PUBLIC ADMINISTRATION

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Chapter one

Introduction to Public Administration

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Introduction to Public Administration

Nature and Scope of Public Administration

Administration as an activity is as old as society itself. Ancient gave more importance to the concept of administration and its contribution on a large scale in the governing system; it dealt with every aspect of the state and its relation to the subjects of the state. Public Administration is state mechanism. In every Political System, the administration of people and systems has significant roles.

As an area of study it originated, with the publication of Woodrow Wilson's essay on "Study of Administration" in 1887. As a process, administration takes place in both public and private organizations in diverse institutions such as settings as business firms, labor unions, religious or charitable organizations, educational institutions, sales and marketing enterprises etc. Its nature is affected by

the sphere with which it is concerned. Administration is commonly divided into two types, Public and Private Administration

Administration is the organization and management of human and physical material resources to achieve a desired goal. Administration has been defined as a cooperative effort towards to achieve some common goal. Before discussing the meaning, definition, nature, scope and importance of public administration, the words administration, organization and management must be studied, as these terms are often used interchangeably and synonymously. It is pertinent to know the distinctions of these three terms.

According to William Schulze **administration** is the force, which lays down the object for which an **organization** and its **management** are to strive and the broad policies under which they are to operate

An **organization** is a combination of the necessary human beings, materials, tools, equipment and working space,

that are brought together in systematic and effective co-relation to accomplish a desired objective.

Management must lead, guide and direct an **organization** for the accomplishment of pre-determined objectives.

To put the above in simple terms, administration sets the goal, management strives to attain it and organization is the machine of the management for the attainment of the ends determined by the administration. Some scholars have a different view about the administration and management.

According to Peter Dracker, management is associated with business activity, which has to show economic performance, whereas administration is associated with the non-business activities such as activities of the Government.

The other view is that administration is associated with performing routine things in known settings in accordance with certain procedures, rules, and regulations. The Management is associated with performing functions like risk-taking, dynamic, creative and innovative functions. Some

scholars of Public Administration are closely associated with the first view that is, administration is a determinative function. Management, on other hand is an executive function that is primarily concerned with carrying out the broad policies laid down by the administration. Organization is the machinery through which coordination is established between administration and management.

1. Meaning of Public Administration Definition:

Naturally administration implies to bring an institution under proper and fruitful management. So administration may mean a **fruitful management**. The word **fruitful** means every work is done with a definite purpose. Public administration means that type of administration (or management) which is especially related with the public and public means all people living in a definite area.

The word Administration has been derived from the Latin words 'ad' and 'ministiare' which means 'to serve'. In simple language it means the 'management of affairs' or 'looking after the people'. Administration can be broadly defined as the activities of groups of people co-operating to accomplish common goals. It is a process of management which is practiced by all kinds of organizations ranging from the household to the most complex system of the government. Administration, according to Leonard Dupee White was a "process common to all group effort, public or private, civil or military, large scale or small scale".

Public administration is centrally concerned with the organization of government policies and programmers as well as the behavior of officials (usually non-elected) formally responsible for their conduct. Generally, Public Administration has been used in two senses. In the wider sense it includes all the activities of the government whether falling in the sphere of legislature, executive or judicial branch of the government, in the narrow sense Public Administration is concerned with the activities of the executive branch only

Public Administration is about:

1. Decision making.

2. Planning the work to be done.

3. Formulating objectives and goals.

4. Working with the legislature and citizen organizations to gain public support and funds for governmental programs.

5. Establishing and revising organization.

6. Directing and supervising employees.

7. Providing leadership.

8. Communicating and receiving communications.

9. Determining work methods and procedures.

10. Appraising performance.

11. Exercising controls and other functions performed by government executives and supervisors.

12. The action part of the government, the means by which the purposes and goals of the government are realized.

     Broadly speaking, the term administration appears to bear at least four different meanings depending on the context in which it is used:

a. **As a Discipline**: The name of a branch of learning or intellectual discipline as taught and studied in colleges and universities.

b. **As a Vocation**: Type of work/trade or profession/occupation, especially one that involves knowledge and training in a branch of advance learning.

c. **As a Process**: The sum total of activities undertaken to implement Public Policy or policies to produce some services or goods.

d. **As a Synonym for word meaning Executive or Government**: Such a person or group of persons in supreme charge of affairs, which could be head of a nation, state, or any other body.

Public Administration: The words public administration is the combination of two words - public and administration. In every sphere of social, economic, and political life there is administration which means that for the proper functioning of the organization or institution there must be proper rule or management and from this concept emerges the idea of administration.

Significance of Public Administration:

- It is the basis of modern society.
- It provides stability to society. So it is stabilizing force of society.
- It participates in policy formation, policy implementation & policy evaluation.
- It provides protective cover to society.
- It provides facilitative functions such as good education, clean, green, safe environment, good living conditions, etc.
- It manage public enterprises.
- It works to connect people with it as it cannot work without the participation of people.
- It promote science, technology, culture, education &research.
- It is an instrument for socio-economic change, E.g., poverty alleviation
- Socio-economic changes come on direction of executives.

Gerald Caiden in The Dynamics of Public Administration writes that significance of the public administration has been increasing in contemporary modern society. **The significance of public administration can be mentioned as follows:**

- Preservation of the polity.
- Maintenance of the stability and order.
- Institutionalization of socio-economic changes.
- Management of large scale commercial services.
- Ensuring growth and economic development.
- Protection of the weaker sections of the society.
- Formation of public opinion.
- Influencing public policies & political trends.

Nature of Public Administration: There are two divergent views regarding the nature of the Public administration. In simply the nature of Public Administration deals the execution. These views are:

- **Integral View**: According to this view, Public administration is a sum total of all the activities undertaken in pursuit of and in fulfillment of public

policy. These activities include not only managerial and technical but also manual and clerical. Thus the activities of all persons from top to bottom constitute administration although they are of varying significance to the running of administrative machinery. Prof: L D White adopts this view of Public administration. According to him, Public Administration 'consists of all those operations having for their purpose the fulfilment or enforcement of public policy'. This definition covers a multitude of particular operations, many in fields. Another scholar Marshall E Dimock also shares the same view. He holds that administration is concerned with the 'what' and 'how' of a government works. The 'what' is the subject matter, the technical knowledge of a field which enables the administrator to perform his/her tasks. The 'how' is the technique of management, the principles according to which cooperative programs are carried to success.

- **Managerial view:** According to this view, the works of only those persons who are engaged in the performance of managerial functions in an organization constitute

administration. In this managerial view the administration has the functions of planning, programming and organize all the activities in an organization so as to achieve the desired ends. Luther Gullick and Herbert Simon subscribe this view. Gullick says 'Administration has to do with getting things done; with the accomplishment of defined objectives.

Scope of Public Administration:

In modern times Public administration has a pivotal role. There are many discussions about the scope of Public Administration, some scholars are argued that in the Neo-liberal time the scope of Public administration is very less and Private administration have growing importance. The scope   of Public administration deals in many ways.

The modern state cannot confine its field of activities to only maintenance of law and order, dispensation of justice, collection of revenue and taxes. The modern state is expected to provide more and more services and amenities to the people. This results in tremendous growth in the responsibilities of the government as well as in the

administrative machinery of the state. Naturally the scope of public administration is increased.

- **Public Administration and People:**

    Public Administration is an organizational effort needed for a close relation to people. In every administrative system they have good relations between people and administrative agencies. It influenced the day to day life of the common people.

- **Public Administration and Democracy:**

    In a democratic political system, the scope of public administration is related in many ways. It has close links to people and at the same time it becomes the watchdog of the political system. The modern democratic state gave importance to the welfare principle that governs modern democracy. In a welfare democracy, effective administration is essential. There are many other reasons also that contribute to the scope of Public Administration.

    o Development of Communication and Technology.

    o The Development of Neo-Liberal State.

    o The concept of Participatory Development.

    o Good Governance.

- o E-Governance.

- o Environmental concerns.

- o Human rights approach.

- o New Social Movements and State.

There are three perspectives to the scope of Public Administration.

Three Perspectives

| Narrow Perspective Or POSDCORB | Board Perspective | Prevailing view divides the scope in two parts |

Narrow Perspective Or POSDCORB

1. Planning
2. Organisation
3. Staffing
4. Directing
5. Co-ordination
6. Reporting
7. Budgeting

Exponent-Luther Gullick
view – Technique
Oriented

Board Perspective

1. Covers all three branches of the govt.
2. Like a cooperative group
3. Part of political process exponent – Woodrow Wilson
View – Subject Oriented

Administrative Theory
1. Organisational Theory
2. Behaviour
3. Public personal Administration

Applied administration
1. Political functions
2. Legislative
3. Financial
4. Defence
5. Educational
6. Social Welfare
7. Economic
8. Foreign Administration
9. Local

Narrow perspective or POSDCORB perspective: Luther Gullick is the main exponent of this perspective. According to him the scope of public administration is narrow or limited. It is also regarded as POSDCORB view. He insists that the Public Administration is concerned only with those aspects of administration which are related with the executive branch and its seven types of administrative functions. These seven types of functions show the scope of Public Administration:

- **'P' stands for Planning**: which is the first step of Public Administration. i.e. working out the broad outline of the things that need to be done.
- '**O' stands for Organization** and it means establishment of the formal structure of authority through which the work is subdivided, arranged and coordinated for the defined objective.
- 'S' stands for Staffing is for the recruitment and training of the staff and maintenance of favourable conditions of work for the staff.

- 'D' stands for Directing is the continuous task of making decisions and embodying them in specific and general orders and instructions, and thus guiding the enterprise.

- **'Co' stands for Co-ordination** – It means interrelating the various parts of organization such as branches, divisions, sections of the work and elimination of overlapping.

- 'R' stands for Reporting – It means informing the authority to whom the executive is responsible as to what is going on.

- 'B' stands for Budgeting – It means accounting, fiscal planning and control.

The POSDCORB Perspective about the scope of Public Administration is limited and narrow. It stresses on the tools of Public Administration. It does not show the substance of administration. It is a technique-oriented perspective, and not subject oriented.

Broad perspective or subject-oriented perspective Prof. Woodrow Wilson and **L. D. White** are the main exponents of this perspective. They have taken a very broad

approach about the scope of Public Administration. According to them

a) Public Administration covers all three branches of the government. Legislative, Executive and Judicial and their interrelationship. Legislative organ makes the laws, Executive organ of the government implements the laws and the judicial organ of the government interprets the laws. There is interrelationship between these three organs.

b) Public Administration is like a cooperative group. It consists of all from class one officer to class four employees.

c) Public Administration is a part of the political process. It has an important role in the formulation of public policy at all levels, from national to grassroots. It is closely associated with numerous private groups and individuals in providing services to the community. It has been influenced in recent years by the human relations approach.

Prevailing view divides the scope of Public Administration into two parts:

1. Administrative theory: It includes the following aspects:

- **Organizational Theory** –The Structure, organization, functions and methods of all types of public authority

engaged in administration, whether national, regional or local and executive.

- **Behavior** – The functions of administrative authorities and the various methods appropriate to different types of functions. The various forms of control of administration.

- **Public Personal Administration** – The problems concerning personnel e.g. recruitment, training, promotion, retirement etc. and the problems relating to planning, research, information and public relation services.

2. Applied administration: It includes the following aspects:

- **Political functions –** It includes the executive – legislative relationship, administrative activities of the cabinet, the minister and permanent official relationship.

- **Legislative function –** It includes delegated legislation and the preparatory work done by the officials in connection with the drawing up of bills.

- **Financial functions –** It includes total financial administration from the preparation of the budget to its execution, accounting and audit etc.

- **Defence –** Functions relating to military administration.
- **Educational function –** It includes functions relating to educational administration.
- **Social welfare administration –** It includes the activities of the departments concerned with food; housing, social security and development activities.
- **Economic Administration –** It is concerned with the production and encouragement of industries and agriculture.
- Foreign administration – It includes the conduct of foreign affairs, diplomacy, international cooperation etc.
- Local administration – It concern with the activities of the local self-governing institutions.

Private and Public Administration

Public and Private Administration: Private administration is a concept newly emerged one. Private Administration challenged the development of Public Administration. After the 1970s the term private administration gained immense

importance. There are many differences between these administrations. The most apparent difference between the two sectors is their organizing principles or goal. Another factor that makes the public sector different from the private sector is decision making.

Private Administration	Public Administration
Has a definite mission, which is the pursuit of profit or stability or growth of revenues.	Has ambiguous purposes. This dilemma in ambiguity of purposes is exacerbated by many unnecessary and inoperable agencies, with purposes that overlap and bloated bureaucracies.
The decision-making is much simpler – it is monopolistic or close to monopolistic. This type of decision-making would avoid any conflicts in interest; hence, the goal is clearly defined.	The decision must be and should be pluralistic. The founding fathers intentionally created a democratic republic where all key decisions are made in politicized environment. This allows for maximum participation such as open debate, multiple veto points and a decision making hierarchy where consensus must be achieved at each level, ideally, an informed decision.
It mainly functioned on the basis of profit motive.	It is not characterized solely by profit motive.
There is no legality; the owner's judgement is the only consideration	It is strictly in accordance with certain legal safeguards in a manner to sustain the confidence and trust of the general public.
Strictly follows time factor.	It is not concerned about the time factor.

Private Administration	Public Administration
Focused to the efficiency, transparency, accountability and credibility	These functions only at a nominal level.

Public Administration and other Social Sciences, Arts and Science

Public Administration a Science or an Art: Is public administration a science or an art? The answer to this question matters greatly to state building, because good public administration is the key to effective governance.

- If public administration – the organization and management of individual public agencies – is a science, then presumably it can be transferred to developing countries much like knowledge of how to maintain jet aircraft or operate a factory.

- If public administration: is an art subject, then teaching good public administration and setting up competent public agencies will be much more problematic.

There is no optimal form of organization, either in the private sector or among public sector agencies. The absence of globally valid rules for organizational design and management means that public administration will be more of an art than a science. This implies that most good solutions to public administration problems, while having certain common features of institutional design, will not be clear-cut "best practices" because they will have to incorporate a great deal of context-specific information. Theorizing about organizational design has been dominated by economists in recent years, who have sought to incorporate organizations into broader microeconomic theory. This effort has yielded certain important and useful insights into public sector reform. But in the end, the behavioral assumptions on which

neoclassical economics rests – in particular, the assumption that people in organizations are motivated primarily by individual self-interest--are too limited to provide understanding of key aspects of organizational behavior. This line of thought has eclipsed earlier,

more sociological understandings of organizations and has obscured some important insights of that tradition.

Institutional Economics and the Theory of Organizations: For all of its richness and complexity, a huge amount of organizational theory revolves around a single, central problem: that of delegated discretion. The conundrum of organization theory is that while efficiency requires the delegation of discretion in decision-making and authority the very act of delegation and supervision. Observes one leading organization theorist.

Because all information **cannot be moved to a central** decision maker, whether a central planner in an economy or the CEO in a firm, most decision rights must be delegated creates problems to those people who have the relevant information. The cost of moving information between people creates the ne**cessity for decentralizing some** decision rights in **organizations** and the economy. This decentralization in turn leads to systems to mitigate the control problem that results from the fact that self-interested people, with **their own self-control problems** who exercise decision rights as agents on behalf of others will not behave as perfect agents.

Berle and Means **recognized** long ago that the divorce of ownership from management in modern corporations created significant corporate governance problems.

- The problem of delegated discretion is currently conceptualized by economists under the rubric of "principal-agent" relationships, something that has become the overarching framework for understanding governance problems.

- The owners, or principals, designate managers, or agents, to look after their interests, but the agents often face individual incentives that differ sharply from those of the principals. This is a problem with all forms of hierarchical organization, and can exist at multiple levels of the hierarchy simultaneously. Jensen and Meckling introduced the concept of agency costs, which were the costs that principals had to pay to ensure that agents did their bidding.

- These costs included the costs of monitoring agent behavior, bonding the agent and the residual losses that occurred when the agent acted in ways contrary to the interests of the firm.

New Public Administration

New Public Administration (NPA): The 1960s and 1970s were periods of turbulence, and instability in public administration. The earlier dogmas of public administration 'economy' and 'efficiency' were found inadequate and incomplete objectives of administrative activity. It began to be said that efficiency is not the whole of public administration. Man is the center stage of all administrative activity who cannot be subjected to the mechanical test of efficiency. The term New Public Administration was used to describe new trends in administration.

Towards a New public Administration, the MinnowBrook Perspective was a book edited by Frank Marini and published in 1971 and *Public Administration in a Time of Turbulence* wasedited by Dwight Waldo and published simultaneously gave seeds of the concept of new public administration. The

major   factors   for   the

emergence of new public administration were the following:

a. Philadelphia Conference.

b. Minnow Brook Conference.

Features of New Public Administration

Change and Administrative Responsiveness: The social, political, economic and technological environments are changing rapidly. Administrative organizations should therefore, develop clear criteria by which the effectiveness and relevance of their decisions and actions can be judged in the changing context. Rationality: In Public Administration there is a good deal of emphasis on rationality as the main criterion for   administrative dimensions and actions. But this rationality really refers to the rationality of, the administrator and not as people would interpret it. The administrator needs to consult the citizens as well, not only about what is proposed to be done but also about what ought to be done and by whom it should be done.

Management-Worker Relations: It is true that the human relations approach within an administrative organization enhances both morale and productivity (efficiency) among employees but these **are not to be the end** in them. The main objective **should be the satisfaction** of the citizens with the performance and attitudes of the administrative employees whose morale and productivity would have risen due to any human relations approach within an organization.

Structures: There is a need to adopt a dynamic approach to organizational structure. Appropriate decentralization of authority and modification of hierarchies of control and subordination for instance, need continuous review so that the structure becomes relevant to the changing needs of environment.

Goals of New Public Administration: New Public Administration literature has stressed four important goals and they are:

- Relevance
- Values.
- EquityChange.

Relevance: Public Administration has always emphasized efficiency and economy. Public Administrationis criticized as having little to say about contemporary problems and issues. At the Minnow Brook Conference, the participants focused attention on the need for policy-oriented. Public Administration must explicitly deal with the political and normative implications of all administrative actions.

Values: New Public Administration is explicitly normative. It rejects value concealing behaviouralism as well as procedural neutrality of traditional Public Administration. The participants at the Minnow Brook Conference clearly espoused that value neutral Public Administration is virtually impossible. They emphasized that public officials have to advocate the interests of the disadvantaged people.

Social Equity: Public Administration is indicated as an instrument of status quo, which denies social justice to the less privileged groups. Leaders of the New Public Administration emphasize the principle of social equity but considered welfare-oriented administration.

Change: Achievement of social equity requires promotion of change by the public administrators. Change is necessary to prevent Public Administration from coming under the dominance of powerful interest groups. New public administrators should regard change as a constant fact of administrative life.

Development Administration (DA): The term 'Development Administration' (DA) was first coined by U L Goswami in 1955.However the term was popularized by F W Riggs, Joseph La Palambara etc. The emergence of welfare state and the end of colonial era are the two significant factors contributed to the concept. The third world countries were moved from underdevelopment to development, these countries face many problems during this time.

Development administration is focused on their administrative problems. Development administration is the process of guiding an organization towards the achievement of progressive political, economic and social objectives that are authoritatively   determined

in one manner the other. Development administration is concerned with following matters.

- The formulation and implementation of plans, policies, programs and projects for national development.
- It focused on national development. It is 'action oriented' and 'goal oriented' administrative system.
- Socio-economic change was envisaged with development.
- Time Frame for work had to be maintained.
- Client Orientation had to be developed.
- Goal Orientation was the challenge.
- Innovation was encouraged.

Dimensions of Public Administration: It is difficult to say anything definite about the scope or dimension of any social science specifically public administration. Frankly speaking, public administration was an unknown subject about a century ago. Today it is a well-known subject and a very important subject. In earlier decades it was thought that public administration meant the management of day-to-day affairs of

states. But this conservative idea has undergone radical changes.

There is a clear impact of globalization upon the administrative region of any government. The fact is that as globalization is rapidly expanding its wings of influence upon different regions, people of different countries are coming in close contact with each other. This results in changes in lifestyle, behavior, outlook etc. People, through concerted effort, pressurize the government to meet their new and increasing demand which forces the government to adopt new policies, and to take special measures.

All these demand for new policies which the government is forced to take. The adoption of policy is not all; its implementation is of crucial importance which again falls within the area of public administration. In the sixties or seventies of the last century —the all-powerful man of China Mao Zedong (December 26, 1893-September 9, 1976), commonly known as Chairman Mao, was a Chinese communist revolutionary, poet, political theorist and founding father of the People's Republic of China, which he ruled as the

Chairman of the Communist Party of China from its establishment in 1949 until his death, adopted a despicable policy known as Xenophobia (irrational dislike or fear of people from other countries). He did not allow the Chinese people to mix with the people of other countries.

He thought that it would contaminate the character and behavior of the people of China. Today there is no such possibility. Naturally, free mixing among the various people of nation-states will bring about a change in everything. Before the Second World War (1939- 1945) there were fewer nation-states and international relations were at rudimentary levels. The governments (particularly of the Third World countries) were not under mounting pressures of masses of men.

Today the situation is different. Now-a-days common people are extremely conscious, political parties are highly active. The rise and fall of governments are not trifling matters. The spread of democracy has forced governments of nation states to take measures to meet the growing demands which have enhanced scope of public administration.

Max Weber, the Father of Bureaucratic Administration, confined his analysis on the concept of bureaucracy and its role in an industrialized capitalist society. But during the last eight decades both the capitalist states and people's attitude' towards government have considerably changed and this change has forced public administration to play greater and crucial role. There was a time when it was thought that the essential duty of a government is to maintain law and order and to see the security of the state. But today the whole situation has completely changed.

It is the duty of government to see that the state has been able to achieve targets of economic development. Neither the parliament nor the council of minister can do the job. It is the duty of bureaucracy or public administration to fulfill the targets of development prepared by the government. Needless to say that it is a new role of public administration and this has enhanced its functions. Today public administration is also called developmental administration.

Since the middle of the last century a new concept has received wide publicity and it is welfare idea or welfare

principle. **John Maynard Keynes (1883-1946)** said that economic crisis — especially depression—could be averted or checked through planning and larger amount of governmental spending. Later on Lord Beveridge prepared a report which is known as Beveridge Report and in this report he suggested that the government must take responsibility to help the poor through social security system.

The social security objectives must be achieved by the government or state in cooperation with individuals. All these happened after the Second World War and from the very beginning of fifties of the last century the concept of welfare has achieved wide popularity and publicity. Today both capitalist and non-capitalist states are paying more and more attention to the welfare activities. The responsibility invariably falls upon the public administration which means that the functions of this department have enormously increased. Along with this, people's expectation from the government have soared so high that the authority cannot sit idle and say that it has no responsibility towards citizens.

Public Corporations: Characteristics, Advantages and Limitations:

Characteristics of Public Corporations: Public corporations have certain basic differences with departmental managements. These differences have given a separate entity to public corporations. Some of the salient features of public corporations are discussed below:

1. Public corporations can sue and also be sued in the courts of law and thus have their own name and legal personality.

2. It is created usually by an Act of Parliament which also defines the scope of its activities. It also defines the powers, privileges and immunities of its members.

3. Public corporation is wholly owned by the government and the entire equity capital is held in the name of the government.

4. The corporations usually have considerable autonomy in shaping their policies. These have

also sufficient financial independence. But at the same time general principles and policies are laid down and decided by the government.

5. The management of the corporation is appointed by the government. Generally, a Board is nominated to manage public corporations.

6. Public corporation is generally not subject to budgetary accounting and audit-controls applicable to government departments.

7. The objective of a public corporation is to provide goods and services to the people at reasonable prices.

Advantages of Public Corporation: A public corporation has the following advantages:

1. Public corporations have complete freedom regarding their internal management. They can set their own goals and can decide their own line of action. They can devise their own programs and policies.

2. Public corporations are free to take quick decisions which is very necessary for the success of a business concern. There is no government interference.

3. There is no rigidity in their working as in case of departmental undertakings. The flexibility is necessary in the case of business undertakings. According to President Roosevelt,- "It is clothed with the powers of the government but possessed of the flexibility and initiative of a private enterprise.

4. Public corporations aim at providing goods and services to the public at reasonable prices. Though they also earn profits, their primary objective is to help the people in getting various services.

5. The management of public corporations, being in the hands of experienced and competent persons, is more efficient than that of government department. Public corporations are free to employ persons according to their own requirements.

6. It is generally not subject to budget, accounting and audit controls applicable to the government department and thus, public corporation is at freedom to utilize its funds.

Limitations of Public Corporation: Though there are many advantages, public corporations suffer from the following limitations or weaknesses:

1. Public corporations are usually created under an Act of Parliament. Any change in the sphere of activities of the corporations involves an amendment in the particular Act. It is difficult and takes more time.

2. Autonomy and flexibility which are the main features of public corporations have remained on paper only. All important policies are decided with government approval and the management is also appointed by the government. The corporations, therefore, have no real freedom in their working. Consequently, the smooth working of the public corporations is disturbed. So public corporations exercise limited autonomy.

3. Public corporations may indulge in anti-social activities. They may charge higher prices from the consumers or may supply them goods of inferior quality to make up their inefficiency because of the monopoly enjoyed by them.

4. Though public corporations are autonomous bodies, still they are controlled by the government. Public Accounts

Committee and Auditor and Comptroller General of India exercise control on public corporations. 5. These corporations are suitable only for organizing very big state enterprises and not suitable for small enterprises.

There are other official cells or bodies to govern or regulate the efficient working of public administrative functions. They are usually called bureau, committee, council, trust, panel, directorate, commission, group, delegation etc.

Chapter Two:

Organizational Administration

Organizational Administration

Introduction

Organizational structure is the framework by which a company communicates, develops goals and then works on achieving those goals. Within the framework of organizational structure are the principles by which that structure operates. The principles of organizational structure are the methods by which the organization maintains that structure, and the processes it uses to keep the structure efficient. Principle of objective: The organizational goal should be formulated for the business as whole and organization should be framed to achieve that goal. Departmental goals should be developed so that ultimate common goal should be attained. If the common organizational goal is not decided, departments may set their own goals and there may be occurrence of conflict about the common objective.

Within the principles of organizational structure are the methods by which the organization maintains its structure, and the processes it uses to keep the structure efficient.

Principles of organization

- Hierarchy of Command.
- Role Definition
- Evaluating Outcomes.
- Altering Organizational Structure.

Principles of Organization

1. **Principle of unity of objectives**: Organizational goals, departmental goals, and individual goals must be clearly defined. All goals and objectives must have uniformity. When there is contradiction among different level of goals desired goals can't be achieved. Therefore, unity of objectives is necessary.

2. **Principle of specialization:** Sound and effective organization believes on organization. The term specialization is related to work and employees. When

an employee takes special type of knowledge and skill in any area, it is known as specialization. Modern business organization needs the specialization, skill and knowledge by this desired sector of economy and thus, efficiency would be established.

3. **Principle of coordination:** In an organization many equipment, tools are used. Coordination can be obtained by group effort that emphasize on unity of action. Therefore, coordination facilitates in several management concepts

4. **Principle of authority:** Authority is the kind of right and power through which it guides and directs the actions of others so that the organizational goals can be achieved. It is also related with decision making. It is vested in particular position, not to the person because authority is given by an institution and therefore it is legal. It generally flows from higher level to lowest level of management. There should be unbroken line of authority.

5. **Principle of responsibility**: Authentic body of an organization is top level management, top level

management direct the subordinates. Departmental managers and other personnel take the direction from top level management to perform the task. Authority is necessary to perform the work only authority is not provided to the people but obligation is also provided. So the obligation to perform the duties and task is known as responsibility. Responsibility can't be delegated. It can't be avoided.

6. **Principle of delegation**: Process of transferring authority and creation of responsibility between superior and subordinates to accomplish a certain task is called delegation of authority. Authority is only delegated, not responsibilities in all levels of management. The authority delegated should be equal to responsibility

7. **Principle of efficiency:** In enterprise different resources are used. Therese resources must be used in effective manner. When the organization fulfill the objectives with minimum cost, it is effective. Organization must always concentrate on efficiency.

8. **Principle of unity of command:** Subordinates should receive orders from single superior at a time and all

subordinates should be accountable to that superior. More superior leads to confusion, delay and so on.

9. **Principle of span of control:** Unlimited subordinates cannot be supervised by manager, this principle thus helps to determine. numerical limit if subordinates to be supervised by a manager. This improves efficiency.

10. **Principle of balance:** The functional activities their establishment and other performances should be balanced properly. Authority, centralization, decentralization must be balance equally. This is very challenging job but efficient management must keep it.

11. **Principle of communication**: Communication is the process of transformation of information from one person to another of different levels. It involves the systematic and continuous process of telling, listening and understanding opinions ideas, feelings, information, views etc. in flow of information. Effective communication is important

12. **Principle of personal ability:** For sound organization, human resources is important. Employees must be capable. Able employees can perform higher. Mainly

training and development programs must be encouraged to develop the skill in the employees.

13. Principle of flexibility: Organizational structure must be flexible considering the environmental dynamism. Sometimes, dramatically change may occur in the organization and in that condition, organization should be ready to accept the change

14. Principle of simplicity: This principle emphasizes the simplicity of organizational structure, the structure if organization should be simple with minimum number of levels do that its member an understand duties and authorities.

Understanding an Organizational Structure

Businesses of all shapes and sizes use organizational structures heavily. They define a specific hierarchy within an organization. A successful organizational structure defines each employee's job and how it fits within the

overall system. Put simply, the organizational structure lays out who does what so the company can meet its objectives.

This structuring provides a company with a visual representation of how it is shaped and how it can best move forward in achieving its goals. Organizational structures are normally illustrated in some sort of chart or diagram like a pyramid, where the most powerful members of the organization sit at the top, while those with the least amount of power are at the bottom.

Not having a formal structure in place may prove difficult for certain organizations. For instance, employees may have difficulty knowing to whom they should report. That can lead to uncertainty as to who is responsible for what in the organization.

Managers need to address six key elements when they design their organization's structure: work specialization, departmentalization, chain of command, span of control, centralization and decentralization, and formalization.

Key Design Questions and Answers for Designing the Proper Organizational Structure	
The Key Question	**The Answer Is Provided by**
1. To what degree are activities subdivided into separate jobs?	Work specialization.
2.On what basis will jobs be grouped together?	Departmentalization.
3.To whom do individuals and groups report?	Chain of command
4.How many individuals can a manager efficiently and effectively direct?	Span of control
5.Where does decision-making authority lie?	Centralization and decentralization
6. To what degree will there be rules and regulations to direct employees and managers?	Formalization

1.Work Specialization

The degree to which tasks in an organization are subdivided into separate jobs.

Ford demonstrated that work can be performed more efficiently if employees are allowed to specialize. Today, we use the term work specialization, or division of labor, to describe the degree to which activities in the organization are

subdivided into separate jobs. The essence of work specialization is to divide a job into a number of steps, each completed by a separate individual. In essence, individuals specialize in doing part of an activity rather than the entirety.

By the late 1940s, most manufacturing jobs in industrialized countries featured high work specialization. Because not all employees in an organization have the same skills, management saw specialization as a means of making the most efficient use of its employees' skills and even successfully improving them through repetition. Less time is spent in changing tasks, putting away tools and equipment from a prior step, and getting ready for another. Equally important, it's easier and less costly to find and train workers to do specific and repetitive tasks, especially in highly sophisticated and complex operations. Could Cessna produce one Citation jet a year if one person had to build the entire plane alone? Not likely! Finally, work specialization increases efficiency and productivity by encouraging the creation of special inventions and machinery.

2.Departmentalization

Departmentalization, also referred to as depart mentation, is the process of grouping teams or activities into departments or functions with specific objectives, goals, and outcomes to be achieved. It is a way of dividing an organization into separate parts (departments), each with its functions and responsibilities but all geared towards achieving the organization's overall goals.

Every employee in a department either performs similar tasks and shares a common goal or works within a multidisciplinary department with varied skills. Coordination among these employees is important, as is the ability to hold employees accountable for their actions.

Here are the primary objectives of businesses that choose to implement departmentalization:

- Maintaining control
- Simplifying operational processes
- Grouping specialized activities together
- Increasing overall efficiency
- Ensuring responsibility and accountability

3.Chain of Command

chain of command The unbroken line of authority that extends from the top of the organization to the lowest echelon and clarifies who reports to whom.

A chain of command is an organizational structure that documents how each member of a company reports to one another. At the top of the chart would be the founder, owner or CEO, and the people who report to them would appear directly below. This pattern continues until every person or level of employment at the organization is accounted for. This hierarchy changes over time as employees join and leave.

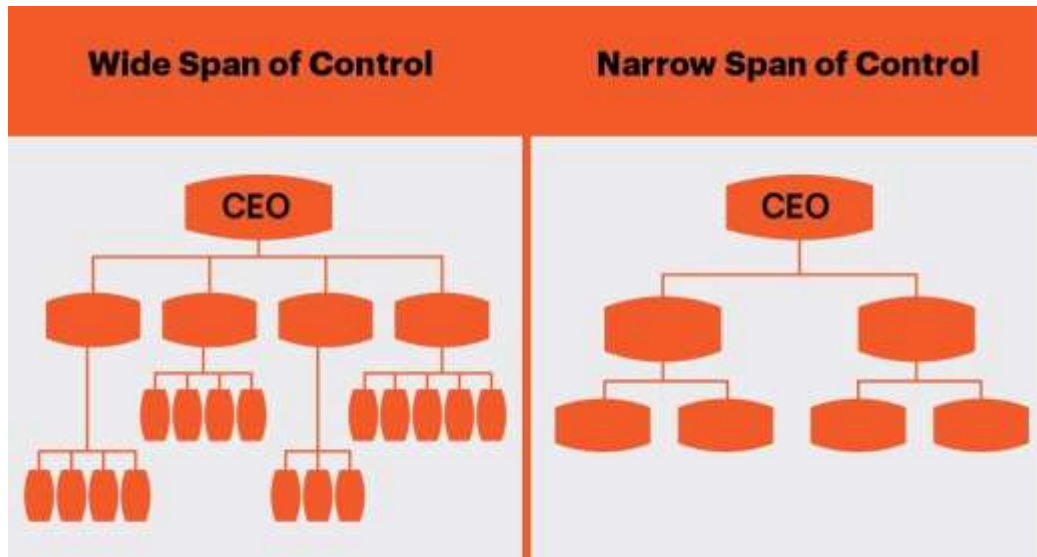A chain of command exists to distribute power and responsibilities, keep employees aware of company news and create a system for sharing knowledge. It also ensures each employee is responsible for their own work but also has a more senior leader to offer support, encouragement and motivation.

4.Span of Control

The span of control refers to the number of subordinates that can be managed effectively and efficiently by supervisors

or managers in an organization. Typically, it is either narrow or wide resulting in a flatter or more hierarchical organizational structure. Each type has its inherent advantages and disadvantages.

	Narrow Span	Wide Span
advantages	• Have more levels of reporting in the organization, resulting in a more hierarchical organization • Supervisors can spend time with employees and supervise them more closely • Creates more development, growth, and advancement	• Have fewer levels of reporting in the organization, resulting in a more flexible, flatter organization. • Ideal for supervisors mainly responsible for answering questions and helping to solve employees problems. • Encourages empowerment of employees by giving more

	Narrow Span	Wide Span
	opportunities.	responsibility, delegation, and decision-making power to them.
Disadvantages	• More expensive (high cost of management staff, office, etc.) • More supervisory involvement in work could lead to less empowerment and delegation and more micromanagement. • Tends to result in communication difficulties and excessive distance between the top and bottom levels of the organization.	• Tends to result in greater communication efficiencies and frequent exposure to the top level of the organization • May lead to overloaded supervisors if employees require much task direction, support, and supervision. • May not provide adequate support to employees leading to decreased morale or job satisfaction.

5.Centralization and Decentralization

DECENTRALIZED	CENTRALIZED
Middle and Low Level Managers have decision making power	A few upper management members have decision making power
Authority is given to those who are closer to stakeholders	Authority is given to those who are at the top of the chain of command
Organizations are self-sufficient	More standardization
Faster decision making	More control
More expensive	Less expensive
More creativity	Limited creativity

6. Formalization

Formalization refers to how standardized an organization's jobs are and the extent to which employee behavior is guided by rules and procedures. Highly formalized organizations have explicit job descriptions, numerous organizational rules, and clearly defined procedures covering work processes.

Formalization	Specialization
Formalization refer to how jobs are structured and standarized within an organization	Specialization refer to the degree to which activities in an organization are divided and then subdivided into individual jobs.
Focuses on policies, rules, and procedures related to jobs and tasks.	Focuses on the division of laber.

Organizational Change

Recognizing the need for change and knowing how to make that change successful are two very different skills. Change management strategy is key—but, where to begin? It all starts with understanding what types of organizational change you're making.

Organizational changes are those that have a significant impact on the organization as a whole. Major shifts to personnel, company goals, service offerings, and operations are all considered different forms of organizational change. It's a broad category.

Before you can design your change management strategy, it is important to determine the type of organizational change. This helps execute the right change management plan for the best possible results. Knowing the type of organizational change will also help you choose the right change management tools.

FORCES FOR CHANGE

change is inevitable in the life of an individual or organization. in   today's business world, most of the organizations are facing a dynamic and   changing business environment. they should either change or die, there is no third alternative. organizations that learn and cope with change will thrive and flourish and others who fail to do so

will be wiped out. the major forces which make the changes not only desirable but inevitable are technological, economic, political, social, legal, international and labor market environments. recent surveys of some major organizations around the world have shown that all successful organizations are continuously interacting with the environment and making changes in their structural design or philosophy or policies or strategies as the need be.

1. External Forces for Organizational Change

External environment affects the organizations both directly and indirectly. The organizations do not have any control over the variables in such an environment. Accordingly, the organizations cannot change the environment but must change themselves to align with the environment. A few of these factors are:

A. Technology: Technology is the major external force which calls for change. The adoption of new technology such as computers, telecommunication systems and flexible manufacturing operations have profound impact on the organizations that adopt them. The substitution of computer control for direct supervision, is resulting in wider spans of control for managers and flatter organizations. Sophisticated information technology is also making organizations more responsive. Both the organizations and their employees will have to become more adaptable. Many jobs will be reshaped. Individuals who do routine, specialized and narrow jobs will be replaced by workers who can perform multiple in decision making. Managements will have to increase their investment in training and education of   the employees because employees skills are becoming obsolete more quickly. Japanese firms have progressed rapidly because they are very fast in adopting new technological innovations.

B. Marketing Conditions: Marketing conditions are no more static. They are in the process of rapid change as the needs, desires and expectations of the   customers change rapidly and frequently. Moreover, there is tough competition

in the market as the market is flooded with new products and innovations every day. New methods of advertising are used to influence the customers.   Today the concept of consumerism has gained considerable importance and thus, the consumers are treated as the kings.   Moreover, the competition today has some significant new twists. Most markets will soon be international because of decreasing transportation and communication costs and the increasing export orientation of business. The global economy will make sure that competitors are likely to come across the ocean as well as from across town. Successful organizations will be those who   can change in response to the competition. organizations that are not ready for   these new sources of competition in the next decade may not exist for long.

C. Social Changes: Social and cultural environment also suggest some changes   that the organizations have to adjust for. There are a lot of social changes due to spread of education, knowledge and a lot of government efforts. Social equality   e.g. equal opportunities to women, equal pay for equal work, has posed new challenges for the management.

The management has to follow certain social norms in shaping its employment, marketing and other policies.

D. Political Forces: Political environment within and outside the country have an important impact on business especially the transnational corporations. The interference of the government in business has increased tremendously in most of the countries. The corporate sector is regulated by a lot of laws and regulations. The organizations do not have any control over the political and legal forces, but they have to adapt to meet the pressure of these forces. In our country, the economic policy has liberalized the economy to a large extent. Many of the regulatory laws have been amended to reduce the interference of the Government in business. An organizations is also affected by the world politics. Some of the changes in the world politics which have affected business all over the world are e.g. the reunification of Germany, Iraq's invasion of Kuwait, the break of Soviet Union etc.

2. Internal Forces for Organizational Change

Internal forces for organizational change are too many and it is very difficult to list them   comprehensively. However, major internal causes are explained as follows:

A. Nature of the Work Force: The nature of work force has changed over a passage of time. Different work values have been expressed by different generations. Workers who are in the age group of 50 plus value loyalty to their employers. Workers in their mid-thirties to mid-forties are loyal to themselves only. The youngest generation of workers is loyal to their careers. The profile of the workforce is also changing fast. The new generation of workers have better educational qualifications, they place greater emphasis on human values and question authority of managers. Then behavior has also become very complex and leading them towards organizations goals is a challenge for the managers. The employee turnover is also very high which again puts strain on the management. The work force is changing, with a rapid increase in the percentage of women employees, which in turn means, more dual career couples. organizations have to modify transfer and promotion policies as well as make child care and elder care available, in order to respond to the needs of two career couple.

B. Change in Managerial Personnel: Change in managerial personnel is   another force which brings about

change in organization. Old managers are replaced by new managers which is necessitated because of promotion, retirement, transfer or dismissal. Each managers brings his own ideas and way of working in the organizations. The informal relationships change because of changes in managerial personnel. Sometimes, even though there is no change in personnel, but their attitudes change. As a result, the organizations has to change accordingly. Changes in the organizations are more fast when top executives change. Change in top executives will lead to important changes in the organizations in terms of organizations design, allocation of work to individuals, delegation of authority, installation of controls etc. All these changes will be necessitated because every top executive will have his own style and he will like to use his own ideas and philosophies.

C. Deficiencies in Existing Management Structure: Sometimes changes are necessary because of some deficiencies in the existing organizations structure, arrangement and processes. These deficiencies may be in the form of unmanageable span of management, larger number of managerial levels, lack of coordination among various

departments, obstacles in communication,   multiplicity of committees, lack of uniformity in policy decisions, lack of cooperation between line and staff and so on. However, the need for change in such cases goes un-recognized until some major crisis occurs.

D. To Avoid Developing Inertia: In many cases, organizations changes take place just to avoid developing inertia or inflexibility. Conscious managers take into account this view that organizations should be dynamic because any single method is not the best tool of management every time. Thus, changes are incorporated so that the personnel develop liking for change and there is no unnecessary resistance when major changes in the organizations are brought about.

Planned change

Planned change is the process of preparing an entire organization, or a significant part of it, to achieve new goals or move in a new direction. This direction can refer to a company's culture, internal structure, processes, metrics and Planned change is the process of preparing an entire organization, or a significant part of it, to achieve new goals or move in a new direction. This direction can refer to a

company's culture, internal structure, processes, metrics and rewards, or any other aspect related to the business.

While constant change is the new normal and the best companies embrace it, not all change is planned. On occasion, organizations will suddenly have to adapt to new market demands, unexpected market shifts or heightened competition.

It's also worth noting that planning for change and planning for innovation are not the same. Some practitioners describe planning for change in general as incidental, administrative, and serving mostly "cosmetic purposes." The role of this type of change is, therefore, to maintain stability and incorporate certainties into the organization.

By contrast, innovation is a transformative process that requires deeper change (a makeover), customized tools, and creativity. Innovation, as a change process, can therefore appear unexpected and even nonsensical.

Need for Planned Change

The needs (say importance) for planned change are:

- **Adapt to Environmental Change**

It helps to improve the ability of the organization to adapt to environmental changes. Environmental change is a natural and ever-changing process.

The change in the social environment brings new concepts, ideas, knowledge, and system to the business. Management needs to develop the practice of planned change in organization performance to efficiently work with environmental change.

- **Change in Employees' Behavior**

Planning is essential to change employees' behavior to make them responsive to change. Management needs to use

different tools to change the attitude and behavior of employees consisting including counseling, orientation, training, and motivation.

Such change in behavior helps to overcome the resistance to change.

- **Meet Competition**

In the open market economy, every business organization needs to face competition. On the basis of time, competitors can introduce a new strategy, policy, and technology to grab the market.

In such a situation, the manager needs to introduce planned change practices to modify the present working procedures and system. It will be supportive to meet competition in the market.

- **Fulfill Consumer's Expectations**

On the basis of changing environment of society needs, demands, and expectations of consumers will be changed. Similarly, new models, designs, structures, concepts, and technology may introduce in the market to draw the attention of customers.

Thus, managers need to identify the changing expectation of consumers and introduce a planned change in organizational performance. It facilitates to fulfill the demand of the consumers.

- **Innovation of New Knowledge**

Planned change is supportive of the innovation of new knowledge, idea, concept, and technology. It is essential to develop new procedures and systems for doing work.

It helps to new output or service. The introduction of new designs, models, and structures of products on the basis of changing demands of the customers is crucial to meet business objectives.

- Development of Team Work

In planned change management needs to emphasize participative management. Work should be divided among teams having complementary members.

The manager needs to invite team members into the decision-making process. It facilitates meeting the planned objectives.

- **Conflict Resolution**

When people work in a group conflict is natural. Because group members may have differences in skills, perceptions, attitudes, and beliefs. They work together to achieve common goals.

In the course of work, they may put inverse opinions and ideas in working procedures and systems. In planned change management needs to resolve conflict on time for smooth performance.

- **Reinforce Efficiency**

Planned change facilitates strengthening the competency of employees. It needs training of employees, re-engineering in working procedures, change in management structure, etc.

Such activities help to develop the working efficiency of employees and to meet planned objectives.

Process of Planned Change

Process of Organizational Change

Identifying need for change

Determining elements to be changed

Planning for effective change

Assessing change forces

Actions for change - Unfreezing, Changing, Refreezing

Feedback and Review

What is a change agent?

A change agent, or agent of change, is someone who promotes and enables change to happen within any group or organization.

In business, a change agent is an individual who promotes and supports a new way of doing something within the company. This can be the use of a new process, the

adoption of a new management structure or the transformation of an old business model to a new one.

A change agent is sometimes also called an agent of change or change advocate. Champion, change champion and change agent are often used interchangeably, as well; however, some see differences between the roles each one plays in supporting change. For example, a change agent is viewed as having more responsibilities and accountability than a champion for ensuring that change happens successfully.

What change agents do

Regardless of the actual position or job title a change agent holds, an individual who takes on the task of being an agent of change assumes responsibility for the following:

4 steps in the change agent process

	Propose and promote the value of needed change.
	Plan the change process.
	Guide others through the change process.
	Ensure the change meets desired goals.

Change agent characteristics

There are three main types of change agents:

- **People-centric**. These change agents help boost employee morale and motivation. They help employees through a change and assist with goal setting, training and up skilling.

- **Structure-centric**. These agents focus on changing an organization's infrastructure. They research and implement new technologies and perform systems analysis.

- **Process-centric.** These change agents focus on implementing new change processes and facilitating communication and cooperation among teams.

To ensure success, leadership should choose a change agent based on characteristics commonly identified as the most effective for positions such as chief transformation officers. Those characteristics include the following:

- diversified knowledge.
- experience in the business discipline impacted by the change effort.
- a willingness to ask tough questions.
- flexibility, creativity and an openness to new ideas.
- a strong network.
- trustworthiness and credibility.
- an understanding of the organization's corporate culture.
- courage.
- the ability to tell a company narrative.
- excitement for new opportunities and potential.
- comfort working through uncertainty

Resistance to Change

Resistance to change is the opposing behaviors of employees in the change made by the organization. There are many reasons employees resist change one of them is, they think the frequent change made in an organization has a bad effect on their position.

Resistance to change is one of the important sources of functional conflict. It brings obstacles in change adaptation and process. Resistance to change can be seen in terms of overt or immediate and covert nature.

It is not so difficult to manage and deal with resistance when it is overt or immediate. Examples of such resistance involve work slowdown, compliant voice, a threat of a strike, etc.

Cover or implicit is more complex and as such more difficult to recognize. An example of such resistance involves loss of loyalty and motivation to the organization, increased errors, increased absenteeism due to sickness, etc.

Why Do People Resist To Change?

Mainly there are two types, sources, factors, reasons, and causes of resistance to change consisting of individual and

organizational.

Resistance To Change

Individual Resistance
- Habit
- Security
- Economic Factors
- Fear of Unknown
- Selective Information Processing

Organizational Resistance
- Structural Inertia
- Limited Focus on Change
- Group Inertia
- Threat To Expertise
- Threat To established Power Relationships
- Threat To Established Resource Allocation

1. Individual Reasons For Resistance To Change:

Individual reasons for resistance to change are based on some basic human characteristics such as perceptions, personalities, and needs. Following are the reasons that individuals may reset to change:

• Habit

Human beings by nature have a habit to do regular work or making programmed decisions. They satisfy and feel secure in regular work and adjust themselves to family, society, and work life. They do not want to accept change if it needs to change their habit.

They analyze the weightage of benefits and costs before accepting any change. For example, when an employee used a route to go to the office, it becomes his habit to go to the office through the same route regularly.

As far as possible he does not want to change the regular route. He thinks many times about merits and demerits when he needs to change the route.

- **Security (Job Security)**

Generally, people think that change brings a threat to job security and that is the reason that they hesitate to accept it. They find security in the job possess and the system that they are doing. In the case of management of an organization that plans to change the present work system, many employees would feel that it may pose a threat to their job security.

For example, when the computer system was introduced in traditional banks of Nepal, at the primary stage many employees resisted that change by feeling job insecurity.

- **Economic Factors**

The probability of loss of preset economic gain is one of the reasons for resistance to change. Many people believe that

change would bring complexity and it becomes difficult for them to adapt to changing systems and procedures.

They may fear a reduction in responsibilities and working hours and due to which remuneration will be automatically minimized.

- **Fear of Unknown**

Change brings new knowledge and system to working procedures. People having limited knowledge, lack of creativity, and initiation may feel fear of the unknown if any change occurred in the workplace, co-workers, or in a working system. They feel difficult to make decisions, to accept change.

For example, when a computer system was first introduced in Nepal, employees of many organizations feel difficult to accept computerization because of fear of the unknown.

- **Selective Information Processing**

Individuals shape their world through their perceptions. When something is selected in the processing of information,

people do not want to divert their perceptions toward others. They hear what they want to hear.

They ignore information that challenges the world they have created. Therefore, when any

change occurred in working procedures against the perceived world, people resist the change. In this way, it also becomes one of the reasons for resistance to change.

- **Organizational Reasons For Resistance To Change:**

Organizations are conservative in nature and they do not want to accept any change easily. The structure and design of the majority of business organizations are also difficult to change. The following are the sources of organizational resistance to change:

- **Structural Inertia**

Organizations have their own structure and system to maintain stability in performance. They have specific procedures of selection, training, role, and other socialization techniques.

Employees have a formal job description, and they have to follow specified rules and procedures for the completion of a given job. When an organization is confronted with change, this structural inertia acts as resistance.

- **Limited Focus on Change**

The organization's total system is constituted of a number of interrelated and interdependent subsystems. A subsystem cannot be changed without affecting other subsystems.

For example, the computerization of the financial system may become ineffective if other systems of the organization remain unchanged. Therefore, limited changes in subsystems become worthless as they may be neutralized by the total system.

3.Group Inertia

Individuals work in the organization in a group and they consider the group norms, systems, and values. If individuals want to change their behavior, group norms act as a constraint.

For example, an individual a union member may be willing to accept a change in his job suggested by management. But if

union norms dictate resisting any change made by the management, employees resist change in their job.

- **Threat To Expertise**

Fear of losing the importance of the job is one of the reasons for resistance to change. Changes in organizational systems and procedures may threaten the expertise of one specialized group whereas another group of experts may get the opportunity.

One group of experts may have fear of loss of a job, demotion, less economic gain, etc due to changes in the present working system.

For example, managers and supervisors of traditional attitudes do not want to decentralize authority and responsibility by feeling that it may reduce their expertise and importance.

- **Threat To Established Power Relationships**

Any delegation of decision-making authority to subordinates may re-establish the power relationships within the organization. Managers who always want to remain in power do not want to accept change as it may reduce their status in

the organization, even if that change is beneficial for the organization.

For example, middle-level managers and supervisors do not accept a participative decision-making system of a self-managed work team because it can minimize their status and role.

- **Threat To Established Resource Allocation**

Any change in the organizational system may bring the concept of reallocation of resources into departments. Departments or groups in the organization that uses more resources often see change as a threat. For them, change is a reduction of budgets or cut-offs of their staff's size.

For example, the production department is getting more resources in the traditional system of production, employees of this department may oppose automation because it would minimize the number of staff.

Hence, we see all these reasons or sources of resistance to change as they have a major impact on the achievement of organizational objectives, thus these reasons should be

minimized at an acceptable level and if possible they should be eliminated.

The Politics of Change

- The motivation for change may come from outside change agents, new employees, or managers outside the main power structure.

- Internal change agents are most threatened by their loss of status in the organization.

- Long-time power holders tend to implement incremental (small) but not radical change.

- The outcomes of power struggles in the organization will determine the speed and quality of change.

- Change includes many political factors as the impetus for change is likely to come from outside those who are responsible for making the change happen. This can threaten those change agents within the organization and force them to implement incremental but not radical change. Embedded in the change dynamics will be the issue of power. Power struggles will have results that determine the speed and quality of change.

Lewin's Three-Step Change Model:

- **Unfreezing:**

   Change efforts to overcome the pressures of both individual resistance and group conformity.

- **Refreezing:**

   Stabilizing a change intervention by balancing driving and restraining forces.

   Unfreeze Move Refreeze Lewin offers a three-step model to help facilitate the change process. He sets forth that change efforts need to "unfreeze" individual resistance and group conformity to help them move forward and then you need to refreeze the changes by balancing driving and restraining forces. This will help to move people through the change process and solidify the desired behaviors/outcomes moving forward.

Unfreeze → **Move** → **Refreeze**

Lewin: Unfreezing the Status Quo (current situation):

- **Driving Forces:**

Forces that direct behavior away from the status quo.

- **Restraining Forces:**

Forces that hinder (prevent) movement from the existing situation.

In the unfreezing stage Lewin identifies driving and restraining forces. Driving forces are those that direct behavior away from the status quo. Restraining forces are those that hinder movement from the existing equilibrium.
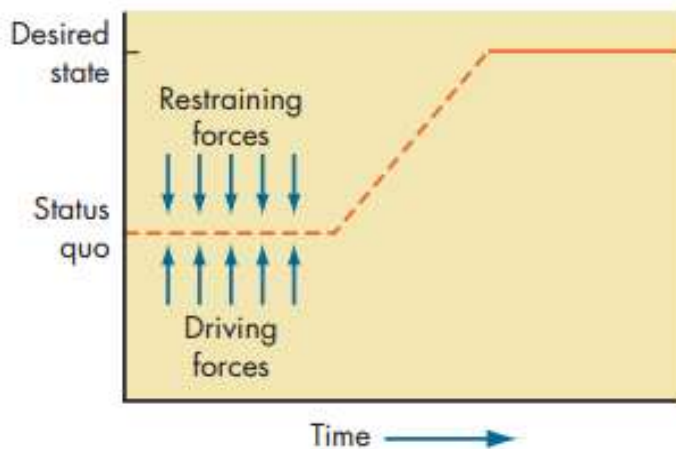
Kotter's Eight-Step Plan

Builds from Lewin's Model

- To implement change:

1. Establish a sense of urgency.

2. Form a coalition.

3. **Create a new vision.**

4. Communicate the vision.

5. Empower others by removing barriers.

6. Create and reward short-term "wins".

7. Consolidate (strengthen), reassess, and adjust.

8. Reinforce the changes.

| unfreezing |

| Movemen |

| Refreezing |
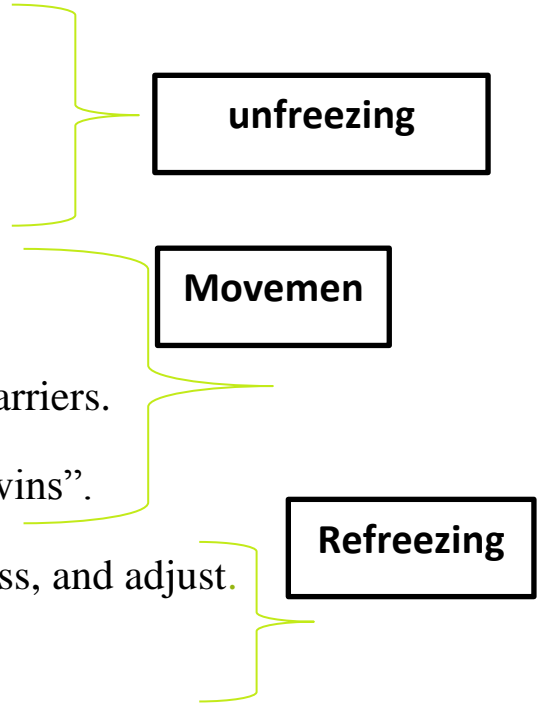
Action Research

A change process based on the systematic collection of data and then selection of a change action based on what the analyzed data indicates

Process steps:

- **Diagnosis**

- – Analysis

- – Feedback

- – Action

- – Evaluation

- **Action research benefits:**

- – Problem-focused rather than solution-centered.

- – A lot of employee involvement reduces resistance to change.

Action research is another theory about change that says that the change process is based on a systematic collection of data and then selection of a change action based on what the data tells you. The process would be to diagnose the situation, analyze the data, obtain feedback from the data, take action, and then evaluate. The benefits of this approach is that it focuses on the problem instead of jumping to the solution and it also gets employees involved, thereby reducing their resistance to change.

Chapter Three

PUBLIC ADMINISTRATION AND BUREAUCRACY

1. Introduction

Bureaucracy has a significant place in the Public Administration discipline. The state, which has shown a continuous growth trend since the 1929 Great Depression, continues to grow, although it downsized a

little with The New Right movement in the 1970s. Regardless of what measures are taken, states have spent more in every period than in previous periods. There are several reasons for the state's continued growth. In such a case, as the state grew, the bureaucracy grew in parallel.

In the legislative, executive, and judicial organs, which are the three main powers of the state, bureaucracy takes place not only in the executive but also in the legislature and the judiciary. As a mechanism involved in such a widespread and direct practice, bureaucracy has always attracted the attention of politicians, and there have been such areas of harmony and conflict between these two. In countries where despotism is dominant, the king rules the bureaucracy with everything, almost tying its hands. In such countries, it is not possible to think of bureaucracy separately from the will of the king (sovereign). In democratic countries, bureaucracy operates

under politics, that is, it is the politicians who dominate. The bureaucracy is obliged to implement the rules and laws set by the legislature under the orders and instructions of the political institution. Depending on rules is already one of the prominent features of bureaucracy. Therefore, bureaucracy can be expressed as a mechanism that operates the state in accordance with the rules. In this context, politicians make decisions, while the bureaucracy implements the decisions taken within this framework.

This study firstly discusses the concept of bureaucracy and its different definitions and features. Then, it explains bureaucracy theories. Afterward, it examines the advantages and disadvantages of bureaucracy and the development of bureaucracy. The study was prepared with a qualitative method.

2. The Concept of Bureaucracy: Definition and Features

When we look at the origin of the word bureaucracy, it will be seen that it is based in ancient Greek. The word "bureau" at the beginning of the word comes from the Latin word "burrus" used to describe dark, gloomy colors. "La bure", which comes from the same root, means the cover laid on the tables. While the word bureau used to mean a desk, it was used to refer to an entire room that was later used as an office. The second part of the word, "craite", means power, domination and indicates a form of government. The concept of bureaucracy, as used today, was used for the first time in the 18th century by the French Minister of Commerce, Vincent de Gournay, and then it has been used in many languages. Therefore, bureaucracy as a term is of French origin. It has become a concept used in all

languages today, describing a class and the mentalities of that class, such as "aristocracy, bourgeoisie, technocracy" .

The discipline of public administration is often said to be an American invention, although the French does not accept it as such. Woodrow Wilson is considered to be the first theorist of public administration. Wilson claimed that public administration is a scientific field and aimed to reveal the difference between politics and administration. According to him, public administration, therefore, bureaucracy is another field separate from politics. In this case, the bureaucracy would be able to carry out the duties assigned to it impartially, stay out of political influence, and serve the public directly. This debate, which started with Wilson, has dominated the public administration and political science literature .

The bureaucracy is a state organization that occupies a great place in the state, consists of the appointed officials, and implements the laws. While implementing the laws, bureaucrats also receive orders and instructions from Politicians. Their difference from politicians is that they have a good command of the legislation and can solve complex issues. Although bureaucracy has a different weight in countries, it continues to exist as an essential element of states. Since bureaucracy has a cumbersome structure, it is hard to mobilize it. This is why conflicts between elected politicians and bureaucrats often arise. It can also be seen that disagreements turn into conflicts during the periods when the scope of the duty of politics begins to expand and that of bureaucracy narrows ..

The bureaucracy, which corresponds to a negative

understanding among the people as "go today, come tomorrow," is used in the sense of inefficiency, rulemaking, paperwork, and avoidance of responsibility.

It is generally used in four senses. The first one is red tape, which is frequently used among people and has a negative connotation. Second, it means the structures established and functioning to produce public goods and services. Third, it refers to the civil servants who implement the decisions taken by the politicians. The fourth is the meaning that explains bureaucracy as an organization and the functioning mechanism of this organization. This fourth definition is known as the German thinker Max Weber's bureaucratic model or Weberian bureaucracy theory . Weber stated that division of labor, authority, hierarchy, written rules, filing, impersonality, a disciplined structure, and an organization composed of official cadres are essential elements of bureaucracy. In this sense, he described bureaucracy as a rational form of administration. Stability and order come to the fore in this form of administration since the rules are determined in advance.

In democratic governments, the bureaucracy carries out its activities strictly dependent on the law and the budget. It is not the duty of civil servants and judges to question what should be done to ensure the public interest and how public resources should be spent. The authority here belongs to the sovereign- the people- and their representatives. Military and civil bureaucracy fulfill their duties to the extent that the law orders them, and the budget allows. It is the policymakers, not the bureaucracy, that is the sovereign in

the country. In a despotic oppressive government, the king tries to limit the powers of the bureaucracy by issuing directives and instructions. He tells governors and subordinates what to do when a problem arises through laws, decrees, and statutes. In such an administration, discretion is limited, and the only duty of the bureaucracy is to comply with the regulations. Besides, since there is no room for arbitrariness, the bureaucracy only needs to implement the regulations. Here, the bureaucracy does not try to solve every problem in the best way it can and does not worry about finding the most appropriate solution for them. Hence, its primary concern is to comply with rules and regulations, not a reasonable or intended goal. The virtue of bureaucracy in despotism is full compliance with laws and decrees. One becomes a bureaucrat only in this way.

3. Bureaucracy Theories

The German sociologist Max Weber was the first scholar to bring a scientific perspective to bureaucracy. Weber dealt with bureaucracy as a form of organization and management. After Weber, the scientific value of bureaucracy increased, and the studies on bureaucracy intensified as a form of organization and administration, especially in the United States of America after World War II .

3.1. *Weberian Bureaucracy*

Max Weber built his theory of bureaucracy on his political

analysis of Prussia. According to Weber, bureaucracy is the most effective and efficient form of organization. If an analogy is to be made, the superiority of the bureaucracy over the other forms of organization is to the same extent as the machine production is superior to the production made by traditional methods. Bureaucratic organizations are much more effective and efficient than their counterparts. Continuity, precision, rationality, specialization, speed, and discipline are involved in the good functioning of bureaucracy in this way. For this reason, bureaucracy is both a secure and an effective form of organization that can affect many areas. Weber, who contributed greatly to the development and systematization of bureaucracy, defined it as an organization consisting of a division of labor, authority, hierarchy, written rules, filing of correspondence and activities, impersonality, a disciplined structure, and official positions. Noting that a bureaucratic organization with these features is an ideal type of bureaucracy, he stated that such a type does not exist and that an organization reaches the ideal type at the level it approaches these criteria.

Weber summarized the rules of bureaucracy as follows

- There is the principle of rules regulated by laws and regulations, predetermined and official jurisdictions in administration.

- Levels of authority are gradual and there is a subordinate relationship with the principles of hierarchical duties, which ensures that the lower-level officers are controlled by the higher-level officials.

- Administration is based on documents and therefore a large lower-level

  staff and editorial staff are employed, each of which is called a department.

- As a form of administration, bureaucracy requires specialized training. Bureaucracy is governed by general rules. These rules are learnable rules with a certain stability and scope.

- The activity carried out in the office or department structure is well

  established and requires the officer there to use his full working capacity. In other words, in bureaucracy, work is a profession for the official, and official duties are not secondary duties as they used to be.

3.1.1. *Weber's Typology of Authority*

Weber tried to explain why people obey those who hold power with his authority typology, considering the historical process and social developments. Charismatic authority, traditional authority and legal/rational authority are three types of authority according to him. In Weber's typology of authority, the reasons for people's obedience and the belief in the legitimacy of authority appear in different ways for each type of authority .

3.1.1.1. *Charismatic Authority*

It is a type of authority that is formed as a result of the belief in a leader with an innate personality and charisma. This authority

does not originate from tradition and may even develop in an opposite direction. The only important thing is faith in the extraordinary abilities and charisma of the leader. Leaders with this type of authority usually emerge in times of crisis .

3.1.1.2. *Traditional Authority*

Weber named the type of sovereignty that claims legitimacy based on the sanctity of rules and powers that have existed since the past times as traditional authority. Here, the person or persons at the head of the authority come to power within the framework of traditional rules. The obligation to obey comes from the power of the ruler's authority, which he derives from tradition. This type of authority is based on a learned sense of personal attachment. The head of authority is a master, not a superior. Officers are personal servants, not civil servants. The governed people are also not members of the community, that is, citizens. They are either traditionally friends or subjects of the power holder. What determines the relations between civil servants and administrators is not the obligations of the civil servant but their loyalty to the ruler: The legitimacy of those who derive their power from tradition in this type of authority is sacred. The orders and instructions given by the person seen as the master are usually arbitrary and personal. He makes the appointments in the bureaucracy completely based on the traditions .

3.1.1.3. *Legal/Rational Authority*

It is based on the presupposition that rationally regulated laws are valid, and the leaders elected based on these laws should be

considered legitimate. Those with authority are elected and appointed following the law and are responsible for maintaining the legal order. Weber added the expression "rational" to this type of authority. Those who use authority are legitimate as long as they act in accordance with reason and law. Weber defined the administrative organization dependent on legal authority as bureaucracy .

3.2. *Marxist Theory of Bureaucracy*

Marx is not an organizational theorist, but he has views on bureaucracy. He sees the rulers of the modern state as a union in the service of the bourgeoisie. The state, therefore, represents the protection of the private interests of a very small part of society. Marxist scholars have made a distinction between rule-making and governing. While governing is the conduct of the routine and day-to-day affairs of the state, rule-making is the making of fundamental decisions about political processes. Marxists have said that since the bourgeoisie makes the rules, it doesn't matter who does the job of governing. With reference to this point of view, the bureaucracy is, in a sense, placed in a position under the command of the bourgeoisie. As such, the bureaucracy becomes one of the many existing servants of the ruling class. Bureaucrats choose to maintain the status quo. How they are appointed is also often strictly regulated. People who are likely to conflict with the current power holders are not assigned here. For this reason, reactions against the rhetoric of the rulers do not take place in the bureaucracy. In addition, Marx states that hierarchy and secrecy are two

significant features of bureaucracy, where power and formality are crucial. Moreover, bureaucrats put their interests ahead of the interests of society .

Marx's views on bureaucracy arose from his criticism of Hegel. Hegel sees bureaucracy as a structure that connects the state and society. According to Hegel, while civil society serves private interests, the public sector takes care of the public interest. Bureaucracy, or public administration, provides the link between these two interests. Marx approved this analysis as a form but criticizes it as content. . Marx saw bureaucracy as a mechanism to support the interests of the bourgeois class and the capitalist system. Unlike Hegel, Marx saw the state not as a mechanism aimed at realizing the general interest of society but as a tool that maintains the domination of the ruling class over other classes. The primary function of the bureaucracy is to protect the status quo and the privileges of the ruling class .

Chapter Four

PUBLIC POLICY: CONCEPT AND THEORY

1. Introduction

One of the main tasks of governments is to improve their ability to solve social problems and respond to the needs of the people. The embodiment of this task is public policies. In this context, public policy is defined as "the art of creating and solving problems worth solving".

As a result of the change and development of societies, social problems also diversify and deepen. This causes the studies in public policy to gain new qualifications and to be associated with many disciplines such as politics, law, economy, and sociology, especially public administration. Thus, the public policy literature has become rich and complex.

This study aims to create a conceptual and theoretical framework for the developments in the public policy literature. For this purpose, first of all, the definition, features, elements, scope, and types of public policy are discussed. The historical course of public policy is examined, and then prominent theories in this field are explained in the axis of the public policy process.

1. **Public Policy in General**

Examining the etymology of the word "policy," Dunn made the following analysis: The word "policy" emerges from the Greek "*polis*" (city-State), the ancient Sanskrit "*pur*" (city), and the Latin "*politia*" (state) words. These words eventually evolved from the medieval English word "policie" meaning "actualization of public activities" or "administration of government." The concept of politics in Turkish is used in two different ways. The first of these is the usage in the sense of political science (politics). The second one is used in terms of purpose and how to handle a job (policy) . Security policy, education policy, and similar uses are examples of secondary use.

There are various studies on public policy in the literature, and many scholars have tried to define public policy from different perspectives. This has created a richness of definition in terms of characteristics. The most well-known definition of public policy is the definition of "*everything that governments choose to do or not do*" made by **Dye**. With this definition, **Dye** has not limited the scope of public policy to the actions taken by the public, but has also included the things that the public does not prefer to do, into the public policy. Even this inactive state of government has a huge impact on society. While the government's inaction on any issue may positively affect one part of society, it may negatively affect another. On the other hand, according to Kraft & Furlong , public policy is a series of actions or inactions that governments develop in response to public problems. Public policy also encompasses official policy

objectives, policy instruments, the actions of policy actors, and the actual behavior of these actors.

It is possible to examine the characteristics of public policy through definitions claims that the definition mentioned above of Dye is not descriptive enough. According to Anderson, public policy should be evaluated systematically based on some concepts. These concepts are that public policy consists of purposeful actions, is carried out by actor(s), and includes determination. argues that a policy can be a set of legal regulations governing a particular problem area or problem. On the other hand, , emphasizing the policy actors, defined public policy as any activity carried out by a public institution or officially authorized in any matter by the legal power of the state. Similarly, stipulate that public policy should be formed by a public institution or handled within the framework of public administration. emphasized that public policies are "an expression of public power." The main features of public policy can be listed as follows :

Authorized government action: It is the action implemented by the government body with public policy and political and financial authority.

- Response to real-world needs or problems: Public policy aims to respond to the concrete needs or problems of society or groups (citizens, non- governmental organizations, or government bodies).
- Goal-oriented: Public policy represents initiatives and actions to meet a

social need or solve problems and envisages reaching a specific goal.

- A course of action: Public policy is often not a single decision, action, or reaction but a detailed approach or process.

- A decision to do or not to do something: A detailed public policy can either attempt to resolve a problem or be based on the belief that no action will be taken.

- A decision made: Public policy is a predetermined decision, not an intention

  or a promise. The purpose of public policy can be explained beforehand and left for later.

- Distribution of resources: Public policy is the equitable distribution of

  resources, eliminating social conflicts, and protecting individual rights.

1.1. *Scope and Elements of Public Policy*

Elements of public policy were identified by Usta as actors, descriptions, processes, institutions, and outcomes. Actors are bodies that have certain powers, can use resources, and can set policy. Descriptions are the background on which the basic normative and cognitive values that guide policies are based. The descriptions are abstract. Institutions are the rules and standards upon which political action is based. Processes involve the interaction of actors over time and the explanation of changing actions. Outcomes are the outputs or effects of public action. Addressing public policies includes the spiritual

dimension as well as the material dimension. Therefore, a policy that gives positive results in one country may not produce the same result in another.

Smith & Larimer point out the impossibility of defining the discipline of public policy as a whole and state that each field develops independently. Considering public policy as an umbrella concept from this point of view, Smith & Larimer divide public policies into three areas. These are policy process, policy evaluation, and policy analysis. While the policy process is concerned with how and why the policy is made, policy analysis is about what needs to be done. On the other hand, policy evaluation systematically considers the results of the studies carried out. Similarly, expressed three main ways of public policy. The first is the policy process, which is getting stronger and progressing to become a discipline and focuses more on the implementation phase. With the analytical methods he developed, policy analysis was specified as the second way, while specific policy areas were considered the third way. Analysts who want to specialize in specific areas such as education, health, social security, homeland security, transportation, and the environment can be seen as representatives of the third way.

There is no general framework that binds together public policies. In addition to building scientific theories, it should be added that public policies are value-oriented. Value-oriented theories may not reveal universal truths, but they make it easier to understand the different perspectives underlying conflicts. Describing the public policy as a loosely organized structure, Smith & Larimer made the analogy of "mood rather than

science" for public policy. In other words, public policy can be expressed as a set of rules rather than a tightly associated systematic set of knowledge and art rather than facts.

The public policy literature has a dispersed structure. Sabatier proposes a solution to this messiness with two basic approaches. According to the first approach, to make sense of complexity, certain issues should be simplified for certain purposes, and complexity should be made understandable from an appropriate point of view. Secondly, it is necessary to take complexity and make sense of the causal relationships that underlie it. If these causal relationships can be identified, a logical framework for how the world works can be established. With field studies, information about a certain policy process can be obtained, but it is difficult to generalize based on this information.

2.2. *Types of Public Policy*

As stated above, public policy has different dimensions and complex structures. This situation has led to the classification of public policy according to various variables. characterizes the positioning of public policy against public administration as reactionary and critical and classifies public policy in three contexts. These are policy analysis, political public policy, and public economic policy. Emphasizing the methodological dimension of policy analysis, Hughes defines the correct understanding of the public policy process and presenting accurate and useful information to decision-makers as the main purpose of policy analysis. For this, policy analysis explores viable patterns of action. Although public policy is considered

an interaction between individuals, it would not be wrong to state that this interaction is open to social and cultural influences. Political public policy theorists generally analyze policy outcomes by considering political interactions in a policy area. Consequently, Hughes argues that treating the public policy process as a dispersed structure is a more realistic formulation.

Anderson dimensioned public policies according to their domains and made four different classifications. The first of Anderson's classifications is the distinction between "*substantive and procedural policies.*" Substantive policies directly provide advantages and disadvantages to citizens and affect daily life. On the other hand, procedural policies determine the principles of how and by whom action will be carried out. Substantive policies parallel the values and norms of society, and procedural policies reflect the preferences of decision-making mechanisms.

Anderson's second classification is "*distributive, regulatory, self- regulatory* and *redistributive public policies.*" This classification differentiates policies according to their impact on society and the relationships among those involved in the policy process. Distributive policies provide services or benefits to different segments of society. In general, these policies use the government budget as a resource. For example, the government provides private school support to those who meet certain conditions and micro-credits to entrepreneurs who want to start their businesses. Regulatory policies, however, impose certain restrictions on the rights and freedoms of individuals and groups. Policies regulating commercial and

industrial life generally are included in this group. In addition, there are regulatory policies that regulate individual responsibilities and social life. While distributive policies are policies that can produce immediate results, regulatory policies are those that are effective in the longer term. Legal regulations regulating compulsory education or preventing air pollution are included in this group.

Self-regulatory policies aim to protect the interests and regulate the rights of members of a particular group. For example, work permits, certification, and licensing procedures in a certain profession are included in this group. Finally, redistributive policies can change social balances, such as the reorganization of welfare among different social masses, the reorganization of privileges provided in favor of some groups, and the transfer of some powers by the central government to local governments.

Anderson's (2003) third classification is based on the *material-symbolic* distinction. Material public policies provide a positive or negative financial benefit or power to target audiences. Symbolic public policies, as the name suggests, are policies that provide moral rather than material advantages to those they benefit from. Social justice, patriotism, and the promotion of human rights are included in this category. Anderson's final classification is the distinction between *collective goods and private goods*. While national services such as education, advocacy, or local services such as a streetlight are collective goods, solid waste collection, health care, or postal service are private goods.

2. Public Policy in Terms of Historical Development

Public policies are as old as governments. Regardless of the form of government in the historical process, all governments have formulated and implemented various public policies to cope with the people's demands. The historical course of public policy studies has been handled by **Yıldız** in three stages.

The first stage is the dominance of the developing consultancy institution in societies where the "ruling-ruled" structure based on the division of labor is effective. The first public policy records are found in Mesopotamia in the 21st century BC. The Laws of Hammurabi in the 18th century BC, the works of Confucius in China, the works of Aristotle in Greece, and Kautilya in India are ancient public policy documents.

In this period, wise people, advisers of governments, generally advised senior managers to solve social problems. These recommendations have been of partial and local quality and remained as personal comments .

For example, Plato's proposition that philosophers should be kings or those kings should be philosophers is important in terms of public policy understanding. Machiavelli's statements about the characteristics of the actors in the policy-making process can be considered in this sense.

Orkhon Monuments, written in the 8th century, are important documents. In his work "El Medinetül Fazila," Farabi discusses the qualities that rulers should have. In Ibn Khaldun's Mukaddime, there are evaluations related to the public policy, such as the theory of the state and the classification of services.

The advice given to Osman Gazi by Sheikh Edebali, which later became the spiritual constitution of the Ottoman Empire, is an example of these.

The second period, which started in the 18th century, is the systematic data collection and processing of these data with scientific methods. For example, cameralism, which aims to establish a modern management structure, has been shaped according to the principles of public policy analysis in terms of its theoretical background and implementation. In addition, the "Progressive Movement" implemented by the President of the United States (USA) Wilson is another important example of this period.

The third period after the Second World War is considered the starting point of the public policies and is the most cited period. This period was shaped mainly by studies using analytical methods that started in the USA. The most important of these is the work of Harold Lasswell .

Lasswell (1951) defined political sciences as "a science that produces knowledge about the problems of the society and tries to explain the policy-making processes of the society".

The USA's questioning of its public order against the world order that emerged after the Second World War is the main theme of Lasswell's works. Lasswell highlighted public policy as the most important response of governments to problems. Since this period, public policy has developed rapidly in the USA. The first of the basic assumptions of this development is that political science is considered based on a problem. Secondly, because each problem area consists of different components, it requires an interdisciplinary approach. The last one is based on

values .

While the public policy was under the influence of the behavioral paradigm in the 1960s, it has been influenced by the disciplines of public choice, economics, and sociology since the 1970s . Concepts such as public management, governance, participation, and negotiation have gained importance since the last quarter of the 20th century and have given a new impetus to public policy studies. Positivist analysis techniques such as strategic management, cost-benefit analysis, and system analysis became effective again in decision-making processes. It is seen that problem-oriented studies and field studies have gained weight since the 1990s.

3. Public Policy Process and Classical Approach

Heywood attributes the treatment of public policy as a process to the fact that it covers many stages, such as a chain of interrelated actions, determination of solutions to problems, and implementation of the decisions taken. Since the public policy is considered a process, the decisions, actors, events, and movements in the process should be considered. Although he criticizes the incremental model, also explains the policy process under the incremental model as follows: "In the process of creating public policy, problems are conceptualized, brought to the agenda for a solution, government agencies formulate solution alternatives, select the most appropriate solution, implement, evaluate and revise these solutions"

The understanding of the public policy process started in

the 1950s and gained an important place in the public administration in a short time. Undoubtedly, one of the main reasons for this development is its positive effect on increasing the quality of public service. Many theories have been produced to understand the public policy process. *Stage Heuristics*, which is based on the work of **Laswell** , is the most well-known of the theories that systematically explain the public policy process and has been developed over time . According to Lasswell, the public policy process is divided into seven main stages. These stages are (1) intelligence, (2) promotion, (3) prescription, (4) invocation, (5) application (6) termination and (7) appraisal .

The policy process has been considered by **Birkland** as a kind of system that transforms policy ideas into real policies with positive effects. **Birkland** considers the policy process based on Easton's systems approach. Easton designed politics and policy making as a system with input-output and feedback dimensions in 1965. The system takes inputs and requests affected by the characteristics of the policy environment and transforms them into policies. Thus, systems models see politics as the product of many influences inside and outside of government.

Smith & Larimer suggest a similar method. A problem must first come to the attention of the government. Policymakers then develop solutions to solve the problem, specifying what they perceive to be the most appropriate solution, and then evaluate whether they serve their purpose. Since a public policy rarely produces a complete solution to the problem, the stage of redefining the problem is started

according to the results of the evaluation.
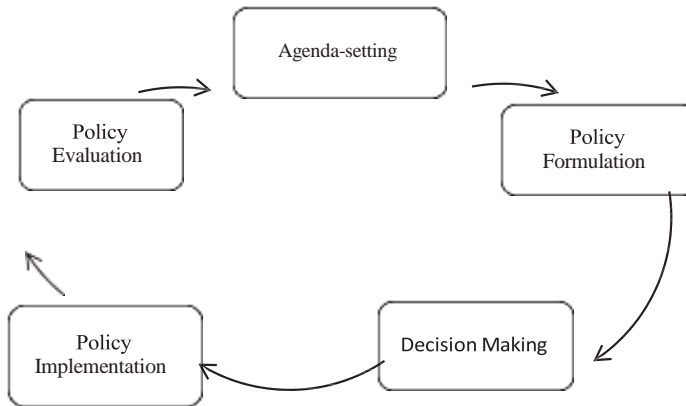
Studies conducted since the 2000s show that the public policy process is mainly examined in five stages. (Figure 1). These stages consist of (1) agenda-setting,

(2) policy formulation, (3) decision-making, (4) policy implementation, and (5) evaluation. As mentioned above, the public policy process is mainly handled through the classical approach. For this reason, detailing the classical approach with its stages will benefit understanding the public policy process.

### 3.1. *Agenda-setting*

Governments are faced with a myriad of problems to be solved and a variety of demands that must be met. Out of this sea of problems, those that the government will bring forward, those that will be postponed, or those that will not be taken into account form the basis of this stage. . Akdoğan defines agenda setting as "the examination of how important or prioritized a

particular public policy issue is for a particular public policy actor." While agenda setting is mainly handled as an initiative of civil society, defining the problem -as in other stages of the policy process- is characterized as a process in which the state is more effective.

The way the problem is defined also affects the solution policies to be created. Groups that want possible solution proposals to develop under their interests want to be more active in defining problems. In addition, the first step in the struggle to keep rival groups out of the solution is to exclude them from the definition of the problem. For this reason, hard struggles are experienced between rival groups during the agenda-setting .

Dunn ,who takes the definition of the problem from a broader perspective, proposes a four-stage problem structuring process. These are problem research, problem definition, identification of problem characteristics, and problem perception. In structuring the problems, the groups affecting the problem and affected by the problem should be determined in detail. Through this gradual process, a fundamental problem becomes a formalized problem. The main goal here is to understand the nature of the problem. A proper understanding of the nature of the problem can help discover hidden assumptions, diagnose causes, map potential targets, synthesize conflicting views, and design new policy options.
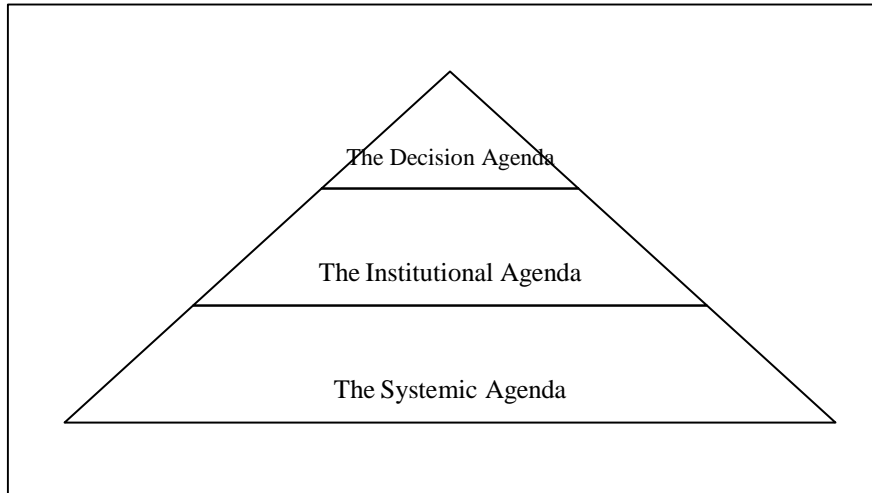
Figure 2: Phases of the Policy Agenda

On the other hand, we defined the policy agenda by dividing it into stages (Figure 2). The most general level of the agenda is the agenda universe, which includes all the ideas that can be put forward and discussed in a society or political system. The systemic agenda consists of all the problems enerally perceived by the members of the political community, which attract the public's attention and include issues related to the legitimate scope of the current government authority. The institutional agenda is the sum of the items listed for active and serious consideration of the institution's decision mechanisms. The last phase is the decision agenda. Undoubtedly, very few of the problems that make up the agenda universe reach the decision agenda .

3.2. *Policy Formulation*

Policy formulation is the development of policy alternatives to produce solutions to the problems on the public agenda and respond to the needs. The formulation of policies is usually

made by middle managers, not top managers. Pressure groups, bureaucracy, commissions formed in the parliament, and think tanks play a role in interacting with each other. The strength of these actors' ideas, and especially the stability of their policy subsystems, has attracted great interest in policy-making in recent years. Contrary to defining and bringing up the problems, the public is not directly influential in formulating the policy .

Çevik & Demirci define policy formulation as the stage in which the policy program is made, and the goals and objectives are determined. Kaptı, referring to being scientific, lists the features that a good policy formulation should have as follows:

- Public policy should be simple for everyone to understand and clearly defined.
- The public policy that is considered to be formed should be supportive of other public policies in force and at least should not conflict with other policies.
- While formulating public policies, the real situation should be taken into

  account, and the competencies of those who will implement the policies should not be overlooked.
- Policy formulation should be open to new situations and should be able to

  update itself constantly.

Anderson characterizes policy formulation as merely processing alternatives or options to deal with a problem. **Demir** adds positive and negative externalities to these elements. Recent studies highlight that policy formulation "depends on the configuration of a particular policy community" .

3.3. *Decision Making*

Kaptı defines decision-making as moving the policy draft to the legislative ground. Decision-making includes one or more of the alternatives to reject, change and adapt. Tools such as legislative approval, executive approval, seeking consent through consultation with interest groups, and referendum are used to provide support for selected policy tools .The importance of this stage for policy analysis is that the context that determines the policy choice of decision-makers can be determined at this stage. Therefore, this stage attracts great attention from policy analysts, researchers, and academics

   Political scientist Heywood describes the decision-making phase as the central element of the policy process.

   Decision-making models are discussed under three headings: rational decision-making, incremental, and hybrid, per Anderson's classification. The rational model in decision-making is based on the "economic man" thesis, deciding on the policy in which the maximum possible benefit can be achieved. Rationality, which emerged under Weberian understanding and was later developed by Herbert Simon, plays an important role in decision-making, especially after WWII. However, it was subjected to significant criticism afterward. Building on

Lindblom's criticisms of the rational model, the incremental model includes only certain adjustments. Policy goals and tools are constantly cyclically adjusted so optimal decisions can be made without seeking the "best." On the other hand, the hybrid model is a generally more abstract one that reconciles the rational and incremental model. When describing the hybrid model, Anderson gives an example of using a wide-angle camera that can see the whole and a close-lens camera that can see the details together.

3.4. *Policy Implementation*

The policy implementation stage is defined as the action or series of actions that take place from the government's declaration of a formal intent to do something to the emergence of results. Based on the implementation of public policies and the achievement of determined targets, this stage constitutes the most emphasized dimension of the public policy process literature . The key role of the implementation Process is whether the success or failure of the policy is revealed in this process. Another issue is that those who investigate the cause of policy failures focus on the implementation phase.

Although many perspectives have been developed to understand the implementation of public policy, there are two main approaches. These are the "top-down implementation model," which assumes that policies are formed as a result of a hierarchical top-down activity or interaction, and the "bottom-up implementation model" that focuses on the qualities of the lower segments .

According to the top-down implementation model, implementation starts with the top managers. The success of the implementation directly depends on the harmony between the decisions made by the top managers and the policy results.

On the other hand, the bottom-up implementation model is mainly based on the work done in the early 1980s. The basis point is the audience's motivation, capacities, and performance in the last link of the implementation process. In other words, the most influential actors in the implementation process are the actors in the last link. Lipsky (1980) defines the public officials in this last circle as "street bureaucrats."

3.5. *Policy Evaluation*

Evaluation is the mechanism established to monitor, systematize and rate ongoing or recently completed government interventions. **Dye**, who defines evaluation as the objective, systematic and empirical examination of policies in terms of the goals to be achieved, suggests investigating the policy effects and considering the goals. Of course, the objectives of every policy are not clearly stated. With the impact evaluation, the social and political impact of the policy is investigated.

The evaluation stage provides important contributions to the policy process. Evaluation has a cognitive dimension as well as a dimension involving public actions. It informs the actors about the process. Evaluation includes normative features as well as descriptive features. Contributing to the production of social values about the process is another dimension. The most important contribution of the evaluation stage to the public

policy process is that it facilitates the decision making stage

In addition, the evaluation needs to be carried out in two different dimensions that deal with both the process and the results. While the process evaluation deals with what has been done, the outcome evaluation examines what has been achieved .

3.6. *General Evaluation of the Public Policy-Making Process*

Early public policy studies viewed decision-making as an important rational tool for achieving optimal policy outcomes. For this reason, mathematical models were used predominantly in this period . Since the 1990s, the criticisms brought to the main public policy trends have led to the developing of more comprehensive approaches. It has come to the fore as a deficiency that the analyses and evaluations to be made in the public policy are only made with approaches fed by structuralism and behaviorism theories. This new approach synthesizes multiple approaches by emphasizing complexity and fragmented, and Orhan (2015) named this as the interpretative approach.

The concept of the process was shown as the best way to understand public policies until the 1980s and has been subjected to severe criticism since these years. These criticisms can be listed as follows:

- Process understanding is not causal theory, as it deals with the policy process in a general way and does not define a causal theory set.
- There is no consistent set of hypotheses between the stages. The descriptiveness of the proposed sequence of

stages is questionable.

- Stages are overly formal and top-down oriented. This orientation ignores the interaction of applications.
- Stages assumed to have taken place in theory do not actually occur. The transition between stages is not evident.
- The process model ignores internal and external factors, socio-cultural structure, and actors that affect the process.
- Policy actors influence each other at every stage.
- Political actors are affected positively or negatively by past experiences. However, the policy process ignores political learning.

As a result, as **Gültekin** and **Sabatier** pointed out, more descriptive, experimental, testable, and descriptive models are needed to understand the policy process fully. However, it is possible to say that the process model, as the most cited approach in the literature, continues to be the mainstream in understanding public policies.

Chapter Five

PUBLIC POLICY ANALYSES

1. Introduction

Public policy analysis increasingly strengthens its claim to be an alternative to the field of public administration. The orientation of respected universities in the United States to the field of public policy,

the publication of the analyses in prestigious publishing houses, and the rapid increase in the number of analysts providing consultancy services in the field have given a great impetus to public policy analysis studies .

Today, especially by politicians, public policy analysis is perceived as "prescribing". This negative perception causes the field not to receive the attention and value it deserves. However, the primary priority of public policy analysis is to explain rather than prescribe. Public policy analysis mainly focuses on the nature of public administration and how decisions are made. While Lasswell (1936) argues that political science deals with the questions of "Who gets what, when, and how?"; Dye argues that policy analysis is concerned with questions of "*what governments do, why they do it, and what difference they make*". Creating an explanatory scientific framework for the causes and consequences of public policy and developing a viable theory can be expressed as the second

priority.

This study has been prepared to explain the basic concepts of public policy analysis, give general information about the approaches and models used, and introduce different practice examples. In this context, the definition, purpose, characteristics, scope and dimensions of policy analysis are explained. Afterwards, the approaches and models used in policy analysis are introduced. Finally, different examples of policy analysis are given.

1. What is Public Policy Analysis?

Smith & Larimer define public policy analysis as "an applied social science discipline that uses a great deal of inquiry and evidence to generate and transform policy-related information that can be used in political settings to solve policy-related problems". **Akdoğan** explained the concept with a pragmatical point of view, as "the scientific use of the results obtained as a result of experimental research in the solution of social problems". On the other hand, emphasizing the multidisciplinary nature of policy analysis and its chain of actions, **Dunn** defined it as "a multidisciplinary research process designed to generate, critically evaluate and convey information useful in understanding and developing policies". **Çevik & Demirci** defined policy analysis as "if the public policy is accepted as a whole, it is the activity of breaking this whole into parts and revealing the details by examining the parts and sections, thus having an idea about the whole".

Dye describes policy analysis as an applied subfield of traditional disciplines such as politics, law, public administration, economics and sociology.

Although policy analysis has normative features, its descriptive aspect is more dominant. **Dunn** focused on the explanatory aspect of policy analysis in his study, in which he dealt with public policy analysis in detail. Based on the five questions he developed (What is the problem for which a solution is sought? What course of action should be chosen to solve the problem? What are the consequences of choosing this course of action? Do achieving these results help solve the problem? What future consequences can be expected if another course of action is chosen?) he built his policy analysis on five basic elements. These five elements are policy problems, policy performance, expected policy outcomes, preferred policies, and observed policy outcomes. The information provided through these elements constitutes the policy analysis process. Dunn points out that solutions to social problems brought by any political, economic, administrative, legal or ethical disciplines will be inadequate. In addition, he states that dealing with public policies, which are complex and multifaceted in nature, with a multidisciplinary approach can yield more positive results.

Based on the definitions above, it can be said that the definitions made about policy analysis are mainly clustered around specific characteristics. Accordingly, policy analysis is a multi-aspect concept that refers to intuition, creativity, and
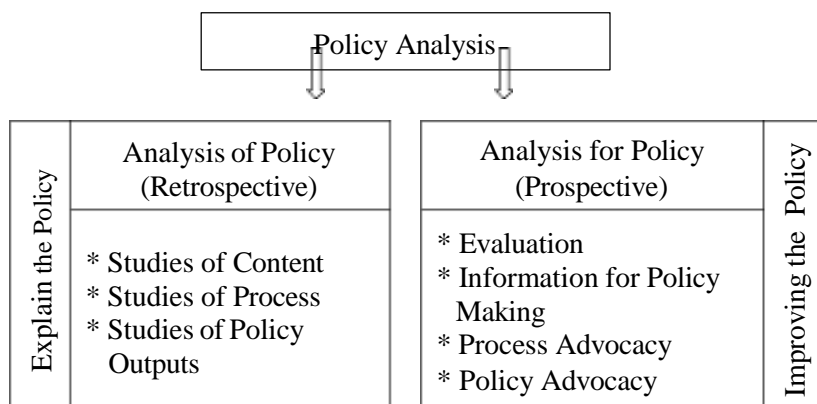
scientific features.

1.1. *Scope and Dimensions of Policy Analysis*

Demir addresses the scope of policy analysis in three dimensions. The primary function of policy analysis is to generate knowledge. How are public policies formed? How are these public policies put into practice? Policy analysis seeks empirical and systematic answers to these questions. In other words, policy analysis functions as a technical tool to determine what needs to be done. However, it would not be correct to define policy analysis as a reductionist approach that provides only scientific information because it is impossible to deal with scientific information to be produced independently of social values. The second is the problem-solving function. The desire to solve social problems has led to different methods and techniques. Although various problem- solving theories and models have been developed in the literature, "problem identification" is considered the first step in almost all of them. However, the problem-solving function should not be considered the only determinant. The proposal developed for a solution should be preferable by the political authority and compatible with existing policies. The problem-solving function does not always have to offer solutions directly. Providing detailed information about the proposals indirectly contributes to the solution. **Gül** summarized the main issues addressed by the policy analysis as follows:

- Defining the problem, which is the reason for the policy, determining its dimensions and the effect of the actors in the policy-making process,
- Characteristics of alternative policies that can solve the problem,

- purpose of public policy and the basic principles, values and social norms on which it is based,
- Characteristics and dimensions of the public policy adopted,
- Implementation of public policy and its implementing actors,
- Who is affected, or how do they benefit from public policy implementation.

The analyses made for a public policy analysis are called primary analysis, and the ones that support and improve an existing public policy are called secondary analysis. As shown in the figure 1, **Hill** considers policy analysis in two dimensions: "analysis for policy" and "analysis of policy". Policy analysis investigates one or more cases to track how a policy came about, how it was implemented, and what the results were. Many academic studies have focused on a single policy or area (social, environmental, foreign, etc.). **Enserink et al.** characterize policy analysis as an academic study and name it "policy studies". The main feature of analysis for policy is that it is interventionist and prescriptive. Thus, qualified information can be provided to decision-making mechanisms.

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                         ┌───────────────────────┐
                         │    Policy Analysis     │
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Explain the Policy	Analysis of Policy (Retrospective)	Analysis for Policy (Prospective)	Improving the Policy
	* Studies of Content * Studies of Process * Studies of Policy Outputs	* Evaluation * Information for Policy Making * Process Advocacy * Policy Advocacy	

Figure 1: Dimensions of Policy Analysis

Knoepfel et al. who developed a unique model for public policy analysis, explained the theoretical background of policy analysis through three schools. The first of these schools is the one that bases its policy analysis on state theories. For analysing public policies, it is necessary to consider policy questions concerning the theory of the state. In this context, three theoretical stand out. The first is the pluralist framework, which considers public policies in response to social demands and sees the state as a "gateway of service". The second is the neo-marxist framework, which sees the state as being dominated by a social class or certain groups. The last is the neo-corporatist or neo-institutionalist framework that emphasizes the

distribution of power and the interaction between actors.

The second school identified by **Knoepfel et al**. is the school that explains how public actions work. Trying to understand the working logic of public authorities, this school relies heavily on early policy analysis studies in the context of rationalizing public policies. Inspired by management sciences, complexity sciences and economics, this school is fed by Easton's systems approach, Simon's concept of limited rationality, and most importantly, **Lasswell's** principle of rationalizing public policies. The third school was founded on the evaluation of public policies. This school tries to explain the consequences of public actions. In this sense, many models have been developed to evaluate public policies. Benefit-cost analysis, analyses based on a statistical analysis of quantitative data and experimental comparisons can be given as examples Policy Analysis Forms

Dunn developed different forms of policy analysis and placed policy analysis in an analytical framework. These analysis forms are the "retrospective- prospective policy analysis form", "descriptive-normative policy analysis form", and "problem finder-problem-solving analysis" form. Retrospective policy analysis involves generating and transforming information before policy actions are taken. The working principle of economists and analysts is based on the form of analysis of planned policies. Analysis of prospective policies is an older form of policy analysis and involves generating and transforming information after policies are implemented. This

type of analysis explains the causes and consequences of public policies.

The second form of policy analysis is the "descriptive-normative policy analysis" form. Descriptive policy analysis is parallel to decision-making theories. Through applied policy analysis, public policies are analyzed, and policy results are determined with causal inferences. Normative policy analysis represents normative decision theory, which expresses a set of logical propositions that evaluate action. The most important feature of normative policy analysis is that those policy proposals consider different subjective criteria, including efficiency, equity, sensitivity, freedom and security. The last of the policy analysis forms are the "problem finder-problem solver analysis" form. Problem-finding is about identifying the problem and its elements rather than finding solutions to problems.

2.3. *Use of Approaches and Models in Policy Analysis*

Various ideas have been developed to simplify public policies and make them understandable. These ideas have uses such as "*approach*", "*model* , "*theory*, and "*framework* . The fact that the concept of the model (such as policy analysis models, decision- making models and public policy-making models) has multiple uses causes ambiguity . The uses of public policy approaches or models are summarized by **Dye** as follows:

- Simplifying and classifying the political and public policy thinking,

- Identifying problems in a policy area, taking into account important dimensions,
- Focusing on the basic dynamics of political life, helping public policy actors to understand each other,
- To reveal all important or unimportant factors for a better understanding of public policies and to guide public policy studies,
- Developing proposals for public policy and predicting the consequences of these proposals.

2.3.1. *Institutional Approach*

Anderson deals with the institutional approach through institutions' legal and formal relations. While analyzing public policies, the structure, legal authorities, working procedures, functions and activities of these institutions that determine and implement public policies constitute the most important analysis elements. According to the institutional approach, public institutions bring three features to public policies. These are legitimizing public policies, making them universal and forcibly imposing public policies on society.

2.3.2 *Rational Approach*

The rational approach tries to explain political behavior with economic principles. According to the rational approach, governments should prefer policies that provide maximum social benefit and avoid others. In other words, cost-benefit analysis should be the main criterion in determining public

policies. While making public policy choices, criteria such as the values and preferences of the society and their relative weight, all alternatives, the results of all policy alternatives determined, the rate of benefit for each policy alternative, and the selection of the most effective policy alternative should be considered. In summary, the rational approach requires a systematic decision-making process .

2.3.3. *System Approach*

The systems approach is a basic approach developed by the political scientist David Easton and has become a source for the models that have come to the fore recently. In this approach, public policy is seen as the political system's response to the demands formed in its political environment. In other words, public policy is considered an output of the political system. The most essential components of the approach are the political system, inputs, outputs and the environment .

The inputs of the political system consist of demands and support from the environment. The interests of individuals or groups shape demands. As long as individuals or groups accept the outcomes of the political system, they are supported. Inputs are converted into outputs by the political system. The amount of support indicates the level of legitimacy and authority of that political system. With the outputs, the environment and the political system are reshaped. The environment can be described as everything that falls outside the field of public policy. This cyclical process repeats continuously . Instead of explaining

events from a single point of view and depending on limited factors, the systems approach highlights the idea that it would be more scientific to examine each event in its context and relation to other events.

2.3.4. *Group Approach*

According to the group approach, public policies emerge from group struggles. Individuals act in groups to access scarce public resources and try to maximize their interests. Thus, groups act as a bridge between the individual and the government. **Dye** stated that in accordance with the group approach, the task of politics is to determine the rules of the game, to balance the interests and to achieve consensus, to develop policies that can provide continuity to the consensus and to implement the determined policies. A public policy in effect at any time is in a state of equilibrium in the struggle between groups. However, a change in the influence of any group causes a change in public policies.

2.3.5. *Policy Networks Approach*

This approach, which defines policy making as "a process in which different actors in interdependence participate", synthesizes policy-making beyond state or society-centered approaches. Policy networks do not carry out this synthesis based on actors only, they also take into account the relations between actors. Although the first policy network studies focused on macro-scale national policies and provided a general

framework, it is possible to analyses policy outcomes by examining the internal dynamics of policy networks . Although it is frequently mentioned in the literature that the theoretical foundations of the policy networks approach are blurred , it can perform practical policy analyses thanks to the models and practices it has transferred from other disciplines. When the studies are examined, it is noteworthy that this approach has obvious advantages over other approaches in explaining policy results and changes.

2.3.6. *Incremental Approach*

Lindblom developed the incremental approach in response to the rational approach. According to this approach, public policies are realized in the form of continuation of the activities carried out by the past policy actors with additional regulations. Decision-making mechanisms determine the current public policies as the starting point instead of an achievable result . Public policy actors, whose mandate is determined by law, turn to a limited number of alternatives instead of developing new alternatives. Thus, possible conflicts and differences of opinion are minimized, and stability is maintained . The incremental approach has some practical advantages over the rational approach. This approach provides policymakers with mobility even when the rational approach is blocked. It reduces analysis costs as it focuses only on realistic and achievable alternatives. Since the approach has a high feedback feature, it allows errors to be corrected. It reduces opposition to public policies as it does not foresee marginal changes.

2.3.7. *Elite Approach*

This approach sees the elite as the leading actor in public policy. In this respect, analyzing the preferences and values of elites is of great importance in

understanding public policies. The elite's view of the change in public policy is not revolutionary but conservative and moderate. Large-scale policy changes can only be made by the elites themselves to protect these interests, only when the interests of the elites are endangered .

2.3.8. *Advocacy Coalition Framework*

The first feature of the advocacy coalition is that it defines policy changes in terms of external variables rather than rational data. Political learning, the second important feature of the model, is that the group influences individuals within the framework of these coalitions, and the group's preferences are above their own. The advocacy coalition model, similar to the group approach, is the modern version of the group approach . The advocacy coalition model has significant advantages. Most importantly, it can measure policy changes over time and explain how subsystems have adopted them. The theoretical assumptions on which the model is based are as follows;

- A minimum of ten years is required to understand the policy change process and the role of learning.
- The best way to understand policy change during this time is to focus on the interaction of actors and policy subsystems.
- Public policies or programs can be conceptualized parallel to belief systems rather than rational paradigms. In other words, policies and programs contain implicit theories and

assumptions that reflect the beliefs of one or more coalitions.

- The policy subsystem is the primary unit of analysis for understanding policy processes and includes all actors at the level of the policy process. Scientific and technical knowledge is essential to understanding the subsystem dimension. Subsystems categorize actors by grouping them into one or more coalitions.

2.3.9. *Multiple Streams Model*

The multiple streams model developed by Kingdon (1984) focuses on agenda setting and alternative policies. Kingdon argues that bringing a policy to the agenda and choosing a solution alternatively can only be possible with the combination of three stream elements. These three streams are *the problems stream*, *the policy stream*, and *the politics stream*. Each stream contains different actors and groups . The explanatory advantage of this model is the modeling it creates to overcome uncertainties in the public policy- making process. While some public policies are put on the agenda, others cannot form the agenda. This judgment forms the starting point of the multiple streams model .

In the multiple streams model, the problems, policy and politics streams flow independently and dynamically. Policies flow independently of problems, not as solutions to problems. As such, policies wait for appropriate times and conditions to be articulated to problems. Kingdon describes these favorable times

as "*policy windows*." Policy windows are critical times when the three streams converge. Policy windows are open in these critical times. When windows are open, it is an excellent time to create policies. Kingdon explains this process with the example of a "surfer waiting for a wave". Policymakers must wait like surfers waiting for the right wave .

2.3.10. *Punctuated Equilibrium Model*

It is based on the rational model and the critique of the incremental model to explain the large-scale changes in public policies. In addition to explaining the wide-ranging changes in public policies, it also has the power to explain why public policies have not changed for a long time. The punctuated equilibrium theory, developed by the evolutionary biologist Gould (1972), is based on the thesis that "species move from one equilibrium state, which they maintain for a long time, to another equilibrium state with a sudden change (jump)," was adapted to the field of public policy by Baumgartner & Jones (1993).

Chapter Six

RETHINKING GOVERNANCE: GOVERNANCE FOR STATE, PRIVATE SECTOR AND CIVIL SOCIETY ORGANIZATIONS

1.   Introduction

Governance is one of the most up-to-date and popular approaches in the field of organizational sciences. Within the discipline of public administration, discussions on governance often come to the fore.

Due to the nature of the discipline, public organizations are at the center of governance discussions. In this context, discussions are mostly conducted from the perspective of public organizations. Undoubtedly, governance can be discussed as a process in which public organizations take an active role and construct, but due to the multi-actor structure of governance, non-governmental and private sector organizations as other components of this structure should be included in these discussions. This study will mainly focus on the meaning and holistic applicability for different parties and actors within the holistic structure of governance. In addition, the place of the governance process in public policy making and its contributions to the public policy process, which points to the coexistence of different actors, will be examined in the context

of concluding the first discussion. In this framework, the public policymaking process will be examined in three stages on the axis of planning, implementation and evaluation, and the applicability of governance and possible contributions to the process will be discussed for each of these stages.

1. Governance: Together for All

The increasing importance of the citizen in the public administration can undoubtedly be read as a result of cultural, political and economic reconstruction. For example, the change created by neoliberalism in the state-market relationship has paved the way for new actors to be included in state-related processes. Modern public administration accepts citizens as "clients" whose needs must be answered and "partners" with whom to cooperate effectively. The role and function of the state was also transformed under this condition. State become a collection of interorganizational networks which made up of governmental and societal actors . In this context, the nature of governance as a roof of the interorganizational networks, is about coexistence of citizens and rulers . The reference to citizens here refers to societal actors, citizen involvement and also involvement of the private sector and civil society stakeholders.

Governance stands out as a solution for the public, private and civil society sectors in the planning, decision-making and implementation processes by all stakeholders working to ensure the welfare and well-being of people and citizens. Governance is a hot topic today to understand whether

countries are well-governed. Having an established democracy and good governance have become an important criterion for a country's reputation and reputation on the international stage

In this part of the study, governance as a solution and strategy will be discussed and explained with its inherent multi-actor and multi-sector structure. Governance is the ability to make and enforce rules, and to deliver services. The main characteristic of the governance is about performance of agents in carrying out the wishes of principals, and not about the goals that principals set . Duit and Galaz (2008) argues that the umbrella term of "governance" is the transformation from command-and-control management performed by Weberian bureaucrats within centralized national bureaucracies to a plethora of different schemes of self-government, public–private partnerships, collaborative efforts, policy entrepreneurs, and participatory initiatives.

In addition to these, emphasized the ability of governance to cope with uncertainty and change. The above definitions point to two powerful features of governance. First of all, the multi-actor structure of governance and involving citizen participation is the participatory side of governance. Secondly, the ability of governance as an organizational strategy to create change and deal with complex issues is a contemporary organizational administration side.

As discussed above, contemporary problems and the solution of these problems have redefined the relations between the state and social actors as a result of the reconstruction created by the current socio-political and economic climate. The changing form of the relations between the social actors and state points to new networks and the power of these networks to determine change. Governance refers to employing inter-organizational networks with the government to ensure the welfare and well-being of society. This is precisely where the strength of the popularity of governance in contemporary organizational sciences comes from. Solving contemporary problems and ensuring social welfare & well-being is could be possible with a "multi-actor, participatory" approach. However, it is possible to cope with complex issues with governance, which points to the unity of the state with social actors.

Governance, by its very nature, cannot be a matter of state and public policy alone. The government's execution of public policy in collaboration with social actors can only be at the most visible part of governance. In this context, although it is true that governance refers to the cooperation of social actors, including the private sector and civil society, it is inevitably required to be understood by view of all social actors. The governance of other social actors, as well as the governance of the rulers, is important in practice and theory. For example, governance for companies or governance for non-governmental organizations is as important as the governance of the state and rulers. In this study, governance will not be handled only with a

state-centered perspective, but will be examined as a phenomenon in which social actors take sides. Social actors here are defined to include government, decision makers, private sector and civil society stakeholders. In short, this study examines governance with an inter-organizational approach and this approach also includes the governance of non-state actors.

1. **Whose Governance?**

In the discussion held in the previous section of this study, the meaning of governance was examined. In this section, in order to explain the governance with emphasis on multi-actor structure, the meaning of governance separately and holistically for the parts of the triple backbone (public, private and civil society structure of the social actors) that constitutes governance will be discussed. The purpose of this section is primarily to frame governance in an inter-organizational approach to Governmental Organizations, Civil Society Organizations and Private Sector Organizations. The meaning of governance

will then be discussed separately for each of the main components of this triple backbone structure.

According to United Nations, Participation, Rule of Law, Transparency, Responsiveness, Consensus Oriented, Equity and Inclusiveness, Effectiveness and Efficiency, and Accountability are main principles of the governance. Similarly, **Tkaczynski (2010)** describe the three most prominent concepts associated with governance as accountability, transparency and participation in their articles in which they evaluate the governance-centered studies in the fields of political science and business. All of the principles pointed out in these definitions refer to decentralized power and multi-agency. For the realization of governance and the implementation of these principles, the involvement of more than one actor in the relevant process, these may represent the government, civil society or the private sector, is actually a necessity. However, the involvement of more than one actor in the process alone may not be enough. The actors involved in the process should also apply the principles of governance within the organization for an ideal governance.

The actual implementation of governance within the organization and inter-organizational can ensure that the process is carried out with governance. As it can be understood from here, the implementation of governance from the very beginning can only be possible with the governance of the organizations themselves and then the implementation of governance with an inter-organizational approach.

Another important point regarding the governance principles is that

governance goes beyond the command-and-control management approach. Governance is only possible if the power relations of the actors & stakeholders involved are within a lower power distance. To explain power distance in this context, organizations are called organizations in which low or high power distance is dominant in relation to the degree of centralization of power in the organization. In organizations with low power distance, actors avoid meeting power inequalities as normal, and may not have a questioning and critical approach to managerial practices and have less say in decision-making processes .

As power distance directly affects the realization of governance within organizations, the existence of low power distance in the relationship between organizations is necessary for the realization of governance. Thus, the ideal implementation of these principles depends on the realization of the relationship between the actors among equals. At the very least, it is necessary to ensure equal participation in the process.

1.1. *The Governance of Governmental Organizations and Stakeholders*

As of the end of the 20th century, in many parts of the world, especially in the west, the process of sharing the governing power of the state with other actors along with the issue of citizen participation and bringing forward principles such as openness, transparency and accountability in order to save the giants from the scandals considered burdensome of the welfare state is understood together with governance. Governance of the public sector closely concerned with the cost and quality of public services with the effect of the service delivered and the policies implemented on the society .

In this context, governance also means the transformation of the entire public policy process for state organizations. It means not only the inclusion of other actors in the administration process, but also the transformation of the administration process in terms of function and quality. Behind the scenes of this transformation, there are many reasons such as the transformation of the market-state relationship, social opposition, and the search for public administration reform. Ultimately, however, this transformation is a result of the state's search for legitimacy.

According to **Ansell and Gash** (2008), governance brings together multiple stakeholders for consensus-oriented decision making. They define collaborative governance as "a governing arrangement where one or more public agencies directly engage non-state stakeholders in a collective

decision-making process that is formal, consensus-oriented, and deliberative and that aims to make or implement public policy or manage public programs or assets". "Initiation by public agencies or institutions, participation of no state actors, direct engagement in decision making not consulting, being formal, being consensus- centered and the focus of collaboration for public policy or public management" are six important criteria of the definition. In parallel with these propositions, significant changes, such as technology developing, actually necessitate a holistic policy-making process based on cooperation, not just for conflict resolution. Collaborative policymaking is not just a method can solve problems when there is a conflict, it is a way to establish new networks among actors .

In fact, this collaborative holistic public policy process brought about by the quest for legitimacy is explained by governance, while it expresses the state taken by the administration of public issues with its own methods and standards. The redefinition of power relations in a multipolar way, in a legally determined manner, is the clearest example of the quest for legitimacy. In this context, the governance of governmental organizations and stakeholders can be defined as "the formal involvement of non-state actors in the administration

of public matters on a consensus-building basis". This can happen at different stages of the issue, such as planning, implementation, or closure, or at all stages. The important point here is the transformation of power relations in public matters to include non-state actors.

The governance of governmental organizations and stakeholders actually implies the construction of public organizations in accordance with governance, the conduct of the relations between public and non-state actors in accordance with governance, and ultimately the promotion of the construction of non- state actors' organizations in accordance with governance. In other words, the implementation of governance principles by public actors is a prerequisite for realization of the governance. However, it is necessary for these actors to regulate their relations with non-state actors in accordance with governance. Also, it is necessary to operate some processes such as distribution of knowledge, strengthening civil society, and actually establishing the legal basis for the participation of non-state actors. Finally, it is necessary for non-state actors to make their organizational systems suitable for governance.

3.2. *The Governance of Civil Society Organizations and Stakeholders*

The participation of civil society as a service provider in the social conflict resolution process, together with the duty of voicing demands, actually makes civil society a party at every

stage of any issue. Contemporary ideas surrounding 'civil society' and 'good governance' form the key theoretical components for the project of 'improving' constituencies which are characterized by instability and human rights abuses . State and civil society partnerships are argued to improve provision of basic social services to the poor: the state is viewed as providing scale, with NGOs ensuring good governance

In this context, civil society is the main actor of a wide process that provides direct services to citizens, supports the creation of its rules with its expert knowledge, or takes a direct role in determining the problems and needs, not just expressing the social opposition or the demand of the public. Considered within this framework, the governance of civil society organizations and stakeholders occupies an important place for the relations of civil society with the market actors, the relations of civil society with state organizations and, together with all these, for the construction of a holistic governance. The construction of the governance of civil society organizations and stakeholders primarily depends on the governance of non-governmental organizations. The relationship of grassroots organizations with the groups they represent and their

members, organizational models should be built in accordance with governance principles and processes.

In addition, the relationship of civil society with the state and the market should be established in accordance with governance. It is important not only for producing short term consensus, but also long term benefits for whole society. In fact, when governance is viewed from the perspective of civil society, first of all, the conformity of civil society to governance within its own organization can be explained as the construction of its relationship with the state and the market in accordance with governance. In these relationships, embedded partnerships or / collaboration, realization of governance, is good way to improve delivery of social services on a long-term basis because just transfer of skills or knowledge does not in itself lead to long-term change in government operating practices . It is similar in the relation between private sector actors and NGOs. Over the past few years, alliances between business firms and NGOs have become an increasingly important tool for both firms and NGOs .

The meaning of the governance of civil society organizations and stakeholders can be explained in two important ways, together with the discussion conducted above. First, the civil society organization itself must be open, transparent, accountable, and most importantly, in a way that prioritizes participation, in line with governance. Non-governmental organizations should be organized to represent their grassroots and open to their direct participation. Also,

participation of civil society in relevant processes can only be possible if they have sufficient expertise and service capacity. Their capacity to serve in their fields of work and their expertise are the prerequisites for their participation in the relevant processes. Secondly, the forms of engagement with government organizations and private sector organizations should be carried out in accordance with governance. Here, as the party of this relationship, the way civil society establishes the relationship is important, as well as the state's making this relationship possible and the private sector's establishment of the ground for this relationship is necessary for the realization of governance.

3.3. *The Governance of Private Sector Organizations and Stakeholders*

By the second half of the 20th century, state-market relations turned in favor of the market. Private sector actors now perform more services than ever before and are involved in social processes. In the 1990s, a consensus started to emerge that the state, the market, and civil society, which had come forward as a third sector, are complementary .

In other words, the need for active engagement of the private sector has become accepted policy orthodoxy . The increasing role and influence of the market in every sense has also changed the internal and external dynamics of private sector organizations. As for-profit organizations, their management only as organizations based on efficiency and effectiveness is not enough to meet the requirements of the contemporary age.

As important social service providers, their responsibilities towards society have increased, however, they have had to reorganize their relations with the state in terms of the roles and functions they have taken over from the state. Also, they had to reorganize their relations with individuals and civil society in the context of their increasing responsibilities not only to the state but also to society. While the way of regulating these relations can be considered as profit-oriented in some cases, in some cases, it takes place in the form of responding to the public conscience, especially in the western world.

The governance of private sector organizations and stakeholders can be explained in two important ways, together with the discussion conducted above. First of all, private sector actors try to establish a management structure within the framework of principles such as openness and transparency for commercial or social reasons. This structure points to governance in many ways. In some cases, private sector organizations that try to ensure the accountability of their companies in the context of their traded shares, in other cases, they need governance to provide legitimacy to their customers. However, it is worth remembering that politics, economic plights and organizational structures are vitally important in contingently shaping business involvement in the context of organizing governance .

Secondly, private sector organizations have become the inevitable partners of the processes that are actually carried out in their relations with both the civil society and the public organizations. In this context, the effective maintenance of the

existing relationship depends on the organizations of the parties to act in accordance with the governance and to build the relationship between them in this direction.

4. **How to Practice Governance as a public policy process? The Contributions of the Governance to the Public Policy Process**

As stated in the previous part of the study, governance is implemented in different processes and practices. In this part of the study, a proposal on how governance can be practiced will be the subject. As discussed earlier, governance is a multilateral strategy. In this study, the state, private sector and civil society organizations were considered as the three main actors & sides of governance. In this section, the possible practices of governance for all these parties will be discussed. Although the implementation of governance for all these parties is different, the practices of the governance are based on fundamental principles and methods are common. In fact, this situation is an important facilitator in order to overcome the confusion that arises in governance discussions.

A public policy process will be taken as an example while discussing how to practice governance. The public policy process basically consists of the stages of planning, implementation and conclusion. Governance principles and methods are used separately and holistically for each of these stages. According to Harold Laswell's model of policy making in the International Encyclopedia of the Social and Behavioral Sciences, the stages of the policy making cycle are " agenda

setting, policy formation, decision making, policy implementation, and policy evaluation". To look in more detail, the process of public policy's stages are "identification, information gathering, consideration and decision- making, implementation, evaluation and termination or renewal" (Sullivan, and et al., 2015). In this study, governance will be examined as "The Power to Understand and Anticipate" for the stages of "identification, information gathering, consideration and decision-making". Implementation stage will be examined as "The Power to Work Together" and evaluation and termination or renewal stages will be examined as "The Power to Monitor and Evaluate".

4.1. *The Power to Understand and Anticipate*

In general, public policy aims to raise a legitimate societal problem and/or need, to put forward the solution options and the most appropriate choice (policy or program) and to solve this problem or to meet the need of public actors or other public actors under their control or supervision. It includes the planned decisions and actions of actors . Public policy can be explained as a discipline that uses scientific knowledge to solve social problems and seeks to find the "best" solution . Identification, information gathering, consideration and decision-making can be listed as some of the stages before a public policy is implemented (Sullivan, and et al., 2015). Before the policy implementation process begins, the stages such as understanding the needs of the parties of this public policy, defining the elements of the logical framework for the policy,

bringing the policy to the agenda for its implementation can actually be defined as the components of the realization process of the public policy before the implementation. The most important issue here is to reveal the need for effective and effective public policy and to carry out the necessary planning for the most efficient implementation.

However, based on the fact that public policy has been carried out in a historical continuity, alignment with both previous and possible future public policies should be sought. Undoubtedly, the continuity here requires understanding the need and problem, as well as putting forward an anticipation about the future. This anticipation is a need for the strategic administration element of the public policy process. This need basically points to the importance of carrying out the works of the administration in a systematic and planned manner .

The definitions of public policy in the literature is that the definition is generally made through administrators. However, governance, participatory management, partnership, and the reduction of the distinction between the ruler and the ruled reveal that the public policy process should not be explained only with the reference of bureaucracy, which is elected or their working device.

At every stage of public policy, different stakeholders such as civil society, private sector and voluntary organizations should be involved in addition to the elected ones. Together with governance, it is important for the efficiency and effectiveness of the public process, as well as its legitimacy, that

all processes before the implementation of public policy are carried out together with all actors not only the state actors. In this framework, before a public policy is implemented, it is important for the administration and other actors to participate in the process in two respects. First, public policy begins with a holistic and solution-oriented process.

Effective administration of this process is the ideal principle of public policy. For an effective administration, it is inevitably necessary to understand the situation and the problem and to plan the relevant process correctly. In this context, the involvement of non- actors in the process along with the possibilities of the administration in order to understand the problem, the need and the current situation is important in terms of creating a wider opportunity. Secondly, especially since the 1980s, non- state actors directly contribute to the implementation of a public policy,

in fact, it is necessary to benefit from the power of all stakeholders of this process to understand and reveal the current situation even before the process begins. In short, for public policy process, governance is the "power to understand and anticipate" for effective public policy administration. Within the framework of this study, "anticipatory governance" as a governance practice will be briefly discussed in this section in order to embody the use of governance related to the process before the implementation of public policy.

Anticipatory governance is a concept that is growing in prominence in the social sciences and interdisciplinary sustainability sciences to examine futures work. Anticipatory

governance is "the governance of uncertain futures in the present" and it is conception of the future, implications for the present, and ultimate aims. Strategic planning, reducing risks, building capacity, and navigating uncertainty are some beneficiary outcomes of the anticipatory governance .

Anticipatory governance as a tool is advantageous and convenient for the public policy process to be well planned in the context of historical continuity before implementation. It not only helps to understand the current situation, needs and problems of public policy, but also contributes to the design of the policy to include projections for the future. As can be seen in this anticipatory governance example, the multi-actor and governance-embedded administration of the public policy process can significantly contribute to the efficiency and effectiveness of the process. This opportunity of governance is the power to understand and anticipate before the policy implementation.

4.2. *The Power to Work Together*

The impact of governance on public policy cannot be denied, especially in the context of "increasing demands for participatory and deliberative public policy making" . Governance can be understood as a structure through which public, public, private sector and non-profit actors interact to create and implement public policies . Governance is a concept that makes it possible to understand "the change" and especially the change of decision-making processes. One of the areas of change that has emerged with governance practices is the field of public policy. Since the

understanding and practices of governance significantly affect the functioning of the political and bureaucratic structure, it has also had a strong impact on public policy. In public administration, public policy is formed on every issue and at every level that needs to be decided. Governance has encouraged and even forced actors to participate in the public policy making process. Each actor group has started to make an intense effort to influence public policy in their favor in competition .

Governance and public policy have been discussed in relation to the previous discussions, especially in the context of the opportunities that governance creates in the public policy process. In the light of these discussions, it can be said that governance creates some opportunities for public policy processes not only before the implementation of public policy, but also during implementation. During the implementation of the public policy process, the beneficiaries of the policy, and those who directly implement the policy are the main actors of this process.

Suppose this policy is a process of performing a public service. In this case, those who benefit from this service and those who perform the service are actually the main actors. All these actors can be involved in a public policy process driven by governance. Particularly during the process, it is important to ensure the participation of all actors in the context of risk management and the effectiveness of the process at least.

Considering that many public policy implementers were not the state organizations after the 1980s, but the state was just the regulator, the importance of the existence of all actors in the

implementation process can be better understood. The participation of civil society in the process, as representatives of the beneficiaries or as the direct beneficiaries of the service, and the participation of private sector organizations as actors performing the service are necessary for the effectiveness of the process.

For example, providing feedback or contributing directly to the process while making public policy, creates both financial and administrative opportunities for the process. Again, the acceptance of private sector organizations that directly perform public service not only as subcontractors but also as an actor in the process is an important opportunity for the successful management of the processes related to the fulfillment of this service. In short, governance, which paves the way for the natural actors of the process to participate in the process, can be defined as "The Power to Work Together" during the implementation of public policy.

4.3. *The Power to Monitor and Evaluate: Monitoring, Evaluation, Accountability, And Learning (MEAL)*

Monitoring, evaluation, accountability, and learning (MEAL) could be defined as to be accountable to our stakeholders through information sharing and developing a complaints or feedback mechanism which can help to guide implementation. To track progress, make adjustments, discover unplanned effects, and judge the impact, MEAL is important (Walden, 2013). In this context, MEAL is extremely important in terms of the effectiveness of the process together with public accountability

in a public policy process. A public policy process has many components, including "monitoring, evaluation, accountability, and learning".

The effective performance of this process in a holistic manner is highly related to the existence of an effective MEAL system. The holistic monitoring of the public policy process and its evaluation within the framework of the determined indicators are extremely necessary for the accountability of the process. This requirement is of particular importance for the legitimacy and effectiveness of the process. Along with these, stages such as learning in the process, learning before and after the process inherently have the potential to make an important contribution, especially in a multi-actor public policy process. Although not conceptually the same, the current practices of internal and external audit processes of government organizations actually overlap with the MEAL system mentioned above, but what is wanted to be examined here is a holistic MEAL system in which all stakeholders of a public policy process are involved together.

In this context, there are different examples at the application level, but in these studies, an in-depth evaluation of the MEAL system will not be made, only the monitoring & evaluation process and governance as a part of the public policy process will be examined together to show the contributions of governance to public policymaking.

It is essential for an effective MEAL system to be able to measure the impact on the beneficiaries and situation at the end

of the program and project process. In this context, a number of indicators are determined for both the processes & executives of this program, project and project, as well as the beneficiaries & results, and these indicators are monitored. In this context, a monitoring process in which the beneficiaries and practitioners of a public policy are involved is important in itself in terms of the effectiveness and accountability of that policy.

When considered together with governance, the possibility of running the MEAL system together with all stakeholders from the very beginning undoubtedly presents a great opportunity for the effectiveness of the system. So much so that the effectiveness and accountability of a public policy is directly related to open and effective participation in that process, and it is possible to measure and understand this effectiveness with the open and active participation of all actors. In this context, ensuring the participation of stakeholders and actors in a public policy process, whether it is handled as a MEAL or as monitoring & evaluation, is a requirement to measure the outcome and impact of that process. In addition, ensuring the participation of citizens and beneficiaries in the process, as an opportunity offered by governance, is an opportunity that makes the monitoring of the process more effective.

Chapter seven

E-GOVERNANCE AND E-STATE RELATIONALITY AND FUNCTIONALITY

1. Introduction

process of digital transformation has been brought about as a result of transition to information society and the developments in communication technologies. This process not only had an impact on

the daily lives of individuals but at the same time redefined their interactions with the state on the basis of the information society. The ever-increasing use of the internet within the information technologies has also created fundamental changes in the understanding of public administration. Novel administration structures of offering services have come to the fore at this point. The efficiency of public services has been aimed to increase by means of e-governance and e-state practices which are thought to be a novel administrative

approach among these structures.

E-governance is a citizen-based administrative approach which is based on the interactions between public organizations and stakeholders. The aim in this administrative approach is to achieve savings in the costs of public services by using electronic tools in both the offering of government services to the public and the regulation of public services. Also, it aims to create an effective and productive administrative style in accordance with the interests and wishes of citizens. To this end, e-governance practices make it possible to benefit from technology more, and services are offered in electronic media in a more qualified, faster and continuous way. Thus, direct, easy and costless access of citizens to the information and services offered by the state is enabled by means of these tools. What is more, a transparent, democratic and participatory understanding of administration prevails in public organizations. Therefore, state and citizen interactions gain strength in the processes of determining, implementation and supervision of public policies.

Governance is the multi-dimensional process of decision-making and the implementation of these decisions among the state, civil society and organizations. The main tool of governance in the digital media is e-governance structure. E-

state is the site where state and public administration activities are conducted in the digital media. It aims to re-design public organizations and increase public satisfaction. Also, it aims to create a structure of the state which is based on a network at the center of which lies the internet. E-state practices increase the speed and efficiency of the services the state is responsible for providing and also the costs of these services decrease significantly. This, in turn, leads to a transition from an understanding of providing services through bureaucratic niceties and redtape to an understanding that emphasizes quality and productivity.

As a result of conducting in electronic media every kind of activities regarding the use of information and communication technologies in public administration, citizens can access public services and applications directly and faster. Thus, arbitrary practices in administration is avoided and active participation of citizens in processes of decision-making and implementation of those decisions is enabled. E-governance increases the efficiency and productivity by carrying the capabilities of the concept of governance onto the plane of the internet and the network. The notion of e-state provides a remarkable infastructure to this process. In this respect, e-governance

contributes significantly to electronic transformation in terms of technical dimension of e-state and by rendering governance faster and more interactive.

In short, e-state, which is a tool of governance, then becomes a factor of transition to e-governance. The aim of this study is to assess the relations between the e-governance approach that found a place in the field of public administration as a result of digital transformation and the concept of e-state.

1. **Governance**

The word "governance" in many works in the literature in English have the same meaning as the word "government" which means "administration" or "government" but can be used in different contexts. For this reason, government and governance are not the same thing. Government is a form of central governing in a top to bottom hierarchy. Governance, on the other hand, is an approach that envisages cooperation and communication and governing as a whole

Since it emphasizes participation, the fact that civil society organizations and the private sector should take their place in all the processes of government from decision-making to supervision lies at the heart of the concept .

That is; governance is a form government that prioritizes mutual interaction in the relations between the state and the society

The concept of governance as we know it today was first used in the report that was published by the World Bank in 1989. Governance in the report titled "Sub Saharan Africa: From Crisis to Sustainable Growth . is defined as "the use of political power . The report does not provide a clear definition of the concept of governance. However, the principles of good governance are listed in it. These are efficient public service, independence of the judiciary and impartiality, a modern judiciary system, efficient supervision of the use of public funds and a mechanism of accountability, supervisor independent of the judiciary, a public administration that respects state of law and human rights, free press and pluralistic organizational structure .

Governance defined as follows in the White Book published by European Commission: "It is a form of government in which political authority is exercised across Europe and good governance principles such as participation, accountability, transparency, compatibility and efficiency are integrated into the principles of locality and proportionality" .

The dictionary of public administration published by TODAİE defines governance as ""the structure or the order created by the results achieved by the joint efforts of all the actors in a social and political system .

This definition emphasizes the interactive aspect of governance and defines governance as a concept that foregrounds participation. This suggests that governance aspires to create a pluralistic society which is supported by participatory policies .

The notion of governance is an advanced phase of the new public administration idea. Accordingly, governance requires the implementation of both flexible organization models and business-oriented administrative processes in public administration. Also, it provides a plane of legitimacy for the participation of different actors by making it possible for the citizens to take part in democratic decision-making processes in every possible areas Governance, which is thought to be an advanced phase of participatory democracy, is defined as "mutual government", "interactive government" and "co-government" Thus, it contributes significantly to the development of the civil society.

Governance includes public organizations, the private sector

and civil society organizations and represents the relations and interactions among them. That is, responsibility of governing the society tips over from the state in favor of the civil society .

Governance does not limit public administration only to the activities of the state or the government but forms a multi-actor and multi-partner administrative structure in which the private sector and civil society organizations participate in the process of governing and which shares administration and prioritizes participation .Governance, which is social model that allows the participation of many actors in determining the objectives and rules grants agency to these actors in governing the country together in the activities the government has to conduct.

Governance is an approach that prioritizes cooperation among the public, the private sector and civil society organizations alongside with such principles as implementation of the rules governments impose, increasing the quality and capacity of services , transparency, efficiency, accountability and participation . Easy access to information brings more transparency, which, in turn, enables a more extensive participation, which finally leads to a more efficient decision-making process. With increasing participation more efficient

decisions are made and this contributes to a more comprehensive information exchange that is required for the legitimacy of these decisions. Legitimacy allows for an efficient practice and ultimately supports a more extensive participation.

Main objectives of good governance are realizing the government of citizens by putting them in the center by the state, adoption of international standards in the management of the state and providing a structure in which the society trusts institutions .

Therefore, the principles of good governance are "multi-part democracy, respect for human rights, rule of law, a transparent and accountable administration, a productive and efficient administration, a developed culture of democracy, decentralization and a strong civil society" .Negativities of governance are meant to be resolved through principles of good governance. Functional cooperation prevails among the public, the private sector and civil society organizations in good governance. As a result of the well-functioning of this cooperation, many problems that arise in public administration that are relevant to the society will be resolved. Furthermore, productivity, efficiency, transparency in services,

responsibility against the public by serving the public interest, rule of law and democratic principles in administration will gain importance . After the developments in the electronic revolution after 1990s and especially 2000s, debates arose on the transition to electronic medium in the governance model in public administration. The notion of e-governance is one of the aspects of the e-transition in public management. It is considered to be an advanced model of the e-state and represents a network-based transition among

different actors in society.

2. Concept of E-Governance as the Digital Dimension of Governance

Governance aims to provide public services in a productive and efficient way by enabling the cooperation and interaction of social, economic and political actors. As a result of the developments in information and communication technologies and the transformation these technologies brought about in the forms of public administration, e-governance came to the fore and has gained importance (Sayımer & Küçüksaraç, 2019: 260). E-governance is the concept that puts forward the mechanisms which will enable both the changing structure and

the role of the state and and this transformation, and the new rules

Therefore, e-governance came into being as the result of the reformist understanding in public administration. It is the reformed form of the new public management, one of the modern theories of public administration, and the notion of governance and it can be ragrded as the last chain in the theories of government in the 21st century. E-governance is defined as participatory, democratic and synergy-based network governance in which information technologies are used more extensively. It is the electronic dimension of governance and it is a democratic governance model which includes different actors in the society in decision-making process

In this model, as participation in decision-making process increases the quality and applicability of the services offered increase proportionally.

E-governance aims to achieve maximum benefit from the information and communication technologies on the stages of the application and execution of the activities realized in the relevant areas. Also, it increases the relationships between public organizations and the stakeholders by means

of the newly-developing communication technologies. In this way, it is a model of governance designed for the age of , and it aims to improve the efficiency and quality of forming and offering of public policies at all stages . That is, e governance represents the digital dimension of governance.

With e-governance, it is aimed to make the principles of governance such as participation, productivity and transparency, which are adopted at every area of public administration, make more functional by integrating the technological capabilities offered by the digital age into public administration, to make democracy more applicable and render human rights and the rule of law prevalent

It includes different actors in the society in the decision-making processes in order to achieve these objectives E-governance adopts an administration that puts society in the center instead of one that puts the state in the center by following information-based developments happening worldwide.

Information and communication technologies are at the center of the idea of e-governance. For this reason, it is a governance system based on e-state practices Therefore, instead of public organizations' merely creating websites and posting

announcements online, it allows the transfer of information and the communication between organizations from a physical medium to the virtual medium by using information and communication technologies more actively .

Thus, easy access by the public, the private sector and the staff to the services is realized in an efficient, transparent and accountable ways.

Citizens can have direct access to information and services through e-governance. In this structure, in addition to citizens' benefiting from information and communication technologies, e-governance unifies service functions and processes the state offers its citizens and creates a systematic work culture. Also, citizens are not regarded as customers who are served in public affairs, but as partners who contribute to the production processes of public goods and services Thus, e-governance in which resources, authority and task sharing is supported by information and communication technologies that includes the society-integarated-state, civil society organizations and the private sector .

E-governance is an efficient administration style that allows citizens access public services, reduces costs considerably by encouraging the use of digital tools in

regulating services, determining taxes and fees and offering tenders . To sum up, e-governance aims to allow a better governance and create a stronger understanding of democracy.

E-governance aims to improve the public services by restructuring the structure and processes of administration, increase the interaction between the state actors and non-state actors, include citizens in decision-making processes by means of negotiation and consulting mediums and thus, create an efficient, accountable and transparent state structure

In order to realize these objectives, the strategies determined by e-governance are implemented by such applications as e-state . Thus, those who make use of e-governance services achieve a more efficient work with less cost through the new communication technologies. Citizens can have access to all state departments regardless of time and space, demand services and be involved in forming public policies by assessing the services offered . Thus, e-governance has many benefits such as citizens' easy and fast access to the services offered, a transparent administration in which they can voice their opinions for the benefit of all and have an opportunity to be included in decision-making processes .

3. **E-State as the Site of the practice of Governance**

One of the important applications born out of the need to make use of information technologies during public administration especially in offering public services is the e-state. Today, many public services are offered to citizens through e-state in electronic media.

In traditional state, citizens and the state had to come together physically in order for the public services to be offered. The state demanded citizens to write petitions, fill in forms and prepare some documents. Therefore, it was a necessity to keep files .

The fact that the use of the internet increased immensely in time and e-commerce thrived in the private sector made it a necessity for the public administrations to conduct public services digitally .

Therefore, since the system adopted by the traditional state could not cope with the developments, restructuring in public administration has begun. Consequently, governments in the world started to implement e-state projects which aimed to electronic information and services .

That is, efforts were spent to reduce the costs of useless

traditional services and inefficient practices and thereby present the public organizations a chance to change by using information technologies E-state is a model of the state that arose due to the developments in information technologies and that aim to complement the traditional state. In short, the main objective of the transition form the traditional state to the e-state is to improve the living standards of their citizens .

Information technologies, which have become the main tool in supporting the efforts of modernization and restructuring in public administration, play an important role in the digitalization of the state . The objective of information technologies that are an important tool in the digitalization of the state is to create a structure of the state that increases the capacity in the use of information, achieves fast decision-making and meets the demands fast . Consequently, e-state that is strengthened by means of information technologies in public administration plays an important role in the integration of public administration with the information society .

E-state is the presentation of the services to the public, the private sector and all public organizations in an efficient, fast, transparent way and with less cost by using digital information and communication technologies. It also aims to minimize

problems that might arise in the relations with the stae, citizens, private sector organization and others. Because, e-transition emphasizes the constant renewal of the state by itself by attaching importance to such concepts as organizational learning, innovation and entrepreneurship and this leads .

There has not been consensus on the definition of the e-state. OECD defines it as the use of information technologies and especially the internet to achieve a better administration .

In another definition, it aims to increase performance and productivity by using information and communication networks in exchanges of information, services and goods among public organizations, citizens and commercial organizations and is a model of public administration that is applied in consolidating the link between public organizations and citizens .E-state is a modern enterprise that equips all aspects of public administration with electronic capabilities. Thus, it is an approach that brings citizens and public organizations with the most developed technological tools on the same platform and conducts all work on the internet . Thus, e-state takes a new form in which public administration offers services in an efficient, productive and more flexible way.

Based on the definitions given above, e-state is the electrification of the state. In doing this, information and communication technologies are used extensively. The main objective is to create a structure of the state that has an increased capacity of processing information, makes decisions fast and meets demands fast.

E-state enables the presentation of public services to the public online by using the internet and other electronic tools with a password .With this application, citizens need not go to government departments to get services, on the contrary, the government comes to citizens.

Thus, the responsibilities of the state towards citizens and vice versa are fulfilled mutually with e-state application. The state can conduct all its economic, bureaucratic and legal procedures by means of electronic networks. Also, citizens can fulfill their responsibilities in a safe environment and can benefit from services regardless of time and space

Especially, the websites of public organizations increase their capability of offering services to citizens online. Because, citizens would like to be relieved of the necessity to conduct their business with public organizations in traditional work hours but they are free to do them anytime they want

In short, the offering of public services online increases productivity and quality for both public administration and citizens . With e-state in which public services are conducted through digital tools and by making use of information and communication technologies optimally, the structure and functions of organizations change and e-state privileges the new administrative understanding and contributes significantly in terms of creating productivity, responsibility and quality.

E-state is a system that allows public services to be offered faster, cheaper and more transparently with taking the demands of citizens and by using the technologies in e-state applications, encourages participation and aims to integrate administrative understanding to organizational and social structure, reduce the redtape and loss of time by increasing interaction between organizations, increase efficiency, productivity and transparency and improve information, enables citizens to take part in administration more actively

Therefore, both the speed with which individuals conduct their business and the act of rendering citizens active in administrative order intensifies. This results in citizen satisfaction

Quality of the state and public administration increases and

an efficient public administration is established. The objectives to be achieved with e-state applications are as follows :

- Turning the state into a more transparent structure,

- Rendering the affairs of citizens with the state faster and continuous regardless of time and space,

- Rendering public services more efficient and productive,

- Creating a unity of information through the communication network that is established in the exchange of information among public organizations and thereby preventing all kinds of misuse,

- Rendering public services more extensive and accessible,

- Focusing on citizens in the process of the production and administration of services and maintaining participation,

- Rendering the running of state organizations more productive.

In today's world, e-state applications must not try only to meet the citizens' demands to reach information. In addition, the presentation of public services must be done and citizens' need to access all the information regarding themselves must be facilitated.

E-state allows for the interaction among the private sector, civil society organizations and the state in addition to increasing

the efficiency and productivity of public organizations and offering an extensive network and internet-based services. It also contributes to preventing bribes and corruption in public organizations, establishing an accountable, transparent and democratic participation. In addition, it facilitates the access to information in creation and presentation of public services

Thus, a more transparent and participatory understanding of administration is established by transferring participatory democracy into a digital medium in order remove the weaknesses of representational democracy .

In conclusion, e-state contributes significantly in terms of its adoption of transparency, its weakening bureaucracy, creating standards of working styles, offering faster and in a qualified way and reducing costs . Integration of the state and citizens depending on the functionality of e-state will be realized and thus, an understanding of the state which aims to provide better standards of living for citizens will be established.

4. Relationship Between E-Governance and E-State

E-state implements e-governance applications and leads the way in creating a decentralized, accountable, participatory and digitalized public administration and policies towards this end

are put into practice . E-governance posits that e-state should be adopted by the state and other actors in the society and relationships should be established through the internet. Therefore, the actors who practices e-state turn governance mechanism into digital information database over the internet. The result is called e-governance .

E-governance is also identified with the improvement and restructuring of the applications and processes of the state regarding administration, and facilitation of the presentation of information. Relationships in e-governance between stakeholders through the internet increase in time and public opinion is formed online about state administration and thus demands are conveyed easily. E-state is governance model that redefines the relationships among the state, citizens, the private sector, civil society organizations and all the other actors with technological capabilities, emphasizes the participation of all actors in administration and uses local network to this end

This means that non-state actors may have a role in determining the policies regarding the administration of the state and influence decision-making processes. Thus, the participation of citizens and other stakeholders over the internet network is maintained and they are rendered active in determining and

offering public services

Therefore, it is associated with the principles of governance such as participation, transparency, accountability, efficiency and productivity, strategic planning.

E-governance, which is based on e-state policies, speeds up the procedures regarding citizens, civil society organizations and private sector organizations in public administration by using digital technology tools such as mobile phones, network type structures .Also, it aims to offer satisfactory public services throughout the country and achieve top level citizen satisfaction .

E-governance "is concept that was put forward to enable the realization of basic political aims of political power, which is also one of the objectives of public governance". E-state approach whose performance is enhanced with digital applications equipped with information society and information techniques has become whole with governance principles. Thus, an efficient public administration that maintains participation, transparency and accountability is aimed to be established

While e-state can be a tool of serving citizens, e-governance can include citizens in political decision-making processes

actively .E-governance maintains participation by activating all the actors in the society in the process of forming political and administrative policies in a multi-actor and dynamic balance by means of digital technologies. Thus, "flexibility, fast decision-making, accountability, transparency, the right to obtain information, a culture of information society based on political participation and democracy" is realized in public administration . Within this framework, e-governance is not a completely technical issue and puts emphasis on more democracy in governance .Democratic process, open administration and transparent decision-making are the main indicators of e-governance .

The developments in e-governance started debates regarding the changes in public services. As a response to these debates, "e-state" structure was put forward so that public services could be run more efficiently .

E-state is not only the use of information technologies in the presentation of services. It is also the system that enables the optimal use of human resources, work management processes and the potentials of citizens . E-state stipulates the enhancement of the modernization and digitalization of public organizations through digital technology, determining social

needs and the capability of producing solutions When viewed in the framework of governance, e-state is seen to be a productive, efficient and fast formation .

E-state is especially associated with the main functions of governance such as transparency, accountability and efficiency. In addition, it plays an important role in maintaining governance weel by making participation feasible .

citizens can reach most of public services in electronic medium in a safe, fast and comfortable way.

E-governance facilitates reaching information and includes citizens in the processes of administration with applications such as e-state, and becomes a tool of rendering the state more accountable, transparent and efficient and consequently boosting trust in the state and reducing corruption with applications such as e-democracy .

E-governance is a concept that includes all the networks regarding the use of digital technologies. E-state is a discipline that is concerned with the online execution of the services offered to citizens and it is a narrower than e-governance. When two concepts are compared, it is seen that e-state was developed to offer all the services to all in the digital medium

while e-governance enables the accessibility of such activities as management, transparency and verity of democratic processes in digital medium .

E-state is associated with the usage of digital technologies in order to support the efforts of public administrations. E-governance is associated with the usage of digital technologies in order to guide, support and encourage citizens to achieve objectives .

Lastly, e-state aims to digitalize office works by using public services, information and technological capabilities. E-governance includes political elements such as e-participation, e-democracy and e-vote .

To conclude, although e-governance and e-state signify different things, they are not completely separate. E-state falls under the umbrella of e-governance and they mutually support each other. Any e-state application is enough to start e-governance. Similarly, e-governance applications that are renewed and updated enable the emergence of new e-state applications.

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