. It should not turn into “instruments of repression” but become “humane” (Waldo, 1972). By the end of the Conference, New Public Administration emerged as a reaction or an unofficial theme against the current trend of public administration (Page, 1969). The final proceedings of the meeting were converted into a Report, entitled *Toward a New Public Administration: The Minnowbrook Perspective* (1971) by Frank Marini (Patil, 2014).

The emergence of New Public Administration (NPA) may be traced to external and internal environment of public administration comprising a range of factors from urban riots and racial prejudice and discrimination prevalent in America to America’s involvement in Vietnam War. It originated during the phase of political turbulence in America. Firstly, NPA required public organisations to find ways to represent constituent aspirations adequately. Secondly, it stressed on the importance of study of external consequences of administrative actions. Thirdly, it necessitated introspection of inter-organisational relationships and behaviour, as well as intra-organisational techniques and patterns (Page, *op.cit.*).

According to George Frederickson (1996), NPA may be distinguished from public administration based on *six* parameters. These were concepts of change; relevance and empowerment; theories of rationality; theories of organisational structure and design; theories of management and leadership; and epistemology, methodology, and the issue of values. To begin with the concept of change, it was the central feature of NPA incorporating: (1) reform of status quo in administration/bad bureaucracy and substituting it with good bureaucracy, reorganisation and institutionalisation of change procedures, (2) rapid social change as well as capitalising from it; and (3) adjustment of hitherto organisational machinery to uncertain-complex and rapid change, and huge investments in decrements and devolution. The concept of change was, therefore, process oriented as well as based on systems’ logic and standards of effectiveness. Moreover, NPA, far from being techno-centric, argued technology to be the reason for organisational or policy problems (*Ibid.*).

NPA also asserted relevance, responsiveness and empowerment. In doing so, it dwelt on ethical issues of social equity in the context of provision of public services, and individual and collective public service responsibility towards the execution of public policy. NPA’s concern with rationality was, in the words of Frederickson, “buffered rationality” meaning rationality devoid of its undesirable consequences. With regard to organisational structure and design, NPA relied on systems of coproduction or public-private partnerships, decentralisation, lesser hierarchies, project sponsorship, and outsourcing. It demonstrated inclination towards greater institutionalisation and managerial aspects (*Ibid.*).

The theories of management and leadership in NPA appealed for democratic and participatory work-group practice and teamwork. It aimed to make public service satisfactory and effective, as well as shift the focus from internal management of an organisation to management of public relations with citizens, other government agencies, interest groups, and elected executives and legislators. Furthermore, it intended to achieve equitable implementation of public policy. Epistemology, methodology, and values were another set of concerns for NPA. Particularly, emphasis was laid on values such as better performance, greater innovation and more sensitive management. It accorded much importance to politics, democratic government, majority rule and minority rights, as well as customer orientation (*Ibid.*).

**Check Your Progress 2****Note:** i) Use the space given below for your answer.

ii) Check your answer with that given at the end of the Unit.

1) What do you understand by New Public Administration?

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**15.5 CONCLUSION**

Waldo will always be remembered for his seminal contribution to the field of public administration. He remained a key figure in the politics-versus- administration debate and first Minnowbrook Conference, where young progressive scholars emphasised on transforming public administration into New Public Administration. He gathered his experience as an administrator during his stint at the Office of Price Administration and the Bureau of the Budget. Based on his experience, he believed that the orthodox politics-administration dichotomy was unsustainable in practice. As a result, as has been pointed out, he challenged half a century-old principles and the pervasive notion of value neutrality in public administration. Waldo's early and later writings, whether published or unpublished, asserted administration could never be a dispassionate, scientific, and mechanical job. Rather, it was active and informed as well as inclusive of democratic values. Waldo saw administration and bureaucracy as fundamental aspects of modern civilisation and culture. While he respected and defended administration, he was aware of its shortfalls and as observed called for reforms to rectify its constraining and limiting tendencies. This Unit explained Dwight Waldo's views on New Public Administration and his understanding of politics-administration dichotomy.

**15.6 GLOSSARY**

- Axiom** : A statement or a promise taken to be true. It serves as a starting point of further argumentation and reasoning.
- Buffered Rationality** : Rationality, which argues that rather than considering long-term and uncertain scenario, a short-term and less fundamental approach should be taken by policy makers .
- Heterodoxy** : Not conforming to accepted orthodox beliefs and standards. Being at variance with established positions.
- Minnowbrook Conferences** : The first Conference was organised in 1968 at Minnowbrook under the chairpersonship of Dwight Waldo. Subsequently, a second Minnowbrook Conference was organised in 1988 under H. George Fredrickson and a third one under the chairpersonship of Rosemary O' Leary *et.al.* in 2008.

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## 15.8 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

### Check Your Progress 1

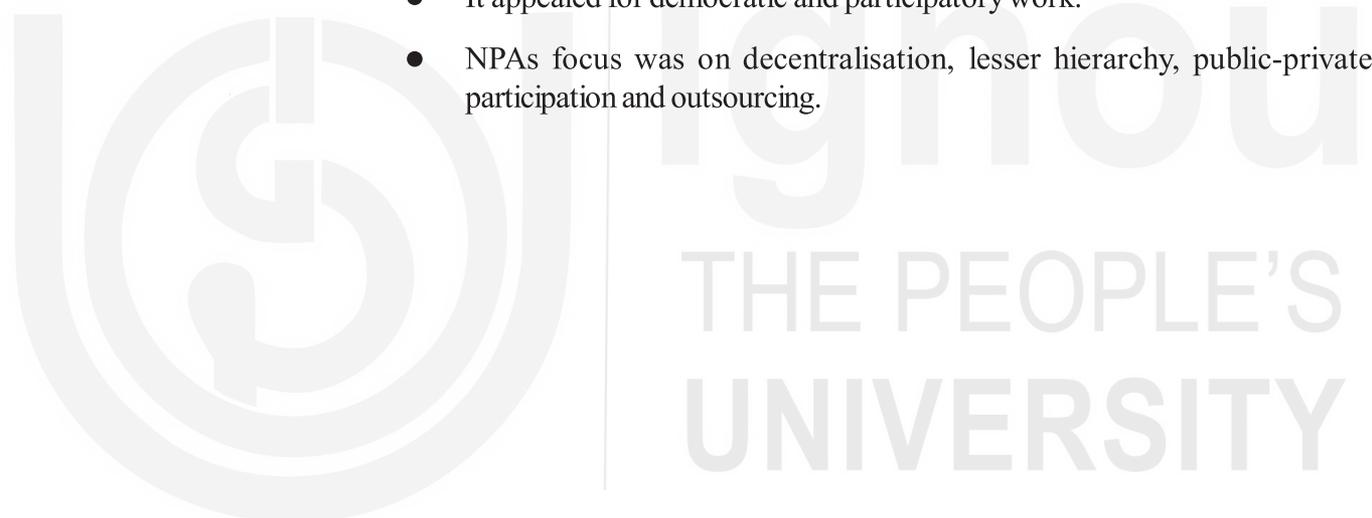
- 1) Your answer should include the following points :
  - Waldo attempted at intertwining of politics and administration.
  - He was not in favour of politics-administration dichotomy.
  - He wanted administrators to work within the framework of Constitutional democracy.
  - He called politics-administration dichotomy as politics-administration 'formula'.
  - Waldo rejected the separation of decision-making from execution, rising from Constitutional division of powers.

- His focus was on democracy involving values of humanistic management such as equality, liberty, free association, undeterred debate, representation and opportunity.

### **Check Your Progress 2**

1) Your answer should include the following points:

- New Public Administration (NPA) was a dynamic movement that came about during the Minnowbrook Conference.
- It stressed on the importance and consequences of administrative actions.
- NPA necessitated introspection of inter-organisational relationships and behaviour.
- NPA focused on intra-organisational techniques and patterns.
- Its objectives were change-organisation, goal-orientation, leadership, decentralisation, rationality and values.
- NPA assisted relevance, responsiveness and empowerment.
- It appealed for democratic and participatory work.
- NPAs focus was on decentralisation, lesser hierarchy, public-private participation and outsourcing.



# UNIT 16 PETER DRUCKER\*

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## Structure

- 16.0 Objectives
- 16.1 Introduction
- 16.2 A Biographical Sketch of Peter Drucker
- 16.3 Concept of Modern Management
- 16.4 Major Contributions of Peter Drucker
- 16.5 Drucker's Management Theory
- 16.6 Appraisal of Drucker's Line of Thought
- 16.7 Conclusion
- 16.8 Glossary
- 16.9 References
- 16.10 Answers to Check Your Progress Exercises

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## 16.0 OBJECTIVES

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After reading this Unit, you should be able to:

- Explain the concept of Modern Management;
- Examine the contribution of Peter Drucker to Modern Management; and
- Bring out the relevance of Drucker's principles in contemporary times.

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## 16.1 INTRODUCTION

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Peter Drucker is one of the best-known and most widely influential thinkers and writers on the subject of Management Theory and Practice. His writings have predicted many of the major developments of the late twentieth century, including privatisation and decentralisation; the rise of Japan to economic world power; the decisive importance of marketing; and the emergence of the information society with its necessity of lifelong learning. Although, Drucker's main domain is that of management, his concepts and theories are widely studied and recognised in the discipline of Public Administration. The concepts evolved by him are widely and universally applicable across administration and serve as a management booster for all organisations, whether public or private. Therefore, it becomes important to study Peter Drucker keeping in mind the organisations in private as well as public administration. This Unit will explain the basic principles of Peter Drucker related to modern management. It will also examine their relevance to public administration.

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## 16.2 A BIOGRAPHICAL SKETCH OF PETER DRUCKER

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Peter Drucker is called the Father of Modern Management. His contributions as a writer, teacher, management consultant and business visionary are exemplary. Peter

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\* Contributed by Dr. Sandhya Chopra, Consultant, Faculty of Public Administration, SOSS, IGNOU, New Delhi.

Drucker was born in Vienna, Austria on November 19, 1909. The household in which he grew up in a highly intellectual environment. His parents, Adolph and Caroline, regularly held participatory sessions with economists (including Joseph Schumpeter, who came to have a tremendous influence on Drucker), politicians, musicians, writers and scientists. “That was actually my education,” Drucker later observed. Soon Drucker moved from Austria to Germany to study Admiralty Law at Hamburg University before shifting to Frankfurt University, where he studied Law at night. He also became a senior editor in charge of foreign affairs and business at Frankfurt’s largest daily newspaper, the *Frankfurter General-Anzeiger*.

Drucker received his Ph.D in International Law from Frankfurt University in 1932. Three years later, he moved to England. In Cambridge, Drucker attended a lecture by leading economist John Maynard Keynes, and there had an epiphany (realisation), which made him realise that others were interested in the behaviour of commodities and he was interested in that of people. Drucker also served as a correspondent for several British newspapers, including the *Financial Times*. He eventually began teaching economics, part time, at Sarah Lawrence College in New York. Drucker’s invitation to take a close peek inside General Motors resulted in the publication of his landmark book *Concept of the Corporation* in 1946. Drucker also became professor of philosophy and politics at Bennington College and received the Presidential Citation at NYU, the School’s highest honour. He published the classic *The Effective Executive* in 1966.

In 1971, Drucker became the Marie Rankin Clarke Professor of Social Sciences and Management at what was then called Claremont Graduate School. In 1973, Drucker authored his Magnum Opus, *Management: Tasks, Responsibilities, Practices*, which soon became the playbook for generations of corporate executives, non-profit managers and government leaders. The Claremont Graduate Centre of Management was renamed the Peter F. Drucker Management Center in 1987. Drucker published eight new titles during the decade in addition to maintaining active teaching and consulting activities. In 1989, he produced *The Nonprofit Drucker*, a five-volume audio series featuring insights into the management of the social sector.

The Peter F. Drucker Foundation for Nonprofit Management (today called the Frances Hesselbein Leadership Institute) was established in 1990. Drucker delivered the prestigious Godkin Lecture at Harvard University in 1994. The Drucker Center became the Peter F. Drucker Graduate School of Management in 1997, and the Drucker Archives (a repository for Drucker’s manuscripts, letters and other material) was inaugurated in 1998. At the age of 87, Drucker was featured on the cover of *Forbes* under the headline: “Still the Youngest Mind”. Drucker was awarded the Presidential Medal of Freedom, the nation’s highest civilian honor and called “the world’s foremost pioneer of management theory”. by President Bush. In 2004, the Drucker Graduate School of Management became the Peter F. Drucker and Masatoshi Ito Graduate School of Management.

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## 16.3 CONCEPT OF MODERN MANAGEMENT

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Peter Drucker, turned Management Theory into a serious discipline. He revolutionised modern business practices, influencing far-reaching developments in the areas decentralisation, privatisation and empowerment. Drucker was among the first to address the emergence of the Information Society, and in 1959, coined the now-defining term “knowledge worker”. Drucker was of the belief that management has become the constitutive organ and function of the Society of Organisations. It is no longer “Business Management”, but the governing organ of all institutions of modern society. He was

successful in establishing the Study of Management as a discipline in its own right based on People and Power; Values, Structures and Constitution; and above all responsibilities—that is, the focus was on the Discipline of Management as a truly liberal art.

Drucker believed in business as a human-driven enterprise that could be profitable *and* socially responsible. Among the contemporary management thinkers, Peter Drucker outshined all. He had varied experience and background, which included psychology, sociology, law, and journalism. Through his consultancy assignments, he developed solutions to a number of managerial problems. Therefore, his contributions have covered various approaches of Management. Peter Drucker articulated his ‘management vision’ throughout a lifetime of scholarship, teaching and advising some of the most famous global companies. In all he wrote 39 books and countless other Articles and Write-ups. He influenced and created nearly every aspect of Business Management as an academic and corporate process, including the key concepts of decentralisation, privatisation, and empowerment. Among his numerous sayings, the term “knowledge worker” has become central to our understanding of business culture.

His more important books include; Practice of Management (1954), Managing for Results (1964), The Effective Executive (1967), The Age of Discontinuity (1969), Management: Tasks, Responsibilities and Practices (1974), and Management Challenges for 21<sup>st</sup> Century (1999). From his early beginnings as a financial reporter in Frankfurt, Germany to his pioneering study of General Motors and the Book that made his name—*The Concept of the Corporation*—and his subsequent academic career, Dr. Drucker has changed the way we perceive and look at business. At **Claremont Graduate University**, he helped to develop one of the country’s first Executive MBA Programme for working professionals and later, the Management School that now bears his name.

### Check Your Progress 1

**Note:** i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

1) Give a brief account of Peter Drucker’s career graph.

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2) Discuss the concept of Modern Management.

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## 16.4 MAJOR CONTRIBUTIONS OF PETER DRUCKER

Some of the major contributions of Peter Drucker are as follows:

- ***Nature of Management***

Drucker was against ‘bureaucratic management’ and visualised Management with creative and innovative characteristics. The basic objective of Management is to lead towards innovation. The concept of innovation in his view is quite broad, which includes development of new ideas, combining of old and new ideas, adaptation of ideas from other fields and as a catalyst in encouraging others to carry out innovation. Drucker is generally placed in ‘empirical school of management’. He treated Management as a discipline as well as a profession. As a discipline, Management has its own tools, skills, techniques and approaches. However, Management is more a practice rather than a science. While talking about Management as a profession, Drucker does not advocate treating Management as a strict profession, but only a liberal profession which places more emphasis that managers should not only have skills and techniques, but also the right perspective putting the things into practice. They should be good practitioners so that they can understand the social and cultural requirements of various organisations and countries.

- ***Management Functions***

According to Drucker, Management is the organ of its institution. It has no functions in itself, and no existence in itself. He sees Management through its tasks. Accordingly, there are *three* basic functions of a manager, which he must perform to enable the institution to make its contribution towards:

- the specific purpose and mission of the institution whether business, hospital or university.
- making work productive and the worker achievement-oriented; and
- managing social impacts and social responsibilities.

All these *three* functions are performed simultaneously within the same managerial action. A manager has to act as an administrator, where he has to improve upon what already exists and is already known. He has to act as an entrepreneur in redirecting the resources from ‘seas of tow’ or diminishing results to areas of high or increasing results. Thus, a manager has to perform several functions: setting of objectives, making, organising and motivating. Drucker has attached great importance to the objective of setting functions and has specified *eight* areas where clear objective setting is required. These are: market standing, innovation, productivity, physical and financial resources, profitability, managerial performance and development, worker performance and attitude, and public responsibility. These features are common to the study of public administration and can be studied parallelly.

- ***Restructuring Government***

Drucker was against the bureaucratic structure because of its too many dysfunctional effects. Therefore, he wanted that it should be replaced. He thus emphasised *three* basic characteristics of an effective organisation structure and these are:

- Enterprise should be organised for performance.

- It should contain the least possible number of managerial levels; and
- It must make possible the training and testing of tomorrow's top manager-responsibility to a manager while still he is young.

He identified *three* basic aspects in organising Activity Analysis, Decision Analysis, and Relation Analysis. An Activity Analysis shows what work has to be performed, what kind of work should be put together, and what emphasis is to be given to each activity in the organisation structure. Decision Analysis takes into account the *four* aspects of a decision: the degree of futurity. In the decision, the impact of decision over other functions, number of qualitative factors that enter into it, and whether the decision is periodically recurrent or rare. Such an analysis will determine the level at which the decision can be made. Relation Analysis helps in defining the structure and also to give guidance in manning the structure.

- ***Federalism***

Drucker advocated the concept of Federalism. It refers to centralised control in decentralised structure and decentralised structure goes far beyond the delegation of authority. It creates a new Constitution and new ordering principle. Drucker emphasised the close links between the decisions adopted by the top management on the one hand and by the autonomous unit on the other. In a federal organisation, local management should participate in the decision that set the limits of their own authority. Federalism has certain positive values over other methods of organising.

**These are as follows:**

- It sets the top management free to devote itself to its proper functions.
- It defines the functions and responsibilities of the operating people.
- It creates a yardstick to measure their success and effectiveness in operating jobs; and
- It helps to resolve the problem of continuity through giving the managers of various units education in top management problems and functions while in an operating position.

- ***Management by Objectives***

Management by Objectives (MBO) is regarded as one of the important contributions of Drucker to the discipline of management. He introduced this concept in 1954. MBO has further been modified by Edward C. Schleh, which has been termed as 'Management by Results'. MBO includes methods of planning, setting standards, performance appraisal, and motivation. According to Drucker, MBO is not only a technique of management, but it is a philosophy of managing. It transforms the basic assumptions of managing from exercising to self-control. MBO works from bottom-up as well as from top-down. At organisational level, MBO links objectives of one level to another, and at a personal level, it provides specific performance objectives. MBO programmes have *four* elements: goal specificity, participation, time period and performance feedback for an MBO system to work, The organisational objectives must meet *four* criteria:

- i) They must be hierarchically put from most important to least important.
- ii) Quantification of objectives.
- iii) Specific goals.
- iv) Consistent goals.

Therefore, in order to practice MBO, the organisation must change itself. MBO has become such a popular way of managing that today it is regarded as the most modern Management Approach. In fact, it has revolutionised the management process.

- ***Organisational Changes***

Since rapid changes are occurring in the society, human beings should develop philosophy to face the changes and take them as challenges for making the society better. This can be done by developing dynamic organisations, which are able to absorb changes much faster than static ones. Drucker's contributions have made tremendous impact on the management practices. "Drucker shows certain farsightedness and understanding of the development prospects of modern production when he opposes the view that worker is no more than an appendage of machine. Moved by a desire to strengthen the position of capitalism, he endeavored to give due consideration also to some objective trends in production management. Drucker, therefore, tells the industrialists not to fear a limited participation of the workers in the management of production process. He warns them that if they do not abandon that fear, the consequences may be fatal for them". Drucker is perhaps the only Western management thinker who has attracted so much attention of the Communist World.

- ***Rethinking and Abandonment***

Drucker rejects the concept of downsizing organisations, which could prove fatal in the long run. So he proposes rethinking, which relates to identifying activities that are productive and need to be strengthened, promoted and expanded. He also suggests that there is a need to rethink on the organisational set-up based on activities and suggestions. Peter Drucker coined leadership terms and strategies that are still used today. He advocated a more flexible, collaborative workplace, and the delegation of power across the board. According to Drucker, "Management is doing things right; Leadership is doing the right things". Unlike many early Management Theorists, Drucker thought that subordinates should have the opportunity to take risks, learn and grow in the workplace.

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## **16.5 DRUCKER'S MANAGEMENT THEORY**

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Drucker's Management Theory embodies many modern concepts and these are:

### ***Decentralisation***

Drucker was focused on decentralising management in the workplace. He wanted all employees to feel valued and empowered, like their work and voice mattered. He believed in assigning tasks that inspire workers and bringing supervisors and their subordinates together to achieve common, company goals.

### ***Knowledge Work***

Knowledge workers are those whose jobs require handling or using information, such as engineers or analysts. Drucker placed high value on workers who solved problems and thought creatively. He wanted to cultivate a culture of employees who could provide insight and ideas. Drucker also correctly forecast a decrease in blue-collar workers. Today, there is an increasing number of knowledge workers in the business world.

### ***Management by Objectives***

Drucker conceptualised "Management by Objectives" (MBO) as a process that encourages employees of all levels to work together. Each worker has an equal say,

sharing their own insight and opinions to reach common ground. From there, teams establish shared goals and delegate tasks according to skill sets and interests.

There are *five* steps of MBO:

- 1) Review goals.
- 2) Set objectives.
- 3) Monitor progress.
- 4) Evaluate performance.
- 5) Reward employees.

### ***S.M.A.R.T.***

In his MBO practice, Drucker used S.M.A.R.T., a process coined by George T. Doran, that increases efficiency in work-related tasks. The acronym calls for each objective to be:

- Specific
- Measurable
- Achievable
- Relevant
- Time-oriented

Drucker believed that managers should, above all else, be leaders. Rather than setting strict hours and discouraging innovation, he opted for a more flexible, collaborative approach. He placed high importance on decentralisation, knowledge work, Management by Objectives (MBO) and a process called SMART. Drucker was also of the view that if some of these approaches are adopted then it would lead to better efficiency and output in an organisation. He also upheld the following goals, which he felt every organisation should follow and these are:

- ***Delegate Equal Power across the Board***

It is important that employees respect their manager, they shouldn't feel that they are much subordinate to him. Every worker should have the opportunity to speak up and share ideas with their team, whether it is during staff meetings or one-on-one conferences. When workers are treated as equals, they are more confident and motivated in their work, which benefits the company as much as it benefits them. General discussions should take place between employees and they should feel that their role is as necessary as the top-level decision makers, and realise that they have a say in the organisation.

- ***Encourage Collaboration***

Collaboration is a crucial part of every organisation. Rather than pitting employees against each other, or fostering an environment where employees keep to themselves, they should be urged to work together by sharing ideas, tips and guidance. This does not mean that employees should not work individually, but they should not feel that they cannot ask for help or inspiration from others. There should be team spirit, and the manager should serve as their coach.

- ***Increase Efficiency***

The main aim should be to prioritize productivity, utilise the concept of MBO, a process that calls for workers of all levels to work together to reach a common goal. There are five steps to MBO that have already been mentioned. These goals should be SMART, or specific, measurable, achievable, relevant and time-oriented. The team should get together and discuss the SMART goals to ensure everyone is on the same page and understand their part in the overall objectives of the organisation.

- ***Boost Innovation***

Workers should be confident and willing to take risks. Create an innovative atmosphere and lead by example, showing the employees that mistakes are not shortcomings. The team should see the human perspective and that effort does not always lead to success. If such an atmosphere prevails they should feel more comfortable risking failure. Efforts have to be made to be more transparent with them, support their ideas and never punish creativity.

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## 16.6 APPRAISAL OF DRUCKER'S LINE OF THOUGHT

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Most critics assess the substantive contribution of Drucker's works to the discipline of professional management. Drucker's thought is far more valuable for its *manner* than its *matter*, more so because it has integrative quality. Drucker also appreciates the historical universe of traditions and structures out of which they emerged and the cultural universe of norms and values in which they participate. Also, there is a need to know about the many forms of capitalism that have evolved over time and the particular strengths of each form. One must be aware of competing economic ideologies and their underlying premises. In short, one must be able to recognise the major shifts in human aspirations as well as the fixed limits of human adaptation. Drucker also opines that it is important to supplement an understanding of management with insights from other fields of knowledge, regularly comparing it with the experience of other large-scale organisations and different cultures.

Drucker's thinking rests on an equally broad familiarity of technology. From what he calls the first technological revolution- the appearance in the ancient world of "irrigation cities" and their attendant civilisations- he abstracts a series of lessons that apply with comparable force to the present. Such a revolution, no matter when it occurs, demands major innovation in social and political institutions. Although the form of that innovation must follow the new objective reality created by technological change, the values that shape it and the human ends it has to serve still lie within human control

Many who have read Drucker have argued that his mind gravitates neither to the isolated fact nor to the mechanically causal explanation. Instead, Drucker responds most richly to the kaleidoscopic patterns and configurations among facts and to the process-based explanation of their significance. The same is true of Drucker's analyses of management. For example, his insistence on marketing as *the* essential, ubiquitous task of management attests to a view of business as a process necessarily oriented toward the creation and satisfaction of customers. Similarly, he extrapolates a few ideal patterns from the mass of individual variations of production and organisation principles. In fact, when Drucker writes of the profession of management, he invariably conceives of it as a discipline that teaches its practitioners to identify the constellations of significance in the otherwise chaotic flow of information and circumstance.

Drucker's Concept of Management provides the main stage for achievement of personal freedom and for assumption of responsibility through self-control. If the institutions of business *cannot* meet the cumulative needs of economic performance, society, and the individual, nothing stands between any of us and the forces of chaos and terror. No wonder, then that Drucker puts such great emphasis on the character of managers and on the immense responsibilities they bear. Drucker's core concepts, like "Management by Objectives" have also been criticised for not working effectively. Drucker agreed that Management by Objectives did not always work; however, he believed the causes of failure were in the implementation and were not inherent in the basic procedure. All said and done, Drucker has contributed greatly to the discipline of Management and that in turn has helped Public Administration to carve out certain important principles of administration, which have no doubt helped in the evolution of Public Administration.

### Check Your Progress 2

**Note:** i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

1) Explain Drucker's major contributions to Management.

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2) Discuss Drucker's Management Theory.

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## 16.7 CONCLUSION

Peter Drucker is called the Father of Modern Management. He looked at Management, from the point of view of efficiency, effectiveness, goal-orientation and time specificity. His concepts of Knowledge Work, Management by Objectives, S.M.A.R.T Management, Restructuring Government, Delegation and Decentralisation are relevant for Management even today. Drucker's concepts have been liberally used in public as well as private organisations. Public administration has greatly benefited from Ducker's teachings. His contribution to Management and Public Administration remains unparalleled till date. This Unit discussed Drucker's major concepts and examined their contemporary relevance.

## 16.8 GLOSSARY

**Admiralty Law**

: It is a body of law that governs the private maritime disputes and nautical issues. It consists of both domestic law on maritime activities and private international law governing private use of ocean-going ships.

**Knowledge Worker**

: A person who uses knowledge as capital to perform tasks. Knowledge work is different from the works as it entails convergent and divergent thinking. It involves handling and distribution of information.

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## 16.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

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### Check Your Progress 1

- 1) Your answer should include the following points:
  - Peter Drucker was born in 1909.
  - His writings were influenced by Joseph Shumpeter.
  - Drucker received his PhD in International Law.
  - In 1971, Drucker became a Professor of Social Sciences.
  - At the age of 87, Drucker featured on the cover page of Forbes Magazine.
- 2) Your answer should include the following points:
  - Drucker turned Management into a services discipline.
  - He wrote 39 books and countless other publications.
  - He gave business the status of human enterprise which could be economically profitable and socially responsible.
  - He revolutionised modern business practices, influencing far-reaching developments in the areas of decentralisation, privatisation and empowerment.

- Drucker was among the first to address the emergence of the Information Society, and in 1959, coined the term “knowledge worker”.
- Drucker was of the belief that management has become the constitutive organ and function of the Society of Organisations.

## Check Your Progress 2

1) Your answer should include the following points:

- Nature of Management.
- Management functions.
- Restructuring government.
- Federalism.
- Management by Objectives.
- Organisational changes.
- Rethinking and Abandonment.

2) Your answer should include the following points:

- Decentralisation.
- Knowledge Work.
- Management by Objectives.
- Delegation.
- Collaboration.
- S.M.A.R.T.

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## UNIT 17 YEHEZKEL DROR\*

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### Structure

- 17.0 Objectives
- 17.1 Introduction
- 17.2 Yehezkel Dror: Life and Career
- 17.3 Supra-discipline of Policy Sciences: A Multi-Disciplinary Approach
  - 17.3.1 From Management Sciences to Policy Sciences
  - 17.3.2 From Systems Analysis to Policy Analysis
- 17.4 Knowledge Systems and Policy Sciences
- 17.5 New Features of Policy Sciences
- 17.6 Optimum Utilisation of Policy Sciences
- 17.7 Policy Making in Developing and Developed Countries
- 17.8 Resource Utilisation in Optimal Policy Making
- 17.9 Elements of Policy Sciences
- 17.10 Normative Optimal Model of Policy Making
- 17.11 Critique of Dror's Model
- 17.12 Conclusion
- 17.13 Glossary
- 17.14 References
- 17.15 Answers to Check Your Progress Exercises

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### 17.0 OBJECTIVES

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After reading this Unit, you should be able to:

- Assess the contribution of Yehezkel Dror towards Administrative Thought;
- Understand the different types of knowledge and its relation to Policy Sciences;
- Comprehend the concept of Policy Sciences;
- Highlight the key characteristics of Normative-Optimal Model;
- Describe the important elements of public policy; and
- Examine the policy issues and processes in developing and developed countries.

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### 17.1 INTRODUCTION

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Yehezkel Dror is a pioneer of Public Policy Studies. He has contributed to academics with 15 Books published in 12 languages. He has written immensely on Management, Policy Sciences, Public Administration, Capacities to Govern, Leadership and Security

\* Contributed by Ms. Daisy Sharma, Assistant Professor, Department of Public Administration, University of Rajasthan, Jaipur, Rajasthan.

Issues. His Book 'Public Policy Re-examined' is recognised as a fundamental treatise on Policy Studies. Dror has used integrated and multi-disciplinary approach in the field of Policy Sciences. He uses Policy Analysis, Behavioural Science and Systems Approach in his model of policy making. His writings have left a deep imprint on the latest paradigm of public administration i.e., Public Policy. In this Unit, we will explain the multi-disciplinary approach to Policy Sciences. We will discuss the new features of Policy Sciences with special reference to the Optimal Model of Policy Making. We will also make a critical analysis of Dror's Model.

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## **17.2 YEHEZKEL DROR: LIFE AND CAREER**

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Yehezkel Dror was born in Vienna (Austria) in 1928 and migrated to Israel in 1938. He took his education in Jerusalem at Hebrew and Harvard Universities. He joined the Political Science Department of Hebrew University of Jerusalem, Israel in 1957, where he is, at present, a Professor of Political Science and Wolfson Chair Professor of Public Administration, Emeritus. In his long career, Dror has worked in senior positions in Israeli Government including posts such as Senior Policy Planning Advisor in the Office of the Defence Minister, and the Prime Minister's Office, chairman and member of public service commissions dealing with various policy issues, founder-president of the Jewish People Policy Planning Institute etc. Dror is a recipient of several awards, including First Annual Harold Lasswell Award of Policy Studies ; Thomas R. Dye Award for outstanding service to the Policy Studies Organisation; Landau Prize for outstanding contributions to Social Sciences , Israel Prize in Administrative Sciences for outstanding original scientific and applied work in policy-making, capacities to govern and strategic planning and Rosolio Award for his contributions to the advancement of the study and practice of public administration in Israel.

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## **17.3 SUPRA-DISCIPLINE OF POLICY SCIENCES:A MULTI-DISCIPLINARY APPROACH**

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Dror has argued in favour of the need for bringing dissimilar social sciences disciplines under the umbrella of a supra-discipline called Policy Sciences. Dror has used a multidisciplinary approach in his thinking and writing process. He has been of the view that fast growing information and its abundance has resulted in specialisation. Unity of Command can not do justice with the growing information overload. But at the same time, it is equally necessary that the specialists have broader outlook with multidisciplinary approach. So that they can render effective services to human beings who are surrounded by complex environment with so many factors playing different roles and effecting each other. It was due to his multidisciplinary approach that he rung the death bell of politics-administration dichotomy. He believed that administration is interlinked with its environment, which has varied political, social, economical and cultural aspects. Hence, administration can not be separated from the politics and political environment. They both work in close affinity and influence each other. He replaced this politics-administration dichotomy with Policy Sciences, thus widening the area, scope and importance of public administration, and increasing its relevance in modern times.

### **17.3.1 From Management Sciences to Policy Sciences**

A major contribution of Dror lies in taking away the 'administration' from Management Sciences, hence increasing its utility and providing a separate identity to public administration. Though Dror has used multidisciplinary approach and has himself applied Management Sciences in his writings, he has focused more on Policy Studies. He preferred Policy Sciences over Management Sciences. Dror has stated that under

pressure of complex social issues and with an effort to find their solution, thinkers have been focusing on Management Sciences. No doubt that Management Sciences help in improving economy and efficiency of the organisation, but to solve the social problems, it needs something extra. We can not solve the social problems with the help of Management Sciences because it has many limitations like neglect of institutional contexts, inability to handle political needs, limited innovation capacity, dependence on quantification, and ignorance of strategy choices.

Management Sciences can help in policy making by facilitating unity and rationality in the organisation. However, to solve social issues, it needs a broader orientation. They must incorporate policy analysis to handle complex issues. Firstly, one must be able to analyse not only the organisational needs, but the broader and indistinct needs of the issue. Secondly, there should be changes in the processes, strictness and personnel so that administration can be more prompt, easy, fast, responsive and accountable. These *two* changes mean a “Scientific Revolution” resulting in new set of paradigms oriented towards development of humanity. And this paradigm is only provided by Policy Sciences. Hence, to make public administration more lively and responsive, we must move from Management Sciences to Policy Sciences.

### 17.3.2 From Systems Analysis to Policy Analysis

Dror has observed that development issues of developing countries can not be fully understood with Systems Analysis. For the treatment of basic and critical problems of development administration, we need a broader approach of Policy Analysis. Systems Analysis is only a part of policymaking. According to Dror, Systems Analysis helps in chasing the right inputs by comparing the expected outputs. But in the development issue which lack clear goals, predictable results, value judgements and other qualitative decisions like social change, power attainment, Systems Analysis is not of much help. Moreover, in developing countries we neither have good and sufficient resources like data, tools to analyse it, nor do we have appropriate resource persons or specialists who can analyse the data with innovation, so we need to restructure the government in order to have right Systems Analysis with sufficient data and resource persons. This must be done on a regular basis, so that we can have proper consideration of policy issues on quantitative as well as qualitative fronts.

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## 17.4 KNOWLEDGE SYSTEMS AND POLICY SCIENCES

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According to Dror, a rational policy formulation needs identifying problems and evaluating resources, revising policy production systems and determining policy making strategies. He rejected instrumentalism since we do not have abundance of appropriate knowledge, which is required for policy making. Dror has divided knowledge into *three* levels:

- 1) Knowledge related to control of environment.
- 2) Knowledge related to control of society and individuals.
- 3) Knowledge related to control of controls themselves ;that is meta control.

He has further explained the scope of *three* levels of knowledge and finds that human beings have made significant advancement as far as knowledge about control of environment is concerned. All the scientific and technological development has helped us in a better understanding of the environmental issues and problems. Humankind has also made some progress in control of society and individuals, understanding its relations and problems surrounding it.

The control related to environment is dealt through the domain of science and technology. The control of individual and society is dealt through humanities and social sciences. The control in excess of control is not dealt through anybody. So, when it comes to knowledge about meta control i.e., control of controls themselves, we have the least knowledge about it. We have very less knowledge of the design and operation of the control mechanism itself. Dror calls the overall social control system as “Societal Direction System”. According to him, this domain should become the main focus of Policy Sciences. Dror has observed that growth of knowledge in certain areas and their lack of growth in certain other areas always creates problems. So, every generation should take a total view of knowledge and fill in the gaps. The one-sided, incomplete growth of knowledge is dangerous, as the society loses its capability to manage its affairs if certain sectors grow faster than the other sectors. This situation calls for societal direction systems.

He has further observed that since we lack in social direction system, it affects the human values in society. Due to lack of available knowledge, society is subjected to innumerable stringent controls. Thus, we need to advance our knowledge in societal direction system and integrate it for the betterment of humanity. Dror has observed that apart from increasing our knowledge in the control systems, we need to have a new value and belief system for controlling society. Scientific knowledge to control society is increasing, but it is not creating suitable value systems.

Dror has held that the rapid advancements in the area of science and technology would trigger off changes without supplying the necessary values. Based on this understanding, Dror formulated a law called Dror’s Law: “While human capacities to form the environment, society, and human beings are rapidly rising, policy making capabilities to use those capacities remain the same”. This law suggests that society should be able to have a direction system. This knowledge should also increase the level of rationality among the society so that they can properly use this power to control the humanity. So we need to develop scientific knowledge in the area of policy making.

Dror has described that knowledge about policy making is very crucial and the only answer or solution to social problems. But he knew that there are many difficulties in developing a scientific body of knowledge for policy making. Dror has observed that available knowledge for policy making is fragmented, whereas we need a Multidisciplinary Systems Approach. Whatever research is done is done at a micro level. It is focused more on instrumentalism and not on creativity. It has neglected many critical elements like politicians, political institutions, which have a critical role in policy making. Dror has maintained that to add scientific fervor, researchers have focused on rationality but have ignored extra rational factors like intuition, gut feeling, creativity etc. He has also stressed on the dichotomy between behavioural and normative approaches, as there is for a need a complimentary mix of both for solving practical problems.

### Check Your Progress 1

**Note:** i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

1) Why do we need Policy Sciences instead of Management Sciences to solve social issues?

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2) List the *three* types of knowledge listed by Y. Dror.

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## 17.5 NEW FEATURES OF POLICY SCIENCES

Dror has observed that some interest in Policy Sciences emerged due to persistent problems and the efforts required to look for solutions. The growing interest of social scientists further gave it a boost. To strengthen the little efforts in the policy making so far, Dror has suggested some new features of Policy Sciences:

- Policy Sciences should primarily relate to macro-control systems. It should cover all aspects, which can help in understanding of societal direction system like policy analysis, policy evaluation and feedback, improvement of meta policy etc.
- Policy Sciences should have a multidisciplinary approach. It should include Behavioural Science, Physical and Life Sciences, Systems Approach, practically everything that is relevant to the issue concerned.
- Policy Sciences, should do away with the gap between pure and applied research. It should accept both tacit knowledge, personal experience and source of knowledge.
- Dror has argued that since Policy Sciences deal with social issues, it can not be a value free science. So it must find operational theory of value by working upon value implications, value consistencies and value costs.
- Policy Sciences should not only focus on the historic development, but also try to predict the future.
- Policy Sciences uses not only rational knowledge, but also extra-rational processes and irrational processes.

## 17.6 OPTIMUM UTILISATION OF POLICY SCIENCES

Dror in his Book, “Ventures in Policy Sciences”, has maintained that such policy making arrangements are needed, which can assure that knowledge of Policy Sciences will be correctly appreciated and taken into account. We need to have arrangements that assure that its under-utilisation and over-utilisation are avoided. There is a need for:

- Pervasive utilisation of Policy Analysis for consideration of issues, exploration of alternatives and clarification of goals.

- Encouragement of explicit mega-policy decisions, as distinct from discrete policy determination.
- Encouragement of comprehensive mega-policies, in which discrete policy issues are measured within a broader context of basic goals, postures and directives.
- Systematic evaluation of past policies in order to learn from them for the future. Special structures and processes should be intended to encourage better consideration of the future in modern policy making.
- Search for methods and means to encourage creativity and invention in respect to policy issues.
- Establishment of a multiplicity of policy research organisations to work on main policy issues.
- Development of extensive social experimentation, designs and institutions able to engage in social experimentation.
- Advancement of citizens' participation in public policy making. The necessity of Policy Sciences leads to development of new formats for presenting and analysing public issues in the media.

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## 17.7 POLICY MAKING IN DEVELOPING AND DEVELOPED COUNTRIES

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Yehezkel Dror in his Book, "Public Policy Re-examined" (1968) has talked of the policy making process in the developing and developed countries. According to him, in developing States, policy making is based on inheritance and legacy. Policy strategy is not consciously determined. There is lack of systematic institutional arrangements for learning feedback. In some of the cases, just trial and error methods are applied. It is very hard to ascertain the real output of a policy due to lack of proper methods and infrastructure.

Voters have rather insignificant role to play in policy making. Role of intellectuals is also limited. Legislatures have a secondary role to play in policy making as political executive is stronger. Acute shortage of manpower badly affects the policy making system. There is lack of proper knowledge and information with those who are part and parcel of the process. The optimal excellence of policy making is much low as policy making is of an average quality.

Policy making process in developed States is realistic, having economic and political feasibility. Prioritisation of values and operational goals are well-spelt out. Intense search for policy alternatives is made. Separate institutions exist in some of the countries for the purpose of undertaking long-range policy-making surveying; knowledge for handling research and development of policy making. In democratic systems, the voters exert important power on policy makers through elections. The intellectuals play a major and substantive role in policy making. The Heads of the Governments have prominent and most significant role to play in policy making. Legislature as an institution has a major role to play in policy-making in democratic systems and a minimal role in dictatorial systems. Political parties have a crucial place of importance in policy making. Though the interest groups have a narrow and conditioned attitude towards values and goals, yet they perform a significant role in policy making. The professional civil service is developing as a major contributor to policy making process. Policy making in developed States is up to the mark for ensuring their survival and satisfying the genuine needs and wants of the population.

**Check Your Progress 2****Note:** i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

1) What are the new features of Public Policy as suggested by Dror?

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2) How can we achieve optimum utilisation of Policy Sciences?

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3) Explain the features of policy making in developed countries.

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**17.8 RESOURCE UTILISATION IN OPTIMAL  
POLICY MAKING**

The policy involves possessions used for its formulation and implementation. In the words of Dror (*op.cit.*), “Optimal public policy creation necessarily specifies and evaluates its possessions just as it does its troubles: Optimal meta policy creation must systematically and periodically scan present and future possessions and troubles; make an estimate of the potential payoff of possessions through using both knowledge and intuition; explicitly evaluate the supply of and demand for each resource; and specify needs for additional possessions and further the development of new possessions”.

The possessions used for any policy, whether in conditions of money, manpower or infrastructural or formulation facilities should be quantified in terms of money. The benefit to resource outcome should always be more than the resources used. If a policy takes more resources than it produces, then the policy does not have a positive impact. While attempting to know the impact of the policy vis-à-vis the possessions used, we must try to discover ‘which, where and how’ has a given scrupulous resource used not provided desired results or has been used more than required. Such information would give enough feedback to have a check in future and to rectify the error.

## 17.9 ELEMENTS OF POLICY SCIENCES

There are certain elements, which should be the standard characteristics of a policy formulating method. It helps us to understand the dynamics of several policy making approaches and models proposed. Yehezkel Dror has listed *nine* such elements in his Book. These are:

- There should be clarification of values, objectives, and criteria for decision making. The method should contain identifying the alternatives, with an effort to consider new alternatives (through surveying comparative literature, experience, and accessible theories) and to stimulate making of many alternatives.
- The method should contain preliminary estimation of expected payoffs from the several alternatives, and decision whether a strategy of minimal risk or innovation is preferable.
- If the first expected payoffs are considered, the incremental-change model should be followed. If the issue is of minimal risk or of innovation, the after-step is establishing a cutoff horizon for considering the possible results of alternative policies, and identifying the major expected results, relying on accessible knowledge and intuition.
- Analysis of the alternatives should deal with both quantitative (“economic”) and qualitative (“political”) factors, in order to overcome the limitations of current Systems Analysis and advance toward Policy Analysis.
- The method should contain an effort to decide whether the issue is significant enough to render more comprehensive analysis worthwhile.
- Theory and experience, rationality and extra rationality, will all be relied upon; the composition of the mix necessity depend upon their availability and on the nature of the problem.
- Explicit techniques, such as Simulation and the Delphi methods, should be used as much as possible, as they are appropriate, and knowledge from several disciplines should be brought to bear on the issues involved.
- The method should contain explicit arrangements to improve policy making through systematic learning from experience, stimulating initiative and creativity, developing the staff, and encouraging intellectual efforts.

### 17.10 NORMATIVE OPTIMAL MODEL OF POLICY MAKING

In public policy, models constitute frameworks through which the problems faced and processes involved in the making of public policies are analysed. According to Dror, Lindblom’s Incremental Model is conservative and unsatisfactory. He finds that Incremental Approach is unjust because it creates gap between those who have little power and those who have more power. People with little power face difficulties in bringing change. He criticised Lindblom’s Approach, as he felt that partial change as a solution to a problem is not possible as the inertia of the previous problem or the bigger problem will still persist and eat up these small and insignificant changes. One of the limitations of the Incremental Model is the absence of the dynamic equation of power and how it impacts the policy making process. He suggested a combination of rational factors as well as extra-rational factors linked with the decision and situation. He suggested

a qualitative approach through a feedback mechanism. He was also in support of studying decision making as a subject of Social Sciences and making it interdisciplinary, where knowledge and techniques from other Social Sciences subjects can be mixed and applied to decision making to broaden its scope and achieve maximum results.

Dror has hence adopted a ‘normative-optimal’ model, which maintains the elements of rationality as prescribed by Simon, however he is practical in understanding the role of tacit knowledge and experience in the process of policy making. Dror’s concept of ‘normative optimalism’ argues that policy analysis must acknowledge that there is a role of extra-rational understanding based on tacit knowledge and personal experience with the motive to induce decision makers to expand their thinking to deal with this complex world. Thus, this model adopts not only the economic efficiencies of cost and benefit analysis, but also is influenced by value judgements, tacit bargaining and coalition formation skills. His model is less prescriptive; it rather provides a framework to analyse policy in a given context. Basically, Dror’s Optimal Model is a combination of economically rational model and extra-rational model.

We can say that Dror’s Normative-Optimal Model accepts:

- i) Need for Rationality.
- ii) Need for introduction of management techniques for increasing rationality of decision making at lower levels.
- iii) Policy Sciences Approach to deal with complex problems requiring decisions at higher levels.
- iv) Need to take account of values and irrational elements in decision making.

In short, the Model has the following characteristics:

- Qualitative.
- Includes rational, extra-rational elements.
- Concerned with meta-policy making.
- Contains inbuilt feedback.

The main purpose of Dror has been to enhance the rational content of government and build into his model the ‘extra rational’ dimension of decision making. He says, “What is needed is a model which fits reality, while being directed towards its improvement also, which can be applied to policy making while motivating a maximum effort to arrive at better policies”. Thus, Dror proposes a modified form of rational model, which can move policy making in a more rational direction. He argues that the aim of analysis is to induce decision makers to expand their framework to deal better with the complex world.

This Model consists of around 18 steps divided into the following *three* stages:

- Meta-policy Making Stage.
- Policy Making Stage.
- Post-policy Making Stage.

The Meta-policy Making Stage concerns itself mainly with processing values, the policy making stage with allocation of resources and post-policy making stage with the execution of policy. By this approach, Dror seeks radical reform of the public policy

making process. Thus, in place of a purely rational model, Dror offers a more complex Model of 18 stages listed as below:

### Meta-policy Making Stage:

- 1) Processing values.
- 2) Processing reality.
- 3) Processing problems.
- 4) Surveying, processing and developing resources.
- 5) Designing, evaluating and redesigning the policy making system.
- 6) Allocating problems, values and resources.
- 7) Determining policy-making strategy.

### Policy Making Stage:

- 8) Sub-allocating resources.
- 9) Establishing operational goals, with some order of priority.
- 10) Establishing a set of major alternative policies including some 'good ones'.
- 11) Preparing a set of major alternative policies, including some 'good ones'.
- 12) Preparing reliable predictions of the significant benefits and cost of the various alternatives.
- 13) Comparing the predicted benefits and costs of the various alternatives and identifying the 'best' ones.
- 14) Evaluating the benefits and costs of the 'best' alternatives and deciding whether they are 'good' or not.

### Post-policy Making Stage:

- 15) Motivating the execution of policy.
- 16) Executing the policy.
- 17) Evaluating policy making after executing the policy.
- 18) Communication and feedback channels interconnecting all phases.

Normative Optimism combines both descriptive and prescriptive approaches. According to Dror, there is a need to bring about changes in the personnel, and in structure and process, as well as in general environment of policy making. Thus, Dror's Model aims at analysing the real world, which involves values and different perceptions of reality, and has created an approach, which combines core elements of the Rational Model with extra-rational factors.

### Check Your Progress 3

**Note:** i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

- 1) Explain the elements of public policy.

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2) What are the main features of Dror's Normative Optimal Model?

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3) Explain the *three* stages of Dror's Policy Making.

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## 17.11 CRITIQUE OF DROR'S MODEL

Dror has been of the view that improving public policy making process is necessary for human progress, but he has given limited attention to 'public' in his model. Dror has combined both rational and extra-rational elements in his Model, but has not given any strategy for the same. His Model is quite useful not in terms of prescription dimension but in terms of the framework in which he analyses the public policy. However, he only looks at a bird's eye view of policy as a top down process and has no recognition of public engagement in the policy making process.

Dror is also a critique of the Specialist vs. Generalist issue. He has found it a meaningless controversy plaguing public administration. He has observed that in the past, due to country's class structure and educational system, we have had administrators with these clusters of attributes. Now, changes in socio-economic conditions, advances in knowledge and teaching of Social Sciences and Systems Approach and Analysis make it possible to educate professionals who can deal with problems in a broad, innovative and open-minded way"— experts in generalism". Similarly, new patterns of civil service management for example, rotation and exchange of positions may do away with rigid careers based on perpetuating Specialist-Generalist assumptions. Thus, we need to develop new types of public administration professionals and achieve a synergetic mix between varieties of differently qualified persons.

## 17.12 CONCLUSION

Yehezkel Dror, in his Book, 'Public Policy Re-examined', has observed, "A sudden transformation of the public policy making system is not possible; neither am I advocating one. Improving public policy making is and needs to be a continuous endeavour, requiring sustained effort in excess of a long period. The most harmful effect of the incremental-change argument (which devices the possibility that important improvement could be made in public policy making through some innovative jumps) is that it paralyses efforts, and therefore tends to be self-fulfilling prophecy". Dror has advocated for adoption of best policy by a judicious evaluation of goals, values, alternatives, costs, benefits based on maximum use of available information and scientific technology.

Dror has consistently been of the view that a long-term strategy to improve public policy-making is necessary for human progress. Dror seems to have very little regard for the public in policy-making. To quote Dror (1989): "But if the success of democracy depended on the people's ability to judge the main policy issues on their merits, then democracy would surely have perished by now". It may be of relevance to point out that the real strength of Dror's analysis is not in terms of the prescription dimension of his model, but more so in the framework, as it provides to analyse the policy making process. This Unit gave us an idea of Dror's viewpoints on Policy Sciences, the elements of Policy Sciences and resource utilisation in optimal policy making.

## 17.13 GLOSSARY

- Generalists** : Generalists in public administration are persons who possess knowledge, aptitude and skills to do a variety of tasks across departments and administrative fields. They do not possess specialised knowledge for any specific task or field.
- Incremental Model** : This Model is based on incremental decision making. It believes that decision cannot be totally based on rationality, as complete facts and knowledge are rarely available with decision-makers. Propounded by Charles Lindblom, it espouses smaller number of alternatives and consequences at each stage. It breaks down decision-making into small steps. Policy making is dependent on simplicity and flexibility.
- Rationality** : In Weber's words 'rationality' is increasingly concerned with efficiency; achieving maximum results with minimum efforts. It is a state of being rational, based on agreement with reason. Rationality is relative. Amitai Etzioni has observed how purposive reasoning is subordinated by normative considerations.

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## 17.15 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

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### Check Your Progress 1

- 1) Your answer should include the following points:
  - Complicity of social sciences calls for Policy Sciences.
  - Other reasons of shift from Management Sciences are: neglect of institutional contact, mobility to handle political needs, limited innovation ability and governance of strategy choices among others.
- 2) Your answer should include the following points:
  - Knowledge related to environment.
  - Knowledge related to control of society and individuals.
  - Knowledge related to control of controls themselves.

### Check Your Progress 2

- 1) Your answer should include the following points:
  - Macro control systems.
  - Multi-disciplinary Approach.
  - Both tacit knowledge and personal experience.

- Value-laden social sciences.
- Prediction of future.
- Extra-rational processes.

2) Your answer should include the following points:

- Pervasive utilisation of policy analysis.
- Encouragement of explicit mega policy decisions.
- Encouragement of comprehensive mega policies.
- Systematic evaluation.
- Citizens' participation.
- Multiplicity of research.

3) Your answer should include the following points:

- Legislature has a major role.
- Interest groups have an attitude.
- Professional service.
- Separate institutions for policy-making.

### Check Your Progress 3

1) Your answer should include the following points:

- Preliminary estimation of expected pay offs.
- Following an Incremental-change Model
- Analysis of quantitative and qualitative factors.
- Reliance on rationality and extra-rationality.
- Use of Simulation and Delphi Methods.
- Stimulation of initiative and creativity.

2) Your answer should include the following points:

- It finds incremental approach unjust.
- Combination of rational and extra-rational factors.
- Qualitative approach through feedback mechanism.
- It is influenced by value judgements.
- It deals with complex problems.
- Concerned with meta-policy making.

3) Your answer should include the following points:

- Meta-policy Making Stage.
- Policy Making Stage.
- Post-policy Making Stage.

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