SECTION - I

Problem identified.

Different concept of discipline - a conceptual clarification.
Positive approach and negative approach.

Traditional approach Vs Modern approach.

Discipline as a control mechanism in Personnel Management highlighted.
Discipline is one of the most important aspect of personnel management. In the field of personnel management there are two types of control mechanisms - Discipline and Performance Appraisal. Employee indiscipline is one of the cause of bad industrial relations. The high rates of absenteeism, labour turnover, accidents, unresolved grievances, increasing spoilage, low motivation and reduced output. Discipline is an attitude of mind which leads to maximum co-operation between labour and management.

Lord Wavell has rightly defined discipline as, teaching which makes a man do something which he would not, unless he had learnt that it was the right, the proper, the expedient thing to do. At its best, it is instilled and maintained by pride in ourself only at its worst by a fear of punishment. Discipline in this context is that type of training and control which makes punishment unnecessary.

Discipline in industry is a means to an end - the end being the smooth working of the enterprise. Discipline is said to be good when employees follow willingly the rules of their supervisors and the various rules of the company. Discipline is said to be bad when employees disobey them. Poor discipline suggests the need of correction. The fundamental reason for taking disciplinary action is to correct situations that are unfavourable to the company. When disciplinary
problems arise it may be as much, management's fault as the workers'. Behavioural scientists have been highlighting the importance of discipline for both management and the managed.

Discipline is not a requirement only of those who are technically known as workers or lower functional. The common experience is that where the higher functionaries indulge in discipline they provide a disastrous model for those whom they manage.

As a system of orderly conduct, modern industrial discipline has many advantages for the employer and the employee alike. It enhances efficiency and reduces costs. Absenteeism and employee turnover are minimized. The employees gain a sense of security and safety. They work without fear of unfair penalty for misconduct which they could not reasonably be expected to prevent.

Since disciplinary action involves penalties and since dealing out penalties has dangerous implications, management must fully know when, why, how and whom the disciplinary action should be taken. Only then this action will gain its purpose with a minimum loss of employee goodwill. Even when the conduct of an employee deserves punishment he accepts it with some amount of illfeeling. However, to forgo punishment when it is due is to invite trouble and to inflict punishment when it is not due is doubly dangerous.
Most workers prefer an orderly atmosphere in which to work. If management does not deal effectively with those who violate rules, the disrespect for order will spread to the employees who would otherwise prefer to obey it.

Disciplinary action in most companies is taken by line-executives. Occasionally the personnel department is made responsible for taking final action on such serious penalties as discharge of workers.

Disciplinary action has two major aspects - the employee is at fault because of some failing of his own and some form of penalty is to be applied.

Disciplinary action involves the following steps:-(1) Statement of disciplinary problems, (2) collection of full information on the case, (3) Types of penalties, (4) choosing among the alternative penalties, (5) Application of the penalty and (6) follow up of the case.

A number of case studies of disciplinary problems from different important industries of West Bengal shows that all the above mentioned steps excepting the last one is taken.

The cases included in our study show that management prefer legalistic approach to discipline rather than humanistic approach.
DISCIPLINE - ITS MEANING

Discipline is the virtue of a disciple. In the actual field of work it is regarded as a state of mind which brings orderliness and obedience in a man and also in an organisation. Discipline is an attitude of mind which leads to maximum co-operation and creates an unquestioning and willing obedience to all the established rules and norms. Discipline may be thought of as that force which prompts an individual or group to observe rules, regulations and procedures that are deemed necessary to the attainment of an objective. It is a force or fear of force which restrains individuals or groups from doing things that are deemed obstructive to group objectives or the exercise of restraints or enforcement of penalties for the violation of group regulations. 'Discipline is a conscious effort to influence conduct toward the achievement of desired results and toward the prevention of undesired results.' Discipline has ties with education where it continues to be important especially in sports. We are all familiar with the expressions 'Guru' and 'Shishya'. A disciple surrenders to the master completely, who, in return looks after all his needs - material and spiritual. 'Knowledge and discipline are mutually complementary.'

According to Webster's (Seventh New Collegiate) Dictionary the basic meanings of the word discipline are:-(a) It is training that corrects, moulds, strengthens, or perfects. (b) It is control gained by enforcing obedience. (c) It is
punishment or chastisement.

It can be said by combining the above first (a) and second (b) meaning that discipline involves the conditioning or moulding of behaviour by applying rewards or penalties.

The first meaning is related to (a) positive approach and second, a negative one, which we will discuss later.

In other sense Discipline means management action to encourage compliance with organisation's standards of action and morality. It is a type of training that seeks to correct and mould the employee's knowledge, attitude, and behaviour so that the worker strives willingly for better co-operation and performance. In the above sense there are two types of discipline: corrective i.e. positive and preventive i.e. negative. Here the inner meaning of discipline is obedience, application, energy, right behaviour, and outward marks of respect observed in accordance with the standing agreements between the firm and its employees. Whether these agreements have been freely circulated or accepted without prior discussion, whether they are written or implicit, whether they derive from the wish of the parties towards them or from rules and customs, it is these agreements which determine the formalities of discipline.3

Discipline being the result of different varying agreements, naturally appears under diverse forms; obligations of obedience, application, energy, and behaviour vary in effect, from one firm to another, from one group of employees to another,
from one time to another. No doubt, discipline is absolutely required for the day to day performance of business and it is sure that no enterprise could prosper without discipline.

According to Dr. William R. Sprigal, "discipline is the force that prompts an individual or a group to observe rules, regulations and procedures that are deemed necessary to the attainment of an objective. It is the force or fear of a force that restrains individuals or groups from doing things that are deemed destructive of group objectives. It is also the exercise of restraints or enforcement of penalties for violation of group regulations".

From the above definition we find three aspects of discipline i.e. (a) positive, (b) negative, and (c) administrative. Positive force of Discipline induces the employees for voluntary submission to control and obedience to rules and regulations, to further the aims and objects of the organisation. Negatively, Discipline is restraint that prevents some undesirable actions and encourages good actions. Generally, this should come from within but possibly it can be enforced from outside as well. Administration of discipline, relates to the infliction of penalties for wrong behaviour as opposed to incentives for good behaviour. The modern concept of discipline contains an element of fear. There are authorities who consider that without fear, no discipline can be enforced. Spare the rod and spoil the child but when the rod is there,
the child also will work without deviating from the established norms. The above aspects of discipline are discussed in the pages that follow.

Efficiency and discipline among workers are correlated with the regularity of the workers. If the working force is irregular, the efficiency and discipline suffer which ultimately affect production and product quality.

We are mainly interested in Discipline in relation to the industry i.e. 'Industrial Discipline' which we will discuss later in this chapter.

CONCEPT OF DISCIPLINE IN DIFFERENT AREAS

Concept of discipline was present even in the days of 'Kautilya':

There were two types of discipline - one is artificial and another natural. For 'instruction' (Kriya) can render only an obedient person conformable to the rules of discipline, and not an disobedient person. The study of sciences can tame only those who are possessed of such mental faculties as obedience, hearing, grasping, retentive memory, discrimination, inference, and deliberation, but not others devoid of such faculties.

To maintain discipline, he shall ever and invariably keep company with aged professors of Sciences, in whom alone
discipline has its firm root.

Even at that distant period, in spite of the fact that there was no industry at all, the society had enacted rules for the work-ethos to run the production. But there were some rules regarding labour and co-operative undertaking, rules for some punishment for violating justice.

Biblical Discipline : Concept of discipline was found even in the days of Jesus Christ i.e. two thousand years ago. Biblical discipline comes only from Religious and not from political or social needs. In Ten Commandments under the chapter Exodus 20. 1-17 (Bible) we found some moral rules to be followed by man. God is the father. Man is his son. So they had to follow some rules to establish a good society. So at that stage discipline was essential and its enforcement was unavoidable. A statement is remarkable in Deuteronomy, which regards physical suffering as a punishment for sin. This discipline, gracious and generous, with its consequent duties, needs be specially remembered in view of the nature it gave to the people.

"Since suffering is a discipline, we must not allow ourselves to be dismayed by it. We must not let our hands hang listlessly down or our knees grow weak. We must encourage the flagging energies of fainting souls and try to smooth the path of life for them, that the road may be made
easier for them, so that those who are lame may not have their feet dislocated by the rough places in the way."\(^5\)

In fact, at that period there were no industry, factory etc. So the question of Industrial Discipline at that period did not arise. But they produced some goods for their own consumption. Therefore question relating to labour was there. And at that time slaves were the main workers/labourers. It is unbelievable but still a fact that slaves were treated as commodities. Their relation was that of master and slave. Master purchased them (slaves) and/or sold them as they wished like ordinary goods.

They had no idea about the Theory 'X' and Theory 'Y'\(^6\) which Douglas McGregor defined and no positive and negative discipline followed. But they followed the rules of 'hire and fire' i.e. severe punishment was given to disobedient workers.

**Discipline in Education**: Discipline is a word with many meanings ranging from the concept of almost complete subordination of an individual's conduct and will to rigid rules imposed from without, to that of self-guidance and self-control. In the academic world, discipline has a special meaning. Discipline is control, exercised by a superior, a parent or teacher, through punishment or reward, by command, by withdrawing of approval, by praise or blame, by causing
fear, or by bestowing love. In the academic world, discipline is the means whereby children are trained into orderliness, good conduct and the habit of getting the best out of themselves, all of which are essential for social and individual well-being. Ineffective social control, the absence of real discipline, is probably the most frequent cause of failure of any educational system. Good disciplinarians in the modern sense are not born; on the contrary, teachers who do well with children, have worked hard to have that knack. Discipline is not something that is imposed upon the individual but is, for the most part, an achievement of the individual himself. The person who succeeds in coordinating his drives and impulses in such a way that he works effectively towards achieving his goals should be considered a disciplined one.

In the absence of discipline, academic life loses its value. It may also have a very bad effect on society, for the students of today are the workers of tomorrow.

Group discipline refers to intelligent, effective coordination of drives and impulses of the members of the group towards the realization of group goals. Such goals cannot be accomplished by one individual but, of necessity, involve cooperative group action.

In School Management, the authority of the teacher is the primary source of discipline. He decides the conduct of the children in terms of his purposes and goals rather than
those of the children and metes out the rewards and punishments accordingly. The students have no choice but to obey the rules framed by the teacher. The primary source of discipline depends on the nature of the enterprises that are undertaken by the individual or the groups. Thoughtful, consistent discipline is required in the field of education. The student needs discipline, and proper directions to develop himself. At the young age he needs considerable direction from parents and teachers but gradually, as he recognizes the problems of living with others, the normal student becomes aware of the need for self-control and self-discipline. Practically, discipline is the product of conscious thought which needs consideration for the pupil and a consistent behaviour on the part of the parent or teacher. Effective discipline can be developed by good teaching. A student can be taught, by proper, reasonable discussion, to refrain from bad behaviour and to develop good behaviour. Reward, praise, punishment, blame and proper criticism are worthwhile in such teaching. Teaching is required for correct social behaviour and to direct the student to self-discipline and self-reliance.

The purpose of schools or colleges is to maintain and improve a democratic society. In this sense schools should be laboratories in which students come to understand, appreciate, and continuously experience democracy as their way of life. The solving of problems of this machine age depends
upon the action of self-directive by responsible citizens. In
industry, workers (labours) are being increasingly encourag-
ed to think for themselves and are being given a share in
decision-making. However, Industrial discipline and the dis-
cipline in education are not of the same nature.

**Military Discipline**: Industrial discipline differs from
Military discipline in its objectives, organisation, methods
of enforcement, training, selection and physical standards
of the personnel.

Discipline is an attitude of mind which leads to maxi-
mum co-operation. On the other hand discipline in turn crea-
tes an unquestioning and willing obedience to all the estab-
lished rules and norms of the organisation. Therefore disci-
pline implies a conception of duty. Discipline in an individ-
ual as well as that in an organization can be created by
proper training.

Discipline is the soul of armies. If it is not estab-
lished with wisdom and maintained with unshakable resolution,
you have no soldiers. Regiments or armies without discipline
will be only contemptible armed mobs, more dangerous to their
own country than to the enemy. Truly speaking, discipline is
the quality which differentiates the Armed Forces from the
hordes of armed mobs. This quality has elevated the respect
of people in uniform in the eyes of the people. It can be
regarded as the moral backbone of the armed forces. Once Mahatma Gandhi wrote, 'Discipline knows no ranks. There is no deliverance and no hope without sacrifice, discipline and self-control. Mere sacrifice without discipline will be unavailing'. If this is true anywhere, that is in the armed forces.

Discipline in the armed forces means the discipline of every individual soldier and also collectively of the entire force. Discipline in the army does not mean the carrying out of orders implicitly, rather, 'discipline is a matter of understanding resulting in the complete subordination of all selfish motives and desires to the common good and to the efficiency of the unit or of the army as a whole, and in dedicating one's honour and body to a cause'. This is the quality in a soldier which prompts him to die unknown, far from home on being ordered. Of two evenly equipped armies, the one with better discipline always wins.

In modern mobile warfare, to make any plan successful every individual must have discipline at its best. The slightest relaxation by any individual, will cause devastation to his unit. A properly disciplined army is always sure of speed, co-ordination and precision. 'Once men are made to look at discipline in its true perspective- as an insurance of efficiency, success, and collective safety, it ceases to be a so-called necessary evil'. 
Sometimes during war some soldiers are to be sent at certain points, which may be dangerous, for some vital reason. It is only human that one will feel nervous or hesitant on going to those points, but if discipline is instilled properly in the soldiers, they will go there without the wastage of a single second. Actually the discipline required by the Armed Forces in war may be called practical, absolute discipline.

Discipline in the armed forces is required not only during war, but in peace time too. During peace time soldiers are to man the isolated check-posts or defence-posts scattered all along the borders. Some of those posts are situated at places where there is no human habitation or are covered with snow for most part of the year. Generally most of these posts cannot provide any amenities of modern civilization or any comfort. To be there for some months or years is no less heroic than sacrificing life in the field of battle. But no one gets any special honour or prize for that deed of silent, unnoticed heroism. It is only discipline which enables soldiers to spend their days in those remote corners of snow-clad mountains, waterless deserts and wild-animal-infested jungles or in enemy-infilitrated-areas. Similar examples may be multiplied to show the importance of discipline in the Armed Forces even during peace time.

Discipline can be created by proper training. Drill is the best medium. Drill produces instantaneous obedience of
carrying out order immediately and implicitly. Drill by itself is not sufficient to teach discipline, there are other factors essential to build up the attitude of mind in a soldier. These factors are: (a) Professional training, (b) Justice, (c) Morale and welfare, (d) Good example etc.

There are some points of difference between Military discipline and Industrial discipline. In industry, discipline is necessary to improve production to the maximum capacity and minimise cost of production at the same time. The management has to generate a pleasant togetherness, cooperation and obedience of the employees. Physical fitness too is different in the two setups. There are also different setups in the organisations. Structural and functional differences exist. Enforcement of discipline is also different. Sacking is very easy in the army but very difficulty in the industry. Army men are expected to think of goals while in industry, the labour wants rewards and it is left to the management to think out about the goals of the organisation. In the army, rules are authoritarian while in industrial establishment in a country like India, the rules must be democratic. In the army the right of the individual soldier or subordinate is co-related to the goals to be achieved. This is, however, not so in the case of industry. In other words, the conduct of the soldier is not self-determined. He has to follow directions blindly. There's not to reason why, there's but to do or die.
Industrial discipline has to be a much modified form of military discipline, combining reward and milder punishment. The rights of the individuals exist only in relation with their duties to the industry. The army has different laws to govern its activities. Industrial job is a civil job and industrial law governs its activities to a large extent. Industrial Disputes Act excludes its applicability to the military and police forces. India, being a democracy, has democracy in the industry. Every employer must follow the principles of natural justice at the time of punishing the employee. Punishment cannot be inflicted in an arbitrary manner. The situation that prevails in the industry is rather difficult to understand. In the name of workers' rights, their duties have been completely ignored. The rights of the individual are supreme. Their conduct is self-determined but not always healthful for the industry itself.

**Industrial Discipline**: The word 'discipline' is familiar in many spheres of life as explained above. Discipline in a broader sense means the pattern of systematic behaviour in conformity with the accepted norms of conduct. It is a training of mind and body, a voluntary acceptance of authority for self-development. A man lives in society and belongs to different social groups like family, tribe, caste or individual, commercial or service organisation. In the wider sense, discipline means orderliness, the adherence to
established norms and regulations, which is most essential in any form of organised human activity. Discipline has been the keynote of civilization. It is the pivot of modern society. With the development of industry in our country and the concentration of classes of industrial workers and technicians in industry, the problem of discipline has assumed a new dimension there. It is closely linked up with social, economic and political problems of our country.

Industrial peace is one of the most delicate and complex problems of modern industrialised society. Discipline is required for the attainment of maximum productivity, more production and reduction in cost.

In older days, people were disciplined by fear, but the ideas about discipline have undergone a change. The modern concept has developed as the outcome of a more responsible attitude. Discipline implies the absence of chaos, irregularity and confusion in the behaviour of worker. Problem of industrial discipline is very important, because in industries the management has to get work done through the workers.

Discipline is, in essence, obedience, application, energy, behaviour and outward mark of respect observed in accordance with the standing agreement, between the firm and its employees, and it is these agreements which determine the formalities of discipline.
The Concept of Discipline as defined by some writers is examined below :-

Michael J. Jucious. "Discipline used as a noun and preceded by the adjective 'good', means that the worker willingly abides by company rules and executive order. To set right the indiscipline or remove its causes by providing punishment or changing provisions are known as discipline".

Richard P. Chalhoon. "Discipline may be considered the force that prompts individual or group to observe rules, standards and procedures deemed necessary for an organisation".

W.R. Spriegel and Edward Sohelge. "Discipline is the force that prompts an individual or group to observe rules, regulations and procedures that are deemed necessary to the attainment of an objective".

Lillian Gilbreth. It is not the duty of the disciplinarian to "take out anybody's grudge" against a man; it is his duty to adjust disagreement. He must remember constantly that his discipline must be of such a nature that the result will be for the permanent best interest of the one disciplined, his co-workers, his associates and his family.

At the initial stage all these norms were unwritten and uncoded, but with the gradual progress of society from its primitive stage to the emergence of modern society with
all its complexities of varying nature and magnitude, these norms continued to be formulised and institutionalised and became codified in forms of laws, bye-laws, rules, regulations, orders, rulings and charters etc. running into thousands of pages. Inspite of all these, the vast majority of such norms continue and will continue to be unwritten and uncodified. Behaviour in conformity with the code of conduct, written or unwritten, formal or informal, is one which is regarded as discipline. Disciplined behaviour brings harmony and is conducive to the interest of the social group. Industrial development is one step forward in our nation building programme and in the growth of our national economy. In this context discipline in industry has assumed greater significance.

Industrial discipline has its origin (roots) in individual dignity, need for recognition from others, a basic desire for security and a responsive horizontal and vertical relationship in the organisation. Indiscipline is contagious. A dissatisfied worker is also a dissatisfied husband and a dissatisfied father, who is capable of vitiating the entire family atmosphere and involving a number of otherwise well-adjusted individuals in the ambit of frustration.

Logically, discipline should be the joint responsibility of all those who manage men and look to their day-to-day affairs and interest, to see that discipline is maintained
throughout the industrial unit. The maintenance of discipline is a two-way traffic and can not be ascribed to management alone. The employees have to be equally responsible for it.

With the growing national demands and scarcity of essential commodities, ideological fights between communists and capitalists and the economy of borrowing and marketing, the code of discipline amongst workers has to be harmonized with the changing setups, irrespective of the future economic and ideological adjustments.

The sociologists are of the view that the maintenance of discipline is a sociological and psychological problem and it requires a psychology-oriented approach. The development of industrial relations in our country has been primarily on the western pattern. The industrial relations in modern set-up requires psychological and sociological study and a social ethical approach.

Discipline is a set of principles which should be observed by every person, irrespective of his position, work or time. It is such set of rules that provides for smooth running of daily business of the organisation. The central core of discipline is therefore, a self-control which makes one or a group follow an accepted pattern of behaviour for society in every walk of life.

"Until human nature attains greater perfection, the fullest
measure of individual freedom of action can be realised only within the framework of an expressed discipline. In the social situation, this takes the form of law; in industry it is manifested by maintaining the standard. Firmness in securing conformity in both instances is wholly consistent with our democratic approach. But the requirements must be fair, the reasons behind them must be clear, and, in so far as possible, they must be arrived at co-operatively. This is the road of self-discipline, this is the aim of leadership.

Maintenance of "Discipline" is considered as an important functional area for all the managers/supervisors. All resources will be absolutely inactive if human resources with discipline are not readily available. Modern outlook should be how to discipline employees rather than how to handle indiscipline.

The key organisational task of any business enterprise is the promotion and maintenance of discipline in the organisation in order to achieve its objectives. Importance of discipline in industry can hardly be overemphasised. Without discipline no enterprise would prosper. Discipline should be directed against an act but not against the person. Discipline is said to be good when employees follow willingly the rules of their supervisors and the various rules of the company. Discipline is said to be bad when employees either follow rules and regulations unwillingly or actually disobey
them. When disciplinary problems arise, it may be as much the management's fault as the workers'. Lord Wavell defined discipline as "teaching which makes a man do something which he would not, unless he had learnt that it was the right, the proper and the expedient thing to do. At its best it is instilled and maintained by pride in our self, only at its worst, by a fear of punishment". So, discipline is a type of training and control which makes punishment unnecessary. But modern industrial discipline is undergoing a metamorphosis.

Aims of Discipline:

(a) To get voluntary acceptance of members to rules, regulations and policies of the organisation so that the objectives of the organisation are achieved surely, certainly and economically.

(b) To develop the feeling of mutual adjustment so that they work according to situations.

(c) To provide direction, right of leadership and ensuring co-operation.

(d) To arouse the feeling of endurance and mutual co-operation among workers and management.

(e) To instil the feeling of respect for human beings and human relations and create the atmosphere favourable to that.
To increase the morale and efficiency of the organisation so that it can give maximum production at minimum cost.

The principles of a good discipline system in relation to industry, are as follows:

1. **Code of Conduct** - With the consent of both parties for establishment of discipline, a Code of rules and regulations should be drawn up. These rules should be such that everyone can understand and follow them easily. They should be properly communicated.

2. **Treatment of Equality** - All workers should be equally treated on the basis of this code. Without any partiality, disobedience to the provisions of the code should be punished.

3. **Responsible Person** - On the basis of the code, responsibility of disciplinary action should be in the hands of a responsible person who can give orders to the subordinates.

4. **Full Knowledge of Administration** - Workers should have knowledge of the rules and their administration and it should be made clear for which violation the punishment is applicable.

5. **Preventive Measures** - The management should stress on the positive discipline, hence it must exercise preventive measures for maintaining discipline.
(6) **Appeal** - Responsibility of maintaining discipline should be with the supervisor or foreman. His duty is to prove the indiscipline. The person accused should have the right to appeal before the higher officials.

(7) **Natural Justice** - Discipline should be based on natural justice. Person should be given a hearing and then only any decision is to be taken.

The question of discipline in industry was first discussed in a systematic way by the Indian Labour Conference at its 15th Session held on 11th and 12th July 1957, at New Delhi. Workers' Discipline was one of the items on the agenda. Shri Gulzarilal Nanda, the then Union Minister for Labour and Employment, urged that, "both for higher productivity and better discipline, conditions will have to be created which include, among other things, a sense of security of employment, prompt attention to grievances, a fair deal in all matters, free latitude for the worker as partner and consideration for his wellbeing in human terms". He appealed to the conference to take counsel jointly and evolve a 'code of behaviour' in the enforcement of which employers' and workers' organisations should give unreserved co-operation. The conference, thereupon formulated the following principles to ensure discipline in industry:

(1) There should be no lockout or strike without notice.
(2) No unilateral action should be taken in connection with any industrial matter.

(3) There should be no recourse to 'go-slow' tactics.

(4) No deliberate damage should be caused to plant or property.

(5) Acts of violence, intimidation, coercion or instigation should not be resorted to.

(6) The existing machinery for settlement of disputes should be utilised.

(7) Awards and agreements should be speedily implemented.

(8) Any action which disturbs cordial industrial relations should be avoided.

The conference also decided to set up a Tri-partite committee to consider what further steps should be taken with the object of improving workers' discipline. The causes of indiscipline have to be investigated and appropriate remedial measures sought. The following matters were approved for further studies:

(1) Uniformity in wages, service conditions and other in the same industry in an area.

(2) Need for long-term settlements, avoidance of dilatoriness and speedy settlement of industrial disputes.
(3) Sanctions against employers or unions violating any of the principles, mentioned in the preceding paragraph.

(4) Proper definition of unfair labour practices.

(5) Question whether curtailment of production consequent on closure would amount to an act of indiscipline.

Discipline is needed for behaviour restriction in the interest of the organisation. In a nutshell, discipline is an attitude of mind and it regulates conformity to certain norms of good conduct. Some of its elements, being directed by the requirements of society, is considered socially good. It may entail a certain amount of external pressure on an individual to behave in an orderly manner commensurate with the concept of organisational or social good.

The reasons to stress the need for discipline in industry are to increase and maintain efficiency and avoid loss of production; to ensure teamwork without which no industry can function in these days; to infuse respect for the leadership in an organisation without which the superior-subordinate relations will crumble; and to keep order and peace at the place of work.

How to Maintain Discipline in Industry:

Disciplinary measures have serious repercussions on the employees and they must be based on certain principles in
order to be fair, just and acceptable to the employees and the union. The most important principles to be observed in the maintenance of discipline are outlined by Yoder, Heneman, Turnbull and Harold Stone:

(1) So far as possible, all rules should be developed in co-operation and collaboration with representatives of employees. If they have a hand in formulating the rules, they will be much more likely to observe them.

(2) All rules should be appraised at frequent and regular interval to be sure that they are and remain appropriate, sensible and useful.

(3) Rules should vary with working conditions. The rules for office workers, for instance, may well vary from those affecting employees in the shop.

(4) Rules must be uniformly enforced if they are to be effective. They must be applied without favouritism or exceptions.

(5) Penalties for violations should be stated in advance as well as the procedures for enforcement. Employees have a right to know what to expect. To that end, both rules and procedures may be published in employees' handbooks.

(6) Disciplinary policy should have, as its objective, the prevention of infractions rather than the simple
administration of penalties, however just. It should be preventive rather than punitive.

(7) Extreme care must be taken to assure that infringements of rules are not encouraged, if not actually required, by supervisors or as company policy.

(8) If violations of any particular rule are numerous, the circumstances surrounding these infractions should be carefully studied to discover the source of difficulty.

(9) Recidivism must be expected. Certain offenders will almost certainly far more than their proportionate numbers of violations. These or similar problem cases may require extensive consideration and attention.

(10) Definite and precise provision for appeal and review of all disciplinary actions should be expressly provided in the employee handbook, collective agreement, or standing orders etc.

Almost a similar set of principles of industrial discipline is provided by Mr. V.K.R. Menon, former Director of I.L.O. in India:

(1) Whenever there is a case of individual indiscipline or group indiscipline, a searching examination of its cause should be made.

(2) Rules should be framed after proper consultation with
the workers or their representatives.

(3) If any rule is infringed frequently, the cause of such infringement should be looked into.

(4) There should be no rigidity or finality about the rules, and they should be considered as means and not as ends.

(5) There should be a periodical check-up of the rules, to see whether changes are necessary in the light of the experiences gained.

(6) In the enforcement of rules, there should be no favouritism or bias.

(7) Managements should see that those who are responsible for ensuring the observance of rules are themselves setting an example by following them strictly, where the rules concern them.

In developing any set of rules of discipline it must be borne in mind that a legalistic and a punitive approach should, as far as possible, be avoided. Rules must be simple, easily understood and cut down to the minimum. When rules are framed with elaborate legalistic caution, giving scope for too many different interpretations, they become long-winded, and the very purpose of rules is lost, because they are neither easily understood nor observed.
Importance of Industrial Discipline:

Knowledge is power. It enables man to know the respective consequences of discipline and indiscipline. It is well said that none can acquire education or knowledge without discipline. A certain amount of self-discipline for those who aspire to acquire knowledge is essential. Similarly, a person with knowledge is likely to be more disciplined. In fact, knowledge and discipline are mutually complementary.

Discipline is essential for the attainment of maximum production as well as reduction in cost. The essential consideration is that discipline should be maintained without giving rise to unfavourable effects on morale. The best rules, regulations, laws, procedures are all worthless if they are not followed strictly. Industrial discipline assigns ways of conduct which all workers (including top executives), should follow regarding orders of their superiors. So discipline is essential in any industry where there is to be order instead of chaos. "Hard and efficient work on the one hand and the avoidance of indiscipline on the other, will be needed for achieving the goal which the community desires to achieve."

Where there is poor discipline, industry can not operate efficiently. Production schedule is disrupted, sales forecast is not available on time, accounting work is held up. Monthly reports are late, wasting the time set aside to
review them with their authors. Poor discipline wastes industrial energy and it is neither desirable nor tolerable.

Industrial rules are seriously weakened if anyone, regardless of his position, is permitted to break them. A rule is useful only when it is enforced. The manager — and the Industry — are hurt when the former chooses to excuse or overlook an infraction when it suits his purpose and not at other times.

Workers' behaviour can be effectively guided by a reward for good performance and punishment for bad work. Sometimes the reward can be a compliment/punishment/reprimand. An uncooperative or incompetent or inefficient workers' attitude can be changed by having a talk with him. Correction of poor industrial discipline requires balance in reasoning with the employees and exercising authority. The first step is to explain how important discipline is for the success of the factory and to its administration. Workers' cooperation sometimes depends upon the right behaviour of the manager. The workers' attitude is to be firm, without making constant threats. The manager will strengthen his control by being willing to listen to reason why instructions can not be followed.

There is one approach that is frequently tried but seldom works for controlling the minor infractions that undermine industrial discipline. That is the withholding of
benefits such as salary increases and promotions. Good discipline once achieved, is maintained by persistent enforcement of factory rules. It will pervade all operations and characterize every worker's performance. Correcting poor discipline requires patience. Slow and steady progress is all that can be worked for.

Steps to Improve Industrial Discipline:

Sri R.P. Billimoria suggests the following steps to improve industrial discipline and build up morale in industries:

1. **Clean hands**: Many factories still exist where conditions of work are deplorable. People work there because of acute poverty and unemployment. To talk of discipline in such environments is futile. We cannot have a disciplined labour force unless the employers change their outlook and are prepared to provide amenities and facilities to their workers.

2. **Trade Unions**: The personnel officer can advise his employer to recognise the representative trade unions run on democratic lines. The unions must make every effort to follow faithfully the code of discipline recently drawn up by the tripartite committee of the Indian Labour Conference.

3. **The Personnel Officer**: The Personnel Manager must be
a qualified and trained person. His function is predominantly advisory. He must understand the group-behaviour of workers. He has to see that he and others in the personnel department do not themselves act in a manner which may lead to indiscipline in the organisation.

(4) Principles and Procedures: A few important principles relating to the problem of industrial discipline are outlined as below:

(a) Recruitment and Selection: Recruitment, selection and placement must be made on a fair basis. Security of service should be guaranteed to every worker. In large undertakings it should be possible to introduce what may be called 'rationalisation without tears'. In an expanding enterprise, a surplus worker should be trained for an alternative job, and he should be guaranteed his previous earnings during the period of training as also on placement in the new job.

(b) Promotion and Training: To build a firm foundation for industrial discipline, training should cover not only the worker but the supervisors and the executives. The personnel manager has an important role to play in drawing up a proper promotion procedure.

Policy for Discipline - A Suggestion

It is the responsibility of top management to give
serious consideration to the need for achieving a healthy state of discipline throughout the organisation. It must decide what kind of behaviour is expected from its employees and how it hopes to achieve this. Top management must carefully think out the issue of the role of the first-line supervisor in the disciplinary system.

The management's intention is to promote throughout the establishment cordial relationship, the high morale that makes for self-discipline in every team. When it is necessary for the management representatives to resort to disciplinary action, such action should demonstrably implement two related purposes -

(1) to inform, remind and encourage employees in regard to accepted standards of work and of conduct and

(2) to prevent an unruly minority from exercising an undue influence on the standards of behaviour.

In other words, disciplinary procedure should be used, whenever possible, in such a way, at such a time, as to reinforce in employees the desire and ability to meet accepted standards of work and conduct. Punitive action i.e. discharge should be used only as a last resort. If there is any doubt in the matter, the employee should be suspended pending further enquiry.

The responsibilities which all employees are expected
to meet are summarised on a minimum of rules for efficiency, safety and good conduct. These rules are to be carefully explained to all newly appointed employees, re-emphasised, if necessary, in follow-up interviews by supervisors, and promptly and impartially enforced.

No management representative should, at any time or for any reason, overlook disobedience, either of these rules, or of a supervisor’s order. Even if an employee should feel that either a rule or an order is unsuitable, this does not alter his duty to obey it. He can have recourse to the grievance procedure by entering a complaint with his representative on the Grievance Committee.

Any act of disobedience (where facts established) shall be considered a ground for disciplinary action. The scope of such action shall depend upon the supervisor’s judgment as to the seriousness of the offence, in relation to the various rules, and to the gravity of the situation. It should be set in motion by the supervisor in charge and should depend on what disciplinary steps, if any, have previously been taken, with this employee. This policy shall be implemented by a written procedure for discipline and an established disciplinary process; both of which should be made known to all employees at the time when they first join the organisation.

Disciplinary policy must provide the employee with an
opportunity to explain his side of the case and also have recourse to an appeal, if he feels that an unjust punishment is being meted out to him.

Accurate records of disciplinary cases and the measures taken have to be maintained for future use. While the disciplinary action is generally taken by the line executives, in some companies personnel administration is asked to take the ultimate disciplinary measures such as discharge or dismissal.

In West Bengal this is a major constraint for maintaining discipline in an organisation. Almost all the trade unions owe allegiance to one or other political parties and are always strongly influenced by their political opinions and programmes. Probably the involvement of national leaders in trade union movement before independence is the reason for this. Instances are not rare when chaos prevailed in an organisation for only political reasons even when there was no kind of socio-economic demand on the part of the employees. This also gave rise to multiplicity of trade unions and encouragement in creation of inter-and-intra union rivalry which invariably causes hindrance in the process of negotiations for involvement of employees in any kind of management decision. Any effort of such negotiations generally results in eventual all-round irritation and frustration if the proposals of management had no blessing from the trade
union affiliated to the political parties in power. In this sort of situation Government help is also necessary to create gradually the atmosphere for 'one union in one industry' as the sole bargaining agent.

Resume:

Basically, discipline is a form of training. It is a two-way traffic and can not be continuously enforced from without. This is a negative approach. A must grow from within. The real remedy lies in removing the causes which lead to indiscipline. When a disciplinary problem arises it may be as much the management’s fault as the workers’. Many disciplinary problems grow out of the management’s failure to inform employees what is expected of them.

We should remember that the maintenance of discipline is a joint responsibility of the management and the employee as well. Workers have to be equally responsible for it. They should put an end to the vicious cycle, set in motion by vested interests.

In dealing with the workers we should remember that workers’ energy and skill are the most valuable assets of the industry and also their personality is an object of care and importance with that of any element in industrial operation. We have to realise that the human element in industry is being given more and more importance. It is the duty of
every executive to keep himself alert for the slightest cause of grievance, giving rise to indiscipline, should be controlled and nipped in the bud before causing disorder in sizeable proportion. This can only be achieved and well maintained only on the harmonious relations and understanding between the management and the workers.

Discipline amongst the employees is an essential prerequisite for increasing organisational effectiveness. In order to ensure this, the management must defreeze their traditional and conventional assumptions about potential goodness of human beings and provide opportunities for self-awareness, self-development and growth of self-discipline by changing the quality of work-life, bringing meaning to job, converting job-contents and job-context as media for fulfilment of not only physiological needs but also of their psychological and social needs.

For discipline to be accepted the rules must be effectively communicated and the penalties inflicted must be consistent. Discipline helps employees to learn the requirements of their job; and if discipline is applied impersonally, without personal animus, the respect shown by his subordinates may actually be increased.
DIFFERENT APPROACHES TO DISCIPLINE

Management can adopt any of the six possible approaches to any act of indiscipline:

(a) the judicial approach;
(b) the organic view of factory (modern approach);
(c) the human relations approach;
(d) the human resources approach;
(e) the group discipline approach; and
(f) the leadership approach.

A. The Judicial Approach:

Judicial approach is commonly used in India to disciplinary cases. It is the legal side of discipline, but it must be remembered that this is the negative approach to the problem of discipline. Under this approach, the degree or nature of offence in a particular situation is determined by carefully weighing the evidence and taking all steps prescribed for disciplinary procedure. Disciplinary procedure must conform to the principles of "natural justice". To ensure this, industrial courts have evolved a procedure of departmental enquiry based on the rules governing discipline for those employed by the Government under Article 311 of the Constitution of India. The employer is required to give a reasonable opportunity to its employees before imposing any punishment, major or minor.
This process is a time-consuming process and it leads to delays. So the disciplinary authority tries to avoid this way of disciplinary procedure and tempts the offender to go into legal or technical niceties. Besides, the tribunals as per law can interrupt in order to review cases of dismissal or discharge of employees after domestic enquiry though the tribunal cannot take fresh evidence and have to rely on the records of the case.

If leniency is shown to an offender due to union activity which can pressurise the management through the trade union, it would be a failure on the part of the management.

Generally, if workers feel that the rules established to govern them are reasonable they will willingly observe them, not for fear of punishment but for their reasonableness. With the development of human-relations approach, increased attention is being given to employees as individuals. Thus a sense of responsibility is being impressed on the mind of workers, by means of increased participation, co-ordination and delegation, and job enlargement. We have to see what is the objective and to consider whether it is helpful. It should be the process to correct a delinquent worker rather than to penalise him, to make the man realise that he has defaulted and should not repeat it.
B. The Organic View of Factory - Modern Approach:

The employer is to treat the factory as a living organism, dealing with its workmen as dignified human beings and to enforce discipline without affecting the morale of the people.

Enforcement of discipline is, therefore, a living human phenomenon with a sociological background and it is not a mechanical process. It depends on a proper study of human relations and as such requires a managerial personnel equipped and capable to understand and enforce it.

Professor F.N. Balsara has laid down the following criteria which the employer has to keep in his mind:

(1) Every man has a sense of dignity and the conviction that he has basic human rights which others must respect. Complex emotions which are connected with self-expression, opportunity to advance and attain a useful place in the organization are also important.

(2) The need for esteem of others, craving for recognition and respect of their human dignity and a strong desire to be treated like human beings in all relationships, are predominant features of human psychology.

(3) When a man serves in a company, he rightly expects that he and his family will be provided with the basic necessities of life demanded by the decent standards of
living in society.

(4) A desire for security both of life and service.

(5) Men are endowed with psychological instincts which help them to develop team-spirit and common undertaking.

"It is always best to keep people under discipline. There should be no relaxing from this fundamental rule which must be enforced without fear or favour. It has been proved beyond doubt that employees will feel absolutely secure under the iron-claw of discipline. The whole organization is helped if you tell some trouble-maker to "go to hell" or even fire him, instead of trying to solve his inferiority complex or compensate for his wife's faithlessness. I have no quarrel with those who treat their employees as human being with hopes and desires, fears and tribulations, their wants and needs, their strengths and weaknesses. But we are mollycoddling our employees and spoiling them beyond repair, all in the name of good human relations. I have, therefore, my quarrel with those responsible for enforcement of discipline, who try to appease disrespectful and indisciplined employees, because they threaten 'to go up' to the highest boss. This sense of fear, which paralyses many good-intentioned officers, is bound to sap office discipline. This is bad human relations. Such officers, are not fit to be in the responsible positions which they are holding. Office discipline must be maintained, come what may, and if this is done, then whatever we wish to do in fulfilling
the good objects of human-relations, such as philanthropy, kindness, humanitarianism, all will automatically follow. People forget that human relations is not a cult to be blindly followed, it is rather a methodical way of thinking and working together so as to achieve the best results. It does not mean putting a premium on indiscipline. It is the language of discipline, which enables us to reach the hearts of our employees. It has got to be learnt, studied and applied, everyday, in all walks of life"15.

C. Human Relations Approach:

"Human Relations is an area of management practice in the integration of people into a work situation in a way that motivates them to work together productively, co-operatively and with economic, psychological and social satisfaction".

The problem of human relations is a moral and social problem and its main object is to make 'man-to-man' and 'man-to-group' relations satisfactory. It is a process of integration between the organisational goals and individual motives. Main features of this approach are:

(a) Social Factors in Organisation: In fact, organisation is influenced by social factors. According to Elton Mayo—a social system, (is) a system of cliques, informal status system, rituals, and a mixture of logical, non-logical and
illogical behaviour, so organisation is more than a formal structure.

(b) **Groups** : Individuals tend to create groups and determine their rule of conduct. Thus, management cannot deal with workers as individuals but as members of work groups, subject to the influence of those groups.

(c) **Socio-psychological Approach** : Human Relations Approach is a socio-psychological approach. It accumulates on the study of human needs, human behaviour and the social and psychological aspects of the work.

(d) **Integrating Process** : The human relations process demands from the management a practice in leadership and communication for avoiding conflicts among the group and individuals. Its main thing is motivation and it creates a healthy and co-operative atmosphere in the organisation.

It is to be noted that the essential feature of Human Relations Approach is an optimum relationship between productivity of an organisation and human satisfaction.

This approach plays a very significant role in to-day's organisation. Some of the important contributions of this approach are :

(i) **Economic and Good Production** : A highly motivated worker has an internal attitude to do more work. At this stage he
tries to use his skill, ability and knowledge for more produc-
tion. The result will - improve the quality of work, in-
crease the productivity of workers and lower down the cost of production.

(ii) Maximum Utilisation of Man-power: Adequate finance, better quality of raw materials, modern machines and other facilities are required for production. But industries are not composed of only these things. They need human beings also who use these resources. Only the human factor makes good/bad use of these resources. In the absence of trained and efficient personnel the natural resources cannot do anything.

(iii) Psychological and Moral Grounds: Employees are also human beings just as are the members of management or ownership and are, therefore, entitled to human treatment. They should be treated with the same respect for their dignity that any other human being can claim.

(iv) Development of Trade Unionism and Government Stress: At present the trade union movement is quite organised in our country. Due to strong unionism and government's interference in the field of industrial relations, an industrialist cannot afford to ignore the workers, their needs and their grievance.

(v) Development of Industrial Humanism: Human relations
approach leads to the development of industrial humanism in industrial field. It focusses on job-satisfaction rather than job-remuneration. It makes the workers equally responsible for the growth of the organisation.

From the beginning of 20th century to 1925 there prevailed the paternalistic attitude of management. Then came the period of human relations approach. It stressed the humane use of human assets. The experiments of Prof. Elton Mayo and their associates asserted that the factory is a social system and its employees are human beings having minds, hearts and human values. The management should behave with them with dignity and respect so that they may not be physically present only, they would like to put their hearts in the work. The new doctrine held that all men are equal, in the sense that they have many of the same impulses and reactions.

Human relations approach was a significant departure from the Taylorian 'scientific management' approach which has given us work measurement techniques, organisation and methods and assembly line production. The human relations approach is now broadening considerably in scope. It now comprises such complex subjects as decision-making theory, managerial behaviour- the sociological and psychological dimensions of it, the ethical and moral aspects of such behaviour including what is compendiously described as
"social responsibility of business". The idea here is not to be soft or sentimental but to treat the offending employee as a human being. The human relations approach would ask him a question when he has violated the rules. Sleeping during the night-shift for example, might be due to the fatigue caused by factors over which the man has no control, for long spell of household work with a case of illness in the family, bad state of health, etc. In this situation attempts should be made to help the worker to get over such a personal difficulty or to transfer him temporarily to another job which he can handle, rather than to take an extreme view and punish him severely. Some penalty will have to be imposed in the interest of the organisation. This approach would also expect from him responsible behaviour, i.e., he should take leave rather than come to work in a state of mind or body not allowing him to do justice to his duty.

The objective of human relations approach has a wide measure of acceptability. It means organisation of the people. A few management policies and practices designed to increase efficiency and productivity can have negative impact on the people at work, if their aspirations and attitudes are not understood and utilised. Generally the employee works under excessive supervisory pressure.

It can be claimed that it is an aid to the process of integration of employees, however partial, with their
organisation. This discipline or body of knowledge attempts to understand human behaviour at the work place and to utilise or modify that behaviour to the extent feasible, so as to achieve the objectives of the organisation and fulfill, by the same process, part of the aspirations of those who are its members.

D. **Human Resources Approach (Self Discipline Approach):**

Human factor is the key to almost all managerial success. Human factor is fragile and must be handled very carefully. Man is actually treated as a factor of production. Until human nature gains better perfection, the fullest measure of individual freedom of action can be reached only within the framework of an expressed discipline. Among all other resources, human resource is the basic and most vital capital to be utilised in its best form for achieving maximum productivity in a complex pattern of modern industrial venture. Hence, work is an essential part of man's life, giving him status and respect in society, governing the attitude of the worker towards worker, working environment, and society. The attitude of that society towards him is the definite emblem of his morale. This morale is generated by the group and it is an attitude which is emotionally turned to the country's needs and the industries where they are employed.
Like every other human being, the worker wants to be happy, seeks happiness and to avoid sorrow and grief, this is the universal human tendency. Since his material existence depends upon the employer, the worker considers that his employer is one who aids him to fulfill his material needs, or who on the contrary, prevents him from achieving it. In many cases, when he feels the latter, he becomes aggrieved and thus the form of a primary grievance takes shape, ultimately leading to indiscipline. The need for sympathy is deeply rooted in human beings and the generation of mutual sympathy is a means of increasing the production. An Officer/Supervisor and his subordinates should occupy, with regard to one another, the positions of partners. To this end, in every industry these should be prescribed beforehand:

(i) Reasonable regulations in regard to employee conduct on the job;

(ii) Develop in each supervisor, with specific training to inculcate knowledge of job, knowledge of supervisory responsibilities and skill in leadership and in the art of handling men.

Management should not be too crude and over bearing, but let the worker feel that he is trusted, and an executive should be more in the nature of a guide than to give orders from a pedestal.
Arbitrary conduct or unnecessary harshness on the part of an employer judged by the normal standards, may be an evidence of victimisation or unfair labour practice, giving rise to indiscipline. However, workers' indiscipline may sometimes need be dealt with proper disciplinary action, if the worker's action be found illegal after impartial enquiry and judgement following it. Workers on the contrary, should be taught on the first opportunity as to what is to be done and not to be done by them.

Thus the management itself has a major contribution in creating conditions for activating constructive discipline in the organisation. Behaviour of the supervisor and line executive sets the example of discipline for the persons under him. Therefore, it is essential that he himself is adequately trained and disciplined. The qualities which he expects to see in his employee must also be demonstrated by himself. The discipline in supervisor radiates in his efficiency, co-operation with other co-workers and respect for others. It takes a genuine interest of the supervisor in the employee on and off the job, for planning, communicating and implementing the objectives uniformly. The superior and the subordinate have equal responsibility in the development, maintenance and enforcement of discipline. The superior however, should follow the major disciplinary practices –

(a) by encouraging every violator of discipline to correct his fault;
(b) by maintaining uniformity of discipline;

(c) by keeping adequate records of disciplinary actions.

E. The Group Discipline Approach: In this approach the employee is not alone, but he is a part of the group. Workers in a group do their best in the congenial, homogeneous group-atmosphere of mutual belief. Hence, the group will take care of the delinquent worker. The group will set the norms, provided we try to motivate the workers to utilise their work-potential most effectively and thereby permit the organisation to reach the desired goals and meet the needs of employees. The group as a whole can control an individual worker much more effectively than the management can do, through penalties. Motivation may be regarded as the act of stimulating some one to take a desired course of action. Motivation concerns itself with the will to work.

A group may be formal or informal, but ensuring that every member of the group remain disciplined in the interest of increased productivity, more incentive earnings, regulation for superior performance etc.

Every executive is responsible for motivating his immediate subordinates and for motivating all subordinates—down to the bottom of the organisation. Effective motivation of a group can be cited for inspiring other groups. The overall rise in the labour-productivity in war-time or, the increase
in productivity by introduction of a favourable incentive scheme in a factory, are all examples for higher motivation.

F. Leadership Approach: Literally, the term 'leadership' has come from the word 'lead'. The verb 'to lead' has two meanings - to excel or to be in advance and 'to guide, govern and command another or to head an organisation'. The 1st hints at certain qualities of leaders. The 2nd meaning of leadership is that followed in business management.

"Leadership is the ability to secure desirable actions from a group of followers, voluntarily without use of coercion".

Chester I Barnard has defined leadership as "It refers to the quality of the behaviour of the individuals whereby they guide people in their activities in organised effort".

According to Ordway Team "Leadership is the name of that combination of qualities by the possession of which one is able to get something done by others, chiefly because through his influence they become willing to do it".

Leadership has been defined as interpersonal influence exerted in a situation and directed, by using communication systems, towards the attainment of specific goals. It is basically the ability to form and mould attitude and behaviour of other individuals. It is a process of influencing
others to mobilise and direct their efforts towards specific goals and to attain these goals through them. Social scientists have found that leaders use leadership styles that are consistent with their personalities. Personalities are complex, and leaders choose many different kinds of behaviour to satisfy a wide spectrum of needs and desires.

The fact that leadership has evolved in almost all groups can be observed in the animal kingdom (herds, prides, and flocks) and in the human world (religious, cultural, political, social, professional and business groups). Each leader of these groups shows the ability to take charge, set the direction, find new directions to direct movements, set a trend and make decisions. The director or personnel manager, will be involved in recruiting, training, and promoting these qualities in the employees. For this, understanding the elements and dynamics of leadership will be beneficial.

Men who are not "born leaders" can be trained in leadership techniques. Some believe that teaching specific leadership skills and ignoring the significance of personality traits will create mechanical behaviour on the part of the leader. He will be a robot and no true leader. Others believe that learning leadership skills instills confidence and helps people to assume the role of leaders.

McGregor's X and Y Theory : Scale of qualities of leadership
is based on: (a) the forces at work within a leader, (b) the forces at work within his followers, and (c) the arena in which the leader and the followers interact. Douglas McGregor developed the scale—known as the X and Y theory of leadership. Among the labour in the early twentieth century, the kind of leadership demonstrated by supervisors was primarily autocratic, or X type. Some believe that people work mostly for money and status rewards. But McGregor believed that the leader can have a feeling for the employees as well as for the accomplishment of the goal of the Company. The participative or Y leader believes that many people naturally aspire to independent responsibility and self-fulfilment, and further, people need to feel capable of assuming responsibility and correcting faults in production. The Y leader is interested in the employee. Theory Y lays emphasis on self-discipline.
Introduction:

Domestic enquiry/departmental enquiry means an enquiry into an allegation of misconduct against an employee within the organisation. Whenever an employee is sought to be dismissed or punished, it is usual for the employer/the officer authorized for the purpose, to find out whether the proposed action of dismissal or punishment is warranted. A cardinal rule of natural justice is that no man should judge his own case. As per Article 311 of the Indian Constitution no employee can be dismissed unless he has been given reasonable opportunity of being heard in respect of the charges. In the Public Sector there are some rules laid down for holding the above enquiries. But in the Private Sector the holding of an enquiry is laid down by Standing Orders framed under the Industrial Employment (Standing Orders) Act 1946. Such Standing Orders have the force of law and constitute Statutory terms of employment. When no procedure for enquiry has been laid down by any statute, award or settlement, the employers are required to follow a reasonable procedure.

Natural Justice - Meaning and Scope:

Natural justice is justice founded on equity, honesty,
and right. It embodies the essence of justice. It has been said rather contemptuously that natural justice is justice in the air. But air does constitute the most important element for life; also the principles of natural justice are now well established. The Romans gave the name of 'jus natural' to describe the natural or ethical foundation on which civil law must rest. The natural law entered into and liberalised Roman 'jus gentium' which came to be called 'jus acquhum', 'equitas' or equity. The aim of the Roman jurists was to bring 'jus civile' into harmony with natural justice, that is with what is ethically right. The 'jus gentium' thus became throughly identified with the 'jus naturale', based on the universal principles of right and justice. "That which is always equitable and good is called law I. Such law is a natural law", says the Roman Jurist Paulus. Thus 'natural justice' has been derived from 'natural law' or 'jus naturale'.

Principles of Natural Justice in English Jurisprudence:

From the turn of the Seventeenth Century, eminent Judges of the time maintained the supremacy of natural justice over the statutory law of Parliament. It was felt in Calvin's case 17, the law of nature is that which God at the time of creation of the nature of man infused into his heart, for his preservation and direction, and this is lex-eterna (eternal law), the moral law, called also the law of nature. And by
this law, written with the finger of God in the heart of Man, was the people of God a long time governed, before the law was written by Moses, who was the first reporter or writer of law in the world.

The Common law will control Acts of Parliament and sometimes adjudge them to be utterly void; for when an Act of Parliament is against common right and reason or repugnant or impossible to be performed, the common law will control it and adjudge such act to be void.\(^{18}\)

An act of Parliament made against natural equity, as to make a man judge in his own cause, is void in itself, the law of nature are immutable and they are (leges legum) law of the laws.\(^{19}\)

In 1842, the Judicial Committee of the Privy Council said: - "As to what has been said of an Act of Parliament not binding if it is contrary to reason, that can receive no countenance from any court of justice whatever. A court of Justice cannot set itself above the Legislation"\(^{20}\). Even an Act of Parliament made against natural justice and equity, as to make a man a judge in his own cause, is void in itself because the law of nature is immutable.\(^{21}\) The court of law cannot sit in judgment on the Legislature, but must obey and give effect to its determination\(^{22}\). Act of Parliament may be so worded as expressly to authorise a procedure inconsistent with the principles of justice recognised by the
It is the duty of a body/organisation exercising judicial or quasi-judicial function to act in good faith, to listen fairly to both sides, and to give fair opportunity to the parties in the controversy to present their case adequately and to correct or controvert any relevant statement prejudicial to them. Procedure of every such tribunal need not be same as that followed in a court in the strict sense. We find 'Natural Justice, & Right of a Hearing, mentioned in Administrative Law, 1954 Cambridge Law Journal, P-16- A decision as to whether or not the rules apply may depend on ascertainment of the solution that would best accord with the purpose of the legislation as a whole. So every man ought to have an opportunity of being heard before he is condemned.

**Principles laid down by Courts in India:**

One of the broad principles of natural justice is that a quasi-judicial authority can not make any decision against a party without giving him an effective opportunity of meeting the allegation made against him.

It is natural law, universal law. It consists of those unwritten rules which are recognised by all men. The ideas of natural law in their practical application on human being are the norms of Natural Justice i.e. the instinctive under-
standing of justice in the sense of righteousness and equality and fair play. It is that justice which the legal justice strives to confirm. Enforcement of justice means punishing the guilty person by appropriate punishment requiring the innocent person who is not guilty.

In industrial adjudication the principles of natural justice are very much talked about and more often than not, the disciplinary actions, that the employers take against their erring employees, fail mainly because there is violation of the principles of natural justice in some way or other. Therefore, a proper understanding of the principles of natural justice and a more strict compliance with these have assumed greater importance.

Viscount Haldane. L.C. observed that natural justice is 'an expression sadly lacking in precision'. It is a concept which is very real but at the same time it is difficult to fully comprehend a concept so full of meaning but difficult of definition. In a sense it is a corollary to our judicial system, our democratic way of life. Hence its contents are necessarily somewhat fluid.

The essential point to be kept in mind in all cases is that the person concerned in a breach of discipline should have reasonable opportunity of presenting his case and that the authority concerned should act fairly, impartially and reasonably. "The requirements of Natural Justice must depend
on the circumstances of the case, the nature of the enquiry, the rules under which the tribunal is acting, and the subject matter that is being dealt with and so forth.27

By natural justice is meant that which is founded on equity, honesty and right and its principles are:

(a) A person must not be a judge in his own case.

(b) Every person whose civil rights are affected, must have a reasonable notice of the case he has to meet.

(c) He must have reasonable opportunity of bringing in his defence.

(d) The authority must act in good faith, and not arbitrarily but reasonably.

On an examination of the decisions of court in India, two distinct lines of thought are discernible. One view emphasises the rights of the individual - the imperative need of doing justice to him - which can be guaranteed only by what we call a judicial approach. The other view concentrates on social needs and practical requirements of life.

Principles of natural justice vary with the varying constitutions of statutory bodies, the rules prescribed by the legislature under which they have to act. The question whether in a particular case they have been contravened must be judged not by any preconceived notion of what they may be
but in the light of the provisions of the relevant act. It is now well settled that while considering the question of breach of the principles of natural justice the court should not proceed as if there are any inflexible rules of natural justice, of universal application. The court, therefore, has to consider in each case whether, in the light of the facts and circumstances of the case, the nature of the issues involved in the enquiry, the nature of the order passed and the interests affected thereby, a fair and reasonable opportunity of being heard was furnished to the person affected.

The workman must not only be given an opportunity of hearing but such opportunity must also be reasonable. What is 'reasonable opportunity' has not been defined in any Act or even in the General clauses Act, but Allahabad High Court has observed that "the words have acquired a legal meaning and it can not be left to the vagaries of each individual, since that would introduce a thousand shades of reasonableness which can not be permitted".

The charge sheet given to workman must be clear and not vague and must state precisely the nature of the charges against him. The C.E. must be told well in advance of the date of the hearing; statements made in a preliminary enquiry should be supplied to the workman (C.E.) in advance in order to enable him to set up a proper defence. Care should
be taken to see that the enquiry does not become an empty formality.\textsuperscript{31}

The purpose of applying rules of natural justice to domestic enquiries is to safeguard the position of the C.E., so that he is able to meet the charge laid against him properly. The nature of enquiry and the status of the C.E. have some bearing on what should be the minimum requirement of rules of natural justice. In conducting domestic enquiries in industrial matters the proper course for the employer would be to examine the witnesses from the beginning to the end, in the presence of the workman, at the enquiry itself. In exceptional cases it may be permissible to give to the accused workman copies of statements of witnesses which are to be used at the enquiry well in advance before the enquiry begins (at least two days before). If this is not done and yet the witnesses are not examined-in-chief fully at the enquiry, it cannot be said that principles of natural justice have been complied with.

The Supreme Court observed\textsuperscript{32} - "Stating it broadly and without intending it to be exhaustive, it may be observed that rules of natural justice require that a party should have the opportunity of adducing all relevant evidence on which he relies, that the evidence of the opponent should be taken in his presence, and that he should be given the opportunity of cross-examining the witnesses examined by
that party and that no materials should be relied on against him without his being given an opportunity of explaining them.\textsuperscript{33}

It is the duty of the employer to ask the C.E. whether he wishes to cross-examine the Company's witnesses and the employer cannot say that the C.E. did not ask for cross-examination.\textsuperscript{34} In this connection, in a case, the workman was an assistant accountant in a Calcutta Bank and was charged with having allowed an overdraft to certain customers without obtaining the sanction from the competent authority. In the enquiry he was examined first and later two officers of the Bank were examined, but he was given no opportunity of cross-examining them. It was held by the Supreme Court that fair opportunity of cross-examination has to be given. In this case, however, since the workman had admitted the charges against him there was nothing further to be done.\textsuperscript{35} The dismissed employee was not given a fair opportunity of cross-examination and the enquiry was held to be vitiated.\textsuperscript{36}

The Supreme Court held that one of the essential ingredients of a valid enquiry is the granting of the opportunity to the C.E. to defend himself by cross-examination of the witnesses produced against him and by himself examining any other witnesses in support of his defence.\textsuperscript{37} In the case one Mr. B.Das was charge-sheeted for theft. In the
domestic enquiry the witnesses were not examined in the presence of Mr. Das. They were asked whether their earlier statements were correct and they answered in the affirmative. Mr. Das was not given any opportunity of cross-examining these witnesses. It was held that the enquiry was vitiated.38

In another case the witnesses were examined behind the back of the workman and no opportunity of cross-examination was given to the latter. It was held that the enquiry was vitiated.39

In Sur Enamel and Stamping Works Ltd. v. Their Workmen, the Supreme Court laid down that an enquiry cannot be said to have been properly held unless:

(i) The employee proceeded against has been informed clearly of the charges levelled against him;

(ii) The witnesses are examined ordinarily in the presence of the employee in respect of the charges;

(iii) The employee is given a fair opportunity to cross-examine the witnesses;

(iv) He is given a fair opportunity to examine witnesses including himself in his defence if he so wishes on any relevant matter; and

(v) The enquiry officer records his findings with reasons for the same in his report.
In another case, Associated Cement Companies Ltd. v. Their Workmen, the Supreme Court has thrown more light on the subject, while laying down that: Though domestic enquiries into acts of misconduct by workmen need not be conducted in accordance with the technical requirements of criminal trials, they must be fairly conducted and in holding them, considerations of fair play and natural justice must govern the conduct of the enquiry officer. In particular —

(a) the enquiry must not be conducted by persons who had themselves witnessed the alleged incident. The enquiry must be left to such officers of the employer who are not likely to apply their personal knowledge into the proceedings which they are holding as enquiry officers;

(b) at the commencement of the enquiry the employer should lead evidence against the workman charged, giving an opportunity to the workman to cross-examine the evidence and then the explanation of the workman about the evidence led against him should be recorded. The enquiry should not commence with cross-examination of the workman himself;

(c) the workman should be given due intimation of the date on which the enquiry is to be held so that he has an opportunity to prepare his defence at the enquiry;

(d) that any inconsistency between the evidence given by a
witness for the workman and another document, e.g., the attendance register, must be put to the witness and he should be given a chance to explain this inconsistency before the witness is disbelieved, and

(e) where two separate domestic enquiries are held in respect of two workmen, the evidence recorded in one enquiry cannot be relied on when dealing with the case of the other workman.

This is very important to follow that if an officer has himself seen the misconduct alleged against the workman he can not be appointed as the Enquiry Officer. An eye witness should not be the enquiry officer, for he may have already come to certain conclusions as regards the incident which would have created a bias in his mind. It has, however, been held that where in the enquiry report some facts are mentioned on personal knowledge they could be treated as incidental observations if the main charges are proved on other evidence. In the last case referred a certain witness denied certain statements he had made at the preliminary enquiry at which the Enquiry Officer was present. To contradict this witness the Enquiry Officer himself gave his evidence to another police officer, and then resumed his role as an Enquiry Officer. It was held by the Supreme Court that this double role of acting as a judge and also as a witness violates the principles of natural justice.
Where an employee was content with whatever opportunity was given to him by the body holding the domestic enquiry when they were examining the matter, as he never made any grievance in his appeal against the findings of the domestic enquiry and that he had the opportunity to place his case and also seek to cross-examine witnesses, it could not be held that the domestic enquiry was opposed to principles of natural justice. Fair opportunity and fair trial are elements of the principles of natural justice which are always applied to the facts and circumstances of each case and not understood in the abstract.

The Supreme Court has laid down that if the Enquiry Officer also acts as a prosecutor or witness there is a clear violation of the rules of natural justice and his findings are liable to be set aside on that account. When the E.O. has himself been a victim of the assault, he is incompetent to hold the enquiry.

In the case of Sarda Industries, Am Ambathur V.M.Elumalai and others 1st respondent in each of the writ petitions applied for leave to go on an excursion. Leave was refused. Ignoring such orders of refusal of leave both the respondents absented themselves from duty between 15th and 22nd November, 1969. On their return they were called upon to show cause why they should not be dismissed from service for deliberate defiance and unauthorized absence from duty. They were also asked...
to state whether they wished to have an oral enquiry for the purpose. Respondents did not expressly reply to the management's query. As no enquiry was sought, the management on the basis of record and material available found them guilty and proposed to dismiss them. Permission of the Labour Court under S.33(2) was sought as there was an industrial dispute pending. The Labour Court, taking the view that management failed to hold an enquiry, ordered reinstatement of the workers.

In the writ petition, the Madras High Court held, that the question for decision was whether a fair opportunity was given to the workers. The workers did not ask for an enquiry. The workers were intent only upon the Union negotiating over the subject. They wanted the management to take up the case with the union and negotiate with them. The workers in spite of being put upon notice whether they wanted an oral hearing, discreetly kept silent and never answered that query. They blamed themselves for it and the consequences that followed.

The High Court held further that in a domestic enquiry the workman alone has a right of audience and he should be present bodily if he so desires and he should so expresses himself to enable the enquiry officer to fix a date for such purpose and continue the proceedings in his presence. It cannot be said that in any inquiry against a workman natural justice demands that he should be represented by a representative of the Union. So, the principles of natural justice
cannot be deemed to have been violated if there was no enquiry when the workmen instead of expressing a desire for hearing before the enquiry officer wanted the management to take up the case with the Union and negotiate with them and it cannot also be said that in such a situation, the rule of fair hearing or fair opportunity has been in any way violated.

When the worker refuses to participate in the enquiry or withdraws from it he does so at his own risk. In such a case the employer can hold an ex-parte enquiry by producing its witnesses before the E.O. and the E.O. can come to his findings on the evidence. Thus, where the petitioner fails to turn up at the enquiry despite several adjournments and ultimately informs that he would not attend, he cannot later complain that no opportunity of hearing was given.

It is to be noted that if the worker refuses to participate in the enquiry the employer cannot straightway dismiss him without holding no enquiry at all. The enquiry must be held, although it would be exparte. Where the delinquent worker is unable to attend the enquiry for valid reasons, the E.O. should adjourn it and not proceed exparte. Failure to do so may vitiate the enquiry on the ground that reasonable opportunity of defence was not given. When the worker could not attend because his subsistence allowance was not paid, it is held that the enquiry was vitiated. C.E. had earlier prayed for and been granted adjournments on two
occasions. When he asked for an adjournment a third time it was not granted. Held, there was no denial of an opportunity of hearing. There is no such mandatory requirement with regard to domestic enquiries in the industrial field. Only one opportunity need be given to the accused worker and that will be sufficient for this. But, however, there is no bar to giving the second opportunity if the authority/employer so chooses.

Reasonable Opportunity:

Reasonable opportunity is explained by Chief Justice S.R. Das in Khem Chand v Union of India.

(a) an opportunity to deny his guilt and establish his innocence, which he can do only if he is told what are the charges levelled against him and the allegations on which such charges are based;

(b) an opportunity to defend himself by examining himself or any other witnesses in support of his defence; and

(c) an opportunity to make his representation as to why the proposed punishment should be inflicted on him before the domestic inquiry is over.

The employee or workman must be appraised of the material basis of the charges so that he could organise his defence or test or challenge the charges. He must have an
opportunity of cross-examining the witnesses and to explain his position regarding the charges. It is the general principle that a person who is required to answer a charge must know not only the accusation but also the testimony by which accusation is supported. He must be given a fair chance to hear the evidence in support of the charges and to put such relevant questions by way of cross-examination as he desires.

Article 311 of the Constitution of India provides that a member of the civil service of the Union or State or a member of an All India Service under the Union or State shall not be dismissed or removed or reduced in rank until he has been given a reasonable opportunity of showing cause against the action proposed to be taken against him. The question often arises, regarding the scope of this 'reasonable opportunity' provided in Article 311 of the Indian Constitution. Though Article 311(2) of the Constitution merely speaks of "reasonable opportunity" the substance of the constitutional guarantee is nothing but compliance with the principles of natural justice.

Position and Functions of Enquiry Officer in relation of Natural Justice:

The employer shall by an order appoint an Enquiry Officer for conducting the Domestic enquiry. The power to hold enquiry can be delegated by the competent authority. It is
up to him either to hold the enquiry himself or to delegate the said function to his subordinate(s) or to any outsider. He may be an officer of the Company/establishment. An outsider may be an Enquiry Officer, if rules permitted. The E.O. must keep an open mind, not biased against any party. Where the delinquent had complained against the officer for misappropriation and he was appointed E.O., rules of natural justice were violated/offended. E.O. should not have prejudged the issue. He can not act both as a judge and a witness or prosecutor in the case. He may, however, be a witness in another case. In case of two separate enquiries for two different charges, one of the E.O.'s need not give evidence in the enquiry into the other charge against the same workmen. Bias in E.O. vitiates the enquiry. The allegations of bias must be clearly proved if the enquiry proceedings are sought to be set aside. The mere fact that some of the officers who gave evidence at the enquiry were shortly thereafter promoted, does not prove bias.

Example of bias:

When the E.O. had recorded the following opinion before beginning the enquiry "by personal enquiry also I have satisfied myself that Mr. X was undoubtedly corrupt" it is clear evidence of bias.
Example of no bias:

Merely because the Manager who suspended the worker without calling for an explanation also holds the enquiry, no bias can be inferred\(^{62}\). Similarly, merely because the officer who issued the charge sheet holds the enquiry (there) is no bias\(^{63}\).

The principles governing the doctrine of bias Vis-a-vis judicial tribunals are: (i) no man shall be the judge in his own case, (ii) justice should not only be done but manifestly and undoubtedly seen to be done.

The E.O. will not take a prepared statement on record as evidence as that defeats the very purpose of enquiry. But he has to record the proceedings preferably in the language understood by the delinquent or at least by his assistant if that is not possible it is incumbent on the E.O. to ensure that the proceedings are explained to the delinquent so that he is not in any way prejudiced. The E.O. should not discriminate between the parties; he should inspire confidence in his impartiality\(^{64}\). The E.O. has power to call for witness on his own accord. "But in such case it is proper to give an opportunity to the delinquent to cross-examine them so that his case is not in any way prejudiced"\(^{65}\). The E.O. may make observations during the proceedings and if every remark of judge made from the bench is to be construed as indicating prejudice, "I am afraid most judges will fail to pass the
existing test". The E.O. must remember that "truth is not confined to men of status alone as observed by Mr. Justice K. Shamugham of the Madras High Court. The Judge's remark was prompted by the criticism of an E.O. that the testimony of a witness would not inspire confidence in him, because he is not a man of status. The Judge described the E.O.'s attitude as astounding. The E.O. is not obliged to grant sou moto adjournment. But requests for adjournment must receive his sympathetic consideration. In G.C. Goswami v A.K. Roy case, the delinquent's request for adjournment was not granted. Dismissal order was quashed for want of reasonable opportunity and other irregularities.

Replacing a member of enquiry board does not vitiate inquiry. The new E.O., if appointed, has discretion to hear the case de novo or from the stage which had been reached. But he must ensure it to be fair and just to the delinquent. The enquiry is not vitiated if one E.O. hears, and another reports the findings. The E.O. should not require the delinquent to submit to him questions beforehand. The E.O. need not cross-examine the workman before the examination of management's witnesses. It is not obligatory on the E.O. to issue notice of date and time of enquiry. It is for management to do so. Appointment of E.O. by an authority higher than the disciplinary authority in the absence of any rule is not permissible. Failure of E.O. to put his signatures on witnesses statement does not invalidate enquiry.
POSITIVE APPROACH AND NEGATIVE APPROACH

POSITIVE APPROACH

A Counselling Approach to Discipline: Most of the organisations use counselling in relation with discipline, but a few firm have moved a step further and taken a counselling approach to the whole process. For example, an employee is counselled rather than progressively penalized for the first few breaches of organizational standards. Counselling approach is a fact finding approach and also a positive approach. This approach guides, the employee improve the conduct rather than to penalise him to discourage infractions. In this manner the employee's self-image and dignity are retained, and the supervisor-employee relationship remains cooperative and constructive.

In counselling approach, the authority must first acquire information from the employees about their problems. Then guide them for changes in behaviour and performance. Counselling requires skill, training, experience and a positive attitude for helping others. For this one is to be an active listener patiently without ever trying to rebut what the employee has to say. The counsellor may cite critical incidents. The counsellor should show emotional support by nodding in acquiescence and verbal promptings. The employees/workers should be encouraged to speak. The authority should ask opened
question, but avoid closed questions which do not bring forth good information. He must not ask why did the delinquent neglect his duty. He must also ask what his role in preventing the theft. The counsellor should be adept at reflecting feeling to a limited extent. He should interpret what is happening and offer some advice, but not too much of it, lest it should spoil the counselling atmosphere. He should try to get a commitment to change, the lack of which is shown by completely agreeing about the need for change and/or agreeing to change without the display of emotion.

Dale Yoder, writes - 'Discipline is to regulate the human behaviour through reward or punishment'. So, in this sense there are two types of discipline - Positive discipline and Negative discipline. Positive discipline is self-discipline. Negative discipline is imposed discipline. Positive discipline consists in the right conduct, the right attitude, the right reaction to values, rules and regulations and in fact all the norms of established life. It moulds the individual into a broad pattern for work, the co-workers react similarly, though not necessarily identically, to the problem or work in hand.

Positive discipline, may be called constructive discipline. In this approach management makes an effort to reform a man and improve him without punitive action. In positive approach it is such an arrangement wherein worker is motivated
to work himself and he is eager to obey and abide by the rules. This is a mental action to influence the mentality of the worker in such a way that begets faith and esteem for the organisation.

Self-discipline (Positive discipline in the wider sense), comes from within and is not imposed from without. It is as hard and requires as great energy as keeping the body physically fit. It is only courage in another form. That means conquering oneself and it is always more difficult to conquer oneself than to conquer others. Positive or self-discipline encourages mutual co-operation between co-workers and between employees and employers. Positive discipline minimises the duty of personal supervision and saves managerial time. It comes from a careful conditioning of an individual by the authority and can be brought about by a self-disciplined leader.

According to Dr. W.R. Spiegal, "Positive discipline proceeds from within the individual. It is a habitual reaction to established customs, traditions and total environment of the concern. Positive discipline is that state of mind which prompts individual or group to do the proper thing with or without either specific or general instructions. Positive discipline is not achieved by natural evolution but is the result of careful conditioning through effective leadership and training. Positive discipline does not
replace reason, but applies reason to the achievement of a common objective".

Positive discipline does not obstruct a person but makes him fit to get more freedom. Small errors and omissions need not be viewed seriously. Well-trained supervisor or manager may advise the employee in right directions, which sometimes serves the purpose. Employees are at times provoked/instigated due to absence of timely attending to their grievances. Therefore a proper grievance handling machinery should contribute to check indiscipline. To seek willing co-operation of the employees positive approach should be of a workable kind. Through incentives for discipline, the supervisor seeks to build in the employee a sense of personal responsibility and self-discipline. He applies principles of positive motivation and enlightened leadership. He recognizes individual differences among his subordinates and varies his methods and appeals as necessary. Self-discipline is always beneficial and its reverse, invariably harmful.

Self discipline (Positive discipline) will rouse the workmen to do what they can. Generally men discipline themselves to the effort of doing some serious work-study instead of allowing the difficulties to overwhelm them. After a nasty failure men become unsettled and may refuse to try again, or become so anxious about the possibility of another failure, that they are incapable of doing their best. But self-discipline
can check this.

Self-discipline is hard to practice though not impossible. Mahatma Gandhi has demonstrated this. Once a start is made, it will become a habit, by means of a reasonable programme with a sound and sensible motive to spur all on. To demand more of oneself than most people demand of one is what pays ultimate dividends.

Well-trained employees know how far they can go and what is the limit of tolerated conduct. The employees acquire a sense of security. They know the rule of the game, and they know where they stand.

Discipline is management action to enforce organizational standards, and is both preventive and corrective. The Hot-Stove Rule as a useful general guide for corrective discipline is discussed later.

Preventive Discipline:

It is the action taken to inspire an employee with the courage to follow standards and rules so the infractions are prevented. Bold, self-discipline among employees is basic objective. In this way the employees maintain their own discipline, rather than having it imposed by the employer (management). 74

The personnel department has a major responsibility for
preventive discipline. For example, it develops programmes to control absences and eliminate grievances. It communicates standards to employees and encourages workers to follow them. It also runs training programmes to explain the reasons behind standards and to build up a positive spirit of self-discipline. On other occasions, it encourages employee participation in setting standards, since workers will give better support to rules that they have helped create. Employees also will give more support to standards stated positively instead of negatively such as "safety first!" rather than "don't be careless!" Workers usually want to know the reasons behind a rule so that it will make more sense to them. Effective discipline is a system of relationships, so the personnel department needs to be concerned with all parts of the system.

Corrective Discipline:

Corrective discipline is based on both the employee and the supervisor sharing responsibility for the problem. It includes the following elements: Early intervention, problem identification, clear expectation, feedback, positive reinforcement and follow-up. Corrective discipline is an action that follows act(s) of infraction. It seeks to discourage further infraction and to ensure that further acts are in compliance with standards. Disciplinary action is a penalty of some type for the offending employee, such as a warning or suspension without pay.
Corrective discipline usually is governed by the hierarchy of an organization. The objectives of corrective discipline are as follows:

* To reform the offender.
* To deter others from similar actions.
* To maintain consistent, effective group-standards.

The objectives of corrective discipline are positive. The goal is to improve the future than punish for the past. A negative, punishing approach introduces too many undesirable side-effects such as apathy, absences and fear of the supervisor.

The corrective disciplinary interview often follows a "sandwich model". Sandwich model means that a corrective comment is sandwiched between two positive comments in order to make the corrective comment more acceptable.

Example:

Supervisor told, Mr. Bagchi: your attendance is very regular and excellent (positive comment), but your late return from coffee breaks disrupts our repair operations (negative). Otherwise your work is among the best in our department (positive). The supervisor then focuses on ways in which the two of them can work together to correct the problem.
Restrictions on Corrective Discipline:

Corrective discipline is an especial subject with the Unions. This is an opportunity to protect employees from unreasonable management authority and to show the employees that the Union leadership cares for their interests. Workers are very sensitive about disciplinary issues because they can be a threat to the employee's pay or job itself. The least touch of unfairness in a disciplinary action can lead to a prolonged, costly dispute and eventually to arbitration. New type of bargaining issue about discipline may develop for the next bargaining session. The function of the personnel department is to reduce the conflict by working with supervisors. The Union leaders try to ensure that corrective discipline is fairly and uniformly applied.

Unfortunately, poor handling of disciplinary action can cause serious personnel problems. Among them are:

(1) an increase in the number of cases that go through the grievance procedure to arbitration;

(2) an increase in the number of cases that are hard to defend in arbitration;

(3) an increase in the cost of training and recruitment, due to high turnover;

(4) an increase in such disruptions as slowdown and wildcat strikes;
(5) an increase in hostility between employees and supervisors, and between the Union and the Company;

(6) a loss of respect for management among the rank and file.

The Government is multiplying its rules and regulations about discipline making it very strict to justify. To terminate an employee at time without any cause is being restricted by the court in many ways. An employee cannot be disciplined or dismissed for any of the following reasons:

(1) Union activities, as determined by law.

(2) Refusing to perform an act that is clearly in violation of the laws of an establishment and the like.

Some times a dismissal may be challenged if it is arbitrary and unjust.

Established rules and procedures for disciplinary action are duly followed so that employees have an opportunity to respond to charges made against them. It is the personnel department's responsibility to ensure that all parties in a disciplinary action follow the correct rules and procedures.

In case of challenges in disciplinary action, the personnel department also must have sufficient documentation to support the action taken; therefore, personnel policy usually
requires proper documentation for all employer's disciplinary action\textsuperscript{81}. Proper documentation should be specific—beginning with the date, time, and place of an incident. It should also describe the nature of the undesirable performance or behaviour and show how it relates to job and organizational performance. All documentation must be objective, based on observations and not on impressions. Documentation need not be lengthy, but it should be complete, precise, and accurate. If a supervisor follows these practical documentation guidelines, the employer is bound to be reasonable and protected, in case of challenges—by employees or unions.

**Progressive Discipline:**

Industrial disciplinary penalties have become fairly standardized as a result of custom and practice. Most employers apply a policy of progressive discipline, which means that there are stronger penalties for repeated offences. The purpose is to give an opportunity to the delinquent to take corrective action before the authority applies any more serious penalty. Progressive discipline consists of several steps leading from an oral warning to discharge. The sequence of penalties under "Progressive" discipline is as follows:

1. Oral warning or reprimand by supervisor.
2. Written reprimand with a record in personnel file.
(3) Disciplinary lay off i.e. one to three days suspension from work.

(4) Suspension for one week or more.

(5) Fines, demotion.

(6) Discharge for any grave cause.

Oral warning are assigned for minor offences. If minor offenses occur again and again, the penalty becomes more severe. Written warning are the first formal stage. Written warnings are not different from oral warnings, but they are made part of the employee's record. Written warning can be presented as evidence when more serious penalties are used or the case is taken to arbitration. Employees some times pay little attention to oral warnings or reprimand. Suspension, to them, may cause a shock that brings them back to their sense of responsibility. The final stage in progressive discipline is 'discharge'. In progressive system some minor offenses are removed from the personnel records after one to three years, allowing each employee to return to step one(1). Serious offenses, like theft are usually exempted from progressive discipline. Offences like theft or fighting may bring down discharge for the first offence.

A progressive discipline system may involve the following six steps :-
(1) For the first offence, a friendly discussion with the violator and a warning as to why further occurrences of the offence cannot be tolerated.

(2) For the second violation of the rule, a stronger oral warning to the employee.

(3) For the third violation, a formal written warning.

(4) For the fourth violation, a written warning, along with suspension without pay for a few days.

(5) For the fifth violation, suspension from the job without pay for a longer period of time.

(6) Final stage: discharge.

In progressive discipline the manager must ask a series of questions—in sequence—to determine the proper disciplinary action:

<table>
<thead>
<tr>
<th>The Progressive Discipline Sequence:</th>
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<tbody>
<tr>
<td>Improper behaviour</td>
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<tr>
<td>Does the violation warrant disciplinary action</td>
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<tr>
<td>No  No disciplinary action</td>
</tr>
<tr>
<td>Yes</td>
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<tr>
<td>Does this violation warrant more than an oral warning?</td>
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<td>No  Oral warning</td>
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<tr>
<td>Yes</td>
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<tr>
<td>Does this violation warrant more than a written warning?</td>
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<tr>
<td>No  Written warning</td>
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<tr>
<td>Yes</td>
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<tr>
<td>Does this violation warrant more than a suspension?</td>
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<tr>
<td>No  Suspension</td>
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<tr>
<td>Yes</td>
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<tr>
<td>Termination.</td>
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Douglas McGregor's 'Hot-stove Rule' :

Hot stoves are used for heating the room in winter in the cold countries. Such type of stoves known as 'Bhukhari' used in Kashmir Valley in winter. People use to sit round it and enjoy the warmth. When a hot stove is really very hot, the heat and the glow are a kind of advance warning, so that no one touches the stove. If anybody (whether child or young) touches a hot stove his fingers are automatically burnt and there is no question of waiting or depending for any argument. So where the rules and penalties are clear and well understood a violation produces some quick, natural, inevitable consequences.

Douglas McGregor's 'hot-stove rule' draws an analogy between touching a hot stove and undergoing discipline. As soon as you touch a hot stove your discipline is immediate, with warning, consistent and impersonal. The hot stove rule postulates that, like touching the stove, industrial discipline should be given with warning- employees should know in advance how they will be punished if they engage in certain forms of behavior. If the stove is red-hot, you ought to be able to see it and to know that if you touch it, you will be burned, that is the principle of advance warning. If you touch the hot stove, you get burned (penalized) right away; that is the principle of immediacy. Every time you touch a hot stove, you will get burned; that is the principle of
consistency. Everyone who touches a hot-stove will get burned because it has no favourite; that is the principle of impartially.

Hot-Stove Rule for applying Discipline.

1. When you touch a hot-stove, it burns you immediately. There should be no question of cause and effect.

2. It had warning, i.e. if the stove was red hot, you know what would happen if you touch it.

3. The discipline is consistent and anyone who touches the hot-stove is burnt.

4. The discipline is impersonal, i.e. it burns every one in the same manner regardless of who they are. The discipline is directed against the act, not against the person.

Immediate: Here immediacy refers to the length of gap of time between the misconduct and the discipline i.e., the manager should begin the disciplinary process as soon as possible after serving the notice of a violation of the rules. Where the discipline quickly follows an infraction, there is a connection between the two events in the employee's mind and there is less probability of a future infraction. Immediate
discipline does not mean that a man should be judged without full investigation. It means that the supervisors should take notice of the offence as soon as possible and push the investigation with all due speed. Delayed action not only tends to lose its positive effect on collective behaviour but also stimulates more resentment and generates the wrong feeling that punishment was not called for.

Example:

One worker comes in to work after three days' absence. As per records he did not inform to the office for leave of absence. So he is subject to discipline. "Immediate discipline" means that supervisor calls the respective worker for an explanation as soon as he attends to his work. The worker claims that he was unconscious under a doctor's care during his absence. For this reason he has failed to inform. After knowing the above facts, obviously the supervisor is not going to discipline him until its investigation and he arranges for investigation as early as possible.

For immediate action, (in complicated cases) a few companies suspend the worker whose offence is complicated or not clear. The worker will be informed later about what discipline will be imposed. Delay may be caused for investigation, consultation among various levels of management, etc. The procedure should be immediately resorted to either in the form of a
warning or a charge-sheet or suspension or both. Delayed disciplinary action can lead to positive harm to the organisation and affect the morale of other law-abiding employees.

**Warning:**

Disciplinary actions taken against an employee is a kind of warning to the others. Warning is essential, and it requires communication of the rules to all employees. There must be a clear notice (warning) that a given offence will lead to discipline and the amount of discipline that will be imposed for a given offence. Some management consider it desirable to give wide publicity to any disciplinary action taken, stating the facts, findings, and nature of the penalty imposed. This publicity is only within the organisation. As Newman and Summer put it "The purpose of disciplinary action is solely to improve the future behaviour of the man being disciplined, and even more vitally, the future behaviour of other people in the enterprise". When management fails to give adequate (proper) notice of rules, there is difficulty in justifying the disciplinary action before a union or arbitrator.

**Example:**

A worker was given a one-day suspension for an offence like smoking in a restricted area of the factory. The worker was able to show that there were no "No smoking"
signs and he has seen no other notice to that effect. The arbitrator revoked the penalty and ordered one day of back pay for him.

Discipline without warning violates the workers' expectation of fair supervision. Warning is also provided as in "Progressive discipline". Many employers apply a policy of progressive discipline, which means that there are stronger penalties for repeated offences. The employee is to get an opportunity to take corrective action before more serious penalties are applied. Thus discipline gives management the time to work with an employee to help him correct his infractions, like unauthorized absences.

Example:-

When Ram Kumar had two unauthorized absences; the personnel department provided counselling. It also arranged for him to join a ride pool that allowed him to leave home thirty minutes later, than the time he used while using public transportation. Afterward his unauthorized absences stopped.

A typical Progressive Discipline System consists in:
(a) Verbal reprimand by supervisor. (b) Written reprimand, with a copy in the personnel file. (c) 1-3 days' suspension from duty. (d) Suspension for one week or longer period. (e) Discharge for cause.
Consistent: Consistency is the most important feature in discipline. Consistent discipline is considered fairer and is far more likely to be accepted by the workers involved. Consistent discipline sets limits; it informs employees what they can and can not do. Inconsistency inevitably leads to confusion and uncertainty. A manager quickly loses the respect of his subordinates and lowers the morale of the work group if he imposes discipline in a whimsical, inconsistent way. Each and every worker wants to know what to do and what not to do to maintain the organisational work smoothly. The management should clearly set the limit and to punish those who cross the limit. Consistent discipline is needed for a stable work environment.

Every employee should feel that the same offence would receive the same penalty. Similarly, management when applying discipline should take steps to ensure that personalities are not a factor. Factors like total period of service, past records etc. are not be considered when applying discipline. Consistent discipline is fair and is far more likely to be accepted by the workers involved. If the punishment is less than expected, it will be difficult for the employees to accept a more serious penalty in future.

If two employees are caught working for another employer, both should be given identical penalties, assuming that both did not have misconducts in the past or neither has
committed more acts of misconduct in the past than the other. When applied to the effect, two employees react differently to the same action as the two are different individuals. The third possibility of applying it both to the penalty and the employee, reaction is incalculable as human beings are not amenable to standardization.

Impersonal: Impersonal discipline means equality—just as Hot-stove burns equally who touches it, whether they are children, young, oldmen and women. A person is burned not because of who he is but because he has touched the Hot-stove. The Stove is impersonal and shows no favouritism. It burns everyone who ever touches it. All employees should be treated in the same way for any particular offence so that there be no favouritism shown on the part of the supervisor.

There should be no marked difference in the action taken in two similar cases. If favour is shown to one group of worker or a particular worker, the organization can not survive. Supervisor's personal feelings regarding an employee are not considered for disciplinary action. The idea is to condemn the employee's wrongful act, not the employee as a person.

Disciplinary action: It is very difficult to impose discipline without Impersonal. Causing the person to be disciplined makes him feel resentful and aggressive. The supervisor can minimize the danger by imposing discipline in as impersonal
a way as possible. 'Discipline is most effective and has least negative effect on individuals, if the individual feels that his behaviour at the particular moment is the only thing being criticised and not his total personality'.

Once the supervisor has decided what kind of discipline is appropriate, he should impose it quietly and impersonally. After disciplining a subordinate, the supervisor must not tend to avoid him or to alter his attitude towards him. Shifts in attitude are very dangerous for they generate corresponding changes in the subordinate's attitude and finally the whole relationship may be destroyed. The supervisor should make him feel that by-gones are by-gones and that the act was punished, not the man. It is correct to believe that employees can be trusted even though they occasionally break rules. After all, even the best workers make mistakes of omission and commission.

NEGATIVE DISCIPLINE:

It is easy to control an animal but difficult to control/discipline a man. Since evolution of man, he has not readily subjected himself to the discipline of another for one reason or another. But it cannot be said that every man is indisciplined. Negative discipline is every now and then used for students in school or for industrial workers, general workers (office/organisation) or military or police forces. It may be
because of frequent manifestations of indiscipline in these organisations. As we are interested only with industrial discipline, we might say that the means and methods by which subordinates are motivated to conduct themselves in a disciplined manner are usually negative in nature. Workers are expected to conform to certain rules and regulations. Any breach of the peace is controlled by punishment. This is negative discipline.

NEGATIVE APPROACH - OLD CONCEPT OF DISCIPLINE: The negative approach to discipline is just the opposite to the positive one. This stresses more on punishment than on co-operation. For the establishment of discipline the accused worker is provided with warning, and filled with fear of punishment. Its objective is to establish discipline through fear and punishment. Inspite of application of all approaches, possibility of indiscipline can not be ruled out in any organisation/industry. In that case, the management has to take disciplinary action as per procedure evolved by the company and award suitable punishment to the indisciplined employees.

Since industrialisation in India, service conditions of employees have been gradually regulated. Disciplinary action has been taken from time to time and, in turn, they have been the subject matter of the scrutiny of the highest court i.e. Supreme Court.
"The management concerned has the power to direct its own internal concept of social justice that an employee should be protected against vindictive or capricious action on the part of the management, which may affect the security of his service. This power has to be subjected to certain restrictions, but at the same time, undue interference by a tribunal with the administration and management should not be encouraged."\(^{83}\)

Positive discipline relies more on moral and constructive force than on punishment. Negative discipline uses physical or penal force which may take the form of imposing of fine and reduction in wages. In fact, this is the form most often employed although in extreme cases, even the relation of the employer and the employee is to be snapped. That is the worst form of negative discipline. Need for negative discipline arises when discipline cannot be brought about by positive means. Sometimes union leaders themselves just want to assert themselves; they want to rehabilitate themselves or just want to show how powerful they are. Then negative discipline or the show of it is made. It must be understood that negative discipline will succeed only in bringing forth the minimum performance necessary to avoid the punishment. This negative discipline needs to be enforced in a strong manner.

The negative approach is basically the "big-stick"
approach to leadership. Labour Movement has been very successful in providing a considerable measure of security for the workers by granting them protection against arbitrary treatment by the management. Disciplinary penalties are often appealed against through the grievance procedure. These may be taken to arbitration for impartial review, if necessary. Negative discipline involves force or an outward influence. This type of discipline need not be extreme, and it is used best in industry only. Negative discipline is applied when the positive approaches fail.

The basic fallacy in negative discipline is that it achieves only the minimum performance necessary to avoid punishment. The workers are not given a say in formulating the rules and they are not taught the reason why they should/should not do so. They are taught only that they will be punished if they break a rule.

The two attitudes towards discipline in action today are mainly the autocratic and the democratic. The autocratic attitude is met with first in the school and seen later, in action in the shop, store, or office. It was the policy of commands superimposed on our wills from someone in superior position, a teacher or a foreman. "There's no reason why, but to do and die". At this stage constant supervision by the superior is relied upon to maintain order and faithful application. The fear motive is the one principally
appealed to, and submissiveness and docility are looked upon as cardinal virtues in the ruled.

Most men have some fear in their minds. Fear governs their lives to some extent. It has its advantages to the wise men as it spurs them to useful activities. It is no doubt that fear of punishment helps to maintain discipline by bringing forth punctuality and a generally quiet standard of behaviour. Punishment to a delinquent employee sets an example and deters all those who tend to break the rules of discipline. Fear may be good to some extent, but total fear is destructive of man's creativity and workability. It must be limited. The fear of punishment for the slightest act of indiscipline will keep the man disturbed and he will be liable to commit mistakes which, it turn, will be seen as further acts of indiscipline. It has been found out that production increases when men are happy and hopeful; they are cooperative rather than non-cooperative; they are optimistic rather than pessimistic. They look forward with hope rather than with any apprehension. Some time fear and resentment slow down the production-speed of employees and create hostility and other destructive attitude towards management and all others. Sometimes workers become incapable of doing any work. They become mentally and physically weak. Initiative vanishes, only that much work is done as is absolutely necessary to be in the job or to avoid disciplinary action. So it should be the primary objective of any
leader to remove such anxiety or excessive fear and bring forth self-discipline. Shame, like fear, is one of the negative devices. It is the humiliating feeling of having appeared to disadvantage in one's fellows' eyes, by shortcomings, offences or unseemly exposure, or a like feeling from anything one associates with oneself. It is really the fear or scorn of incurring disgrace of dishonour. This sometimes deters people from wrong doing. Some time a worker uses a false excuse for attending to the factory late. He may report to his employer (supervisor) that his wife was ill while actually he was not married. We are aware of such cases where workers applied for leave of absence on the false grounds. In such cases, the authorities have to find out the truth and act accordingly.

As a philosophy of long term management and for the majority of its followers, the practice of rule through fear can have only limited success.

The autocratic type of discipline historically sought in school or home, is no less active in industry. It has a special importance. It calls attention to the strong traditional and conventional hold which this conception has upon all of us, specially if our education took place in the pre-World War II days.

Autocratic discipline\(^ {87} \) has some defects. It does not take into account the desires of those commanded. It ignores
the relation of willing, sustained action to knowledge and desire. It appeals solely to the fear motive and not at all to the great variety of other more positive and more creative motives inherent in the workmen. Here also constant supervision is required because it breeds an attitude which tries to "get away with" whatever it can, particularly when the commander is not present. The sources of power and influence over the group's behaviour lie wholly outside the group and take account, little if at all, of the tremendous sources of power which lie within the group once it becomes self-conscious, articulate, and possessed of a corporate sense. Negative i.e. preventive discipline is action taken to encourage employees to follow standards and rules so that infractions are avoided/prevented. It encourages self-discipline among employees. Workers maintain their own discipline, rather than having it imposed by management. Responsibility for preventive discipline lies on the personnel department. It develops programmes to control offences and grievances. It communicates standards to employees and encourages employees to follow them. It gives training programmes to explain the reasons behind standards and to build a positive spirit of self-discipline. Sometimes, it encourages employee participation in setting standards, since employees will give better support to rules that they have helped create. Employees also give more support to standards stated positively instead of negatively, such as "safety first!" rather than "don't be careless!".
The management should be happy not to have any disciplinary care as it involves time and expense. Issue of charge-sheet, and conducting a proper domestic enquiry take much time. So it is not a very pleasant task both from the management's and the workers' point of view. However no compromise is possible for certain acts i.e. 'misconduct'. This is because the other employee will be encouraged to resort to similar offence. In this situation even it is an unpleasant task, the management has no choice but to take disciplinary action. In the context of service rule and the current trend of Supreme Court decisions, it is for any management to equip its managers with the necessary knowledge to handle a disciplinary case in a different capacity. Once the management chooses to proceed with disciplinary action, it should, under no circumstances, be half-hearted. Serious efforts should be made right from the stage of drafting a chargesheet to the issue of the final orders. Sometimes it has transpired that a good case of management has been lost only because it was not taken seriously. If the Company has a Personnel Department, then the department should be capable of effectively advising or guiding the authority in a disciplinary case. If required, lawyers should be consulted before proceeding in the matter.

TRADITIONAL APPROACH Vs MODERN APPROACH:

The Traditional Approach to Discipline is an old one.
In a traditional organisation employing a large number of illiterate or semi-literate workers engaged mainly in manual operation, discipline may be identified with the maintenance of proper subordination. The methods used to obtain satisfactory employee behavior in the past were often harsh, arbitrary, and inflexible. Most rules were established to suit the whims of the employer. At that time under the master-servant doctrine of common law, almost unlimited discretion was given to the master in the matter of supervising his work crew. He had the right to administer bodily punishment to workers who failed to do his bidding. This is an autocratic attitude. It was the policy of commands being superimposed on the wills from someone in superior position i.e. foreman. The workmen were supposed to do as they were told. Constant supervision by this superior was relied upon to maintain order and faithful application.

Frederick W. Taylor and his principles of "Scientific management" began to change the concept of the divine superiority of managers. His main idea was that workers were sources of untapped energy ready to do good work if properly trained and fairly treated. He argued that workers should be won over to scientific management by their supervisors. This required managers to abandon their prerogatives of instant dismissal and to substitute "just cause" as a standard for separation from the job. Thus scientific management became the first barrier to the common-law right of the employer to
The modern/new approach to discipline is exactly the opposite of autocratic discipline. In this approach 'no executive will be discouraged in his efforts at developing this new discipline, aimed at realizing the thought patterns of the sub-executives and workers alike. The latter have to be re-educated before self-command can truly replace external command'. Current concepts of discipline, then, are three basic philosophies pertaining to how employee should be disciplined. The distinction between these value systems is based upon the weight given to the rights of individual employee versus the needs of the organisation. These philosophies have been called authoritarian, anarchic, and due process.

An authoritarian system of discipline considers the organisation to be overbearing. An extreme example of this philosophy in application is the action of the army in times of war. Judgment and execution are dispensed by the responsible authority, with no appeal other than personal and exceptional arrangements for review. Conduct is customary, understood, and rigidly fixed. All decisions are discretionary, at the will of the superior.

The anarchic philosophy prevails when the rights of the individual take precedence over those of the organisation.
Conduct of the subordinates is self-determined, the responsible authority either permits such action as a matter of policy or, which is more common, has insufficient power to compel contrary behavior. While this system is usually regarded as the antithesis of discipline, it actually may be one form of cooperative activity though fruitlessly used.

The due-process view is the intermediate philosophy which is based on a body of recognised rules and is administered under some form of judicial procedure. The key factor in this system is formality, where specific penalties for various acts of misbehavior are stated, and formal methods are followed in charging, investigating, proving, and punishing. Channels of appeal are provided for the accused, and discipline is either in the hands of a third party or the final stage of appeal is reserved for someone in a judicial position.

A New Approach To Employee Discipline:

Mr. G. Y. Mangrulkar of TISCO cites an interesting example of a new approach to employee discipline adopted by an American Company:

The company evolved a new philosophy about discipline and punishment. They believed that certain personality traits exercised a decisive influence on a person's record.
for high standards of workmanship and disciplined behaviour. Demotion, suspension, and similar forms of punishment were not an as effective method for dealing with lapses of discipline or unsatisfactory work.

They believed that each individual must be given a reasonable chance to play a positive role in the company's operations. They felt, however, that it was possible to play such a role if the individual had adequate self-respect. In a person with adequate self-respect, lapses in work or discipline will happen rarely and will stop promptly if brought to his attention in a friendly manner.

The company decided that if such friendly methods did not produce the desired result and an individual repeated his lapses within a short interval, it could be taken as an indication of lack of adequate self-respect. When such a regrettable conclusion had been reached about an individual, the company would not wish to keep him in its employment.

This company believed in influencing employee-performance and conduct through such motivational factors as self-respect, financial gain, job interest and respect for superior and they did not wish to drive the employee with the rod of fear. Then they developed the following simple procedure for maintaining employee discipline.
A Simple Procedure:

In the first place- the foreman gives the worker a casual and friendly reminder on the job.

If another incident arises within 4 or 6 weeks, the foreman will again correct it casually on the job, but later call the man to his office for a serious but friendly chat. If the foreman feels that the lapse was unintentional, he will inform the employee that the matter is closed. In case of further incidents within about 6 weeks, this step is repeated with some variation.

The employee who perpetrates another incident within 6 to 8 weeks of the above step is called off the floor into the foreman's office and is directed to go home for the rest of the shift and consider seriously whether he does or does not wish to abide by the company's standards. He is informed that he will get full pay for the time and also that another occurrence of this nature within reasonable time will lead, regretfully enough to termination. If another incident should occur within reasonable time, the employee's services are terminated.

It is reported that the system has worked well. During nearly eight months of its introduction three individuals were processed to the last but one step i.e., sent home for the rest of the day with pay. Two of them returned to work
but left the company within a few weeks. The third genuinely regretted his lapses and assured his foreman that there would be no more trouble.

The Union's role in this context must be appreciated. The management explained to them the background for its decision to eliminate all forms of punishment and expressed the hope that it would get the support of the Union in its efforts to deal with grown-up people as men and not as a collection of schoolboys. The Union did not seem too pleased with this unexpected turn of events but found it difficult to argue the point.

One can well agree with Mr. Mangrulkar when he notes that "..... the respect the management has for its workers, the respect the workers have for their management and above all, the respect an individual worker has for himself, provide a strong motivating factor and these facts can be utilised for ensuring high performance and good discipline instead of resorting to measures which bring bitterness and antagonism of the workforce".
Performance appraisal as a control mechanism:

Discipline in Personnel Management would lead to the optimum utilisation of human resources. Similarly, budgetary control aims at the optimum utilisation of financial resources. The objects of discipline are therefore the optimum utilisation of human resources which will, in the end, lead to the realisation of organisational objectives.

Budget is an important tool of management control. It is a numerical statement expressing the plans, policies and goals of the enterprise for a definite period in future. In other words, a budget is a statement of expected results in quantitative terms for a specific future period. As a tool of control, a budget guides the courses of action to reach predetermined standards and provides a means of evaluating the actual results with reference to the expected ones. Budgets provide the relevant control information to management for anticipatory decisions and actions. With the help of budgeted goals, the control of performance and results become more purposeful and goal-oriented. Budget can be said to be blueprints for control and co-ordination of the various business activities. As such, budgeting helps an organisation to operate at an optimum level, of course
within the limitations recognised in the budgets themselves. As a tool of control, budgets indicate the defects in planning functions. Through the use of budgets it is possible to trace the variations from the targets set, the causes of such variations and the responsibility for these. Thus, it can be said that the budget system is both a plan and a control.

There are two chief control mechanisms in the area of Personnel Administration - one is performance appraisal i.e. periodical assessment of the work, conduct and potentials of a person employed and the other is the administration of discipline. We are concerned here with the periodical assessment only.

Performance Appraisal: 'It is the evaluation or appraisal of the relative worth to the company of a man's services on his job'.

"Performance appraisal is a systematic, periodic (and so far as humanly possible), and impartial rating of employee's excellence in matters pertaining to his present job and to his potentialities for a better job"92.

Performance appraisal is often generally understood as a technique of personnel administration, but where it is used for administrative purpose it becomes a part of a managerial strategy, the implied logic of which is that in order
to get people to direct their efforts towards organizational objectives, management must tell them what to do, judge how well they have done, and reward or punish them accordingly.

Function of the control mechanism is administrative - it helps in administering a reward and penalty system. It enables management to inform the employee/worker where he stands, to locate or identify the potential for growth of individual employees and an analysis of the periodical assessments of all workers provides a fairly dependable collective data on the efficiency of the organization, state of employee morale etc. to the top management where the appraisals are so structured as to elicit such information.

The appraisal of performance is expected to provide answers to many of the questions in management of the people in the organisation. An effective performance-appraisal programme provides the management with a rational basis for determining who should be promoted or receive a salary increase. It can also be used as a spring-board for coaching managers and for helping them set goals for their own development.

Thus we can say that the objectives of Performance Appraisal are as follows:

(a) To improve the job performance and identify men's potentialities for other work;
(b) To identify the need and areas for further training of
the employees;

(c) To meet or reduce the grievances among the workers;

(d) To help and assist in determining promotion and trans-
fer policies;

(e) To make the compensation plans more scientific and
rational.

So performance appraisal is required for maintaining
organizational discipline as well as for reaching the goal
of the organization. Appraisals may be of four types:

(1) **Individual Appraisal** : It is one man's opinion and
may be biased. Organizations with formal plans usually
protect themselves by seeing to it that if individual
appraisal is used, the results are reviewed in some formal
way by the superior of the employee doing the appraising.

(2) **Group Appraisal** : Here the judgment of the immediate
superior is supplemented by the different slants of other
executives.

(3) **Multiple Appraisal** : In this type of appraisal, the
subordinate personnel is appraised independently by seve-
ral qualified officers.

(4) **Appraisal by Subordinates** : In appraisal by subor-
dinates, employees/workers evaluate their superiors. In
some cases, subordinates are in no position to know what is really required of an executive. They may be too young or inexperienced to realise the extent of their officers' responsibilities.

Norman. R. F. Maier has described three types of appraisal interview. The three types (methods) may be described as -

1. Tell and Sell Method.
2. Tell and Listen Method and
3. The Problem solving Approach.

The Tell And Sell Method: This method is to communicate the worker's evaluation to him. In this method the supervisor seeks to let the employee know how he is doing, to gain his acceptance of the evaluation, and to get him to follow the plan outlined for his betterment (improvement). If it is understood that workers wish to correct faults, that supervisor's judgment is acceptable to the subordinate and that he is able to change his efforts in the direction specified so that the desired aims can be achieved.

Adequate skills are required for success in this type of interview. Main difficulty of this method is that the interviewer encounters resistance. The supervisor is cast in the role of a judge, while the employee wants to make as good a showing as possible and tries to conceal his weaknesses. As the supervisor can never know all the circumstances
and provocations, his criticism is apt to seem unjust.

The Tell and Listen Method: This method of conducting an appraisal interview is often viewed with scepticism because the role of the interviewer seems somewhat unnatural and ambiguous with respect to authority. The result is to communicate the evaluation to the worker and then let him respond to it. The superior maintains the role of judge, listens to objections without attempting to refute them. In fact, he encourages the worker to disagree because the objective is not only to communicate the appraisal but also to drain off the negative feelings it arouses. Both Tell and Sell method and Tell and Listen method begin with a presentation of the evaluation. But the methods differ as regards the way disagreement and resistance are handled. Instead of the interviewer dominating the discussion, he sits back and becomes a nondirective counselor during the second part of the interview.

The skill of this approach is (1) active listening i.e. accepting and trying to understand the employee's attitudes and feelings; (2) making effective use of pauses i.e. waiting patiently without embarrassment for the other person to talk; (3) reflecting feelings i.e. responding to feeling to show understanding and emphasize certain points, as well as to end the interview.
This method usually insures a good relationship between superior and subordinate during the interview. The worker is likely to leave with a positive attitude towards the supervisor. The interview provides an opportunity for the superior to learn his subordinate's needs, although his impressions may be incorrect.

The Problem Solving Approach: In this method it takes the interviewer out of the role of judge and makes him a helper. Although the interviewer may want to help his subordinate, it may appear that due to wrong communication to the subordinate, the purpose of the appraisal would be lost. The problem-solving approach has no provision for communication of the appraisal, and indeed it may be non-essential for this purpose. If the appraisal is required for other reasons, it may be desirable to delay making it until after the interview.

The goal of worker development immediately establishes a mutual interest between the interviewer and his subordinate. Both would like the employee to improve on the job and agree that the boss, could assist him, when the subordinate accepts the help-giving role of his supervisor he is more willing to describe his difficulties. Where the boss passes judgment on his job performance, their interest clash. The Problem Solving Approach motivates original thinking because it stimulates curiosity.
There are many methods of performance appraisals. Out of which two important methods are traditional procedures method and Management by Objectives (MBO).

We shall discuss first the traditional performance appraisal and then MBO. Some of the traditional performance appraisal are: (1) Rank Order Rating (ii) Graphic Rating Scales (iii) Critical Incident System.

Traditional performance rating is a matter of filling out a form. Normally Manager/Supervisor (Rater) is provided with a printed form for each employee to be rated. In day-by-day practice the superior continuously appraises his subordinates, experienced as well as new. Assignments are checked, reports and letters read and corrected, problems discussed, advice given, scopes of work and authority re-assessed, initiative encouraged, objectives reviewed and clarified, and orientation deepened. The close contact implied in these relationships is an educational experience. It provides the superior with opportunities to watch the progress of his subordinates and shows the latter that they are important to the enterprise and that their development is of concern to higher management. On the basis of individual qualities and characteristics, an overall assessment has to be made in terms of the following ratings (i) excellent, (ii) above average, (iii) average and (iv) poor.
Meaning of Ratings:

Excellent: The person who can perform his job without supervision and meets emergency situations, and he is ready for promotion. No trial period required.

Above Average: The person who performs his job individually but occasionally advice is required from supervisor, and fails to meet unusual situation. Promotion with trial period.

Average: He works satisfactorily and fulfils the expected standard. But supervisor is required to make him perform the job. Not suitable for promotion.

Poor: It indicates failure or inability to achieve the expected standards. Remedying corrective action needed.

Performance appraisal forms would vary from organization to organization, and there may be several within the same organization. We are producing in the annexure to this chapter the appraisal forms used in a Private Sector Firm in West Bengal and trying to explain the procedure with imaginary figures.

Most enterprises provide for an annual or semi-annual formal appraisal of employees. Periodic appraisal can assist
the superior in judging the degree of trust he can place in
his subordinate, trust in his character, judgment, and in
his punctual and effective performance. The appraisal is
used to determine how much a subordinate’s responsibility
should be expanded. Evaluation can help the future develop-
ment of the subordinate and will be used in the promotion
process.

Unfortunately, in many instances, the wrong questions
are raised by the wrong people in the wrong environment. For
example, regarding appraisal forms - an appraisal form is
likely to include a rating of personality, cooperativeness,
leadership, intelligence, knowledge of work, clarity of
objectives, output, absences, honesty, profit achieved, pro-
ductivity, and planning ability. There is simply no basis
for knowing what or how much should be included. Many such
elements are unmeasurable.

It must be understood that performance appraisal is a
difficult art and it requires training. Some Public Sector
Enterprises hold regular training sessions a few weeks ahead
of the date for the annual appraisal. Training, demonstra-
tions, case-studies etc. are required for correct appraisal.
Even the semantic problems can be acute. Words like ‘exce-
llent’, ‘average’, ‘fair’, ‘satisfactory’, ‘poor’ etc. have
various shades of meaning and every one does not use them
in the same sense. So it is difficult to be proud of achieve-
ments to date in the appraisal of managers. Knowledge and
logic often seem to be absent, and the results are sometimes chaotic. Yet the reasons for periodic evaluation are still with us, and there is a way to enjoy its fruits.

**Management by Objective (MBO):**

The concept of Management by Objective (MBO) was originally proposed by Peter Drucker in "The Practice of Management (New York: Harper, 1954), and suggested as a performance appraisal technique by Douglas McGregor in "An Easy Look at Performance Appraisal", Harvard Business Review, 35, No.3 (May 1957). MBO, sometimes called Result Oriented Appraisal or Work Planning and Review has been widely adopted by many organizations. It is the latest development in the field of performance appraisal. It is appraisal by result. It has been described as a philosophy of management which seeks to minimize internal motivation through joint goal setting between the manager and the subordinate and increasing the subordinate's own control of his work.

'Management by objectives can be described as a process whereby the superior and subordinate managers of an organization jointly identify its common goal, define each individual's major areas of responsibility in terms of the results expected of him and use these measures as guides for operating the unit and assessing the contributions of each of its members'.

The concept has been widely heralded but is practiced
in a limited way now. It embraces the practice of setting near-term goals for a subordinate manager, reviewing accomplishment at an appropriate time, and repeating this process indefinitely. Successive efforts to accomplish established goals will gradually move a manager's end products from the position at the left towards the ideal at the right. In this technique, the superior manager will make certain that goals are set in quantitative or qualitative terms, a specific time for the completion of the goal and one for its review are set, and adequate authority to perform the task is delegated. The whole process becomes a supervisory technique. This is the best evidence for subordinate appraisal when required. There are four steps in the MBO process. These are (1) Joint goal, (2) Action planning (3) Self control (4) Periodic process reviews.

Joint goal setting is not enough. An effective MBO programme requires managers to anticipate snags and barriers and that they work out an action plan showing in detail how the goals are to be reached. 'Self-control' mean systematic monitoring and measuring of performance by having the individual review his own performance. Periodic progress reviews, involve corrective action when worker behaviour deviates from the established standard.

The MBO process is a two-way communication. Both the subordinate's performance and the relationship between the boss and the subordinate are reviewed. This approach gives
a better balance to the review, since each party is evaluating the other and both recognize that the subordinate's efficiency is greatly affected by what the superior does. At each interval in the routine appraisal programme, the results concentrate on the weaker areas of each man's performance. As these become corrected, new targets are selected. Consequently over a period of time, attention is directed to specific activities which are to be improved. Growth in the general ability of a subordinate to manage can be confidently predicted. The subordinates are evaluated against standards they helped set themselves. Generally the atmosphere is less punitive and arouses less anxiety than do conventional appraisals. Here the boss becomes less a judge and more a helper i.e. coach. This is a cooperative enterprise to accomplish a goal beyond the capability of a single individual, and this requires that the joint effort be well integrated.

In MBO and appraisal by results there are certain negative as well as positive advantages.

**Benefits to the firm:** Benefits for subordinate's accomplishment are to improve the efficiency of his segment of the enterprise as well as to improve his skill as manager. Other benefits are (1) clear-cut responsibility for results (2) objective basis for discussing salary and promotion (3) aid to Effective Recruitment.
Benefits to the subordinate: Subordinate knows exactly where he stands with his superior. By this appraisal he (subordinate) understand the degree to which he has overcome his known weakness. The appraisal activity should help the subordinate to improve performance.

The process of MBO and appraising by result is educative for any subordinate. It is a guide for coaching and a basis for suggesting further training which will help the subordinate expand his present skills. Each manager may gradually develop the technique which works best for him.

The Appendix to this chapter will show how performance appraisal is actually done in some manufacturing industries in West Bengal. Performance appraisal of three companies are enclosed.
PERFORMANCE APPRAISALS FORM

FOR
Factory Worker and Staff.

Period of Review............ Date............

Assessee's Data

Name.............Department.............Designation.............
Age.............Category.............Date of joining.............

Maximum score Total score Percent of score
Possible Awarded Awarded

Note: 1. Please put ( ) against the suitable sub-item of each item.

2. 75% & above : Immediately promotable - No trial period
50% to 74% : Promotion with trial period of six months
Below 50% : Not suitable for promotion
A. Educational Qualification:
1. Cannot read or write English..................0
2. Can read but cannot write......................1
3. Can read and write..............................2 ( )
4. Matriculation/S.F................................3
5. H.S./I.Sc./I.A. etc...............................4

B. Total working experience:
1. Fresh/Trainee/Probationer......................0
2. Upto 2 years....................................1
3. Between 2 and 4 years..........................2 ( )
4. Between 4 and 6 years..........................3
5. Between 6 and 10 years & above................4

C. Lack of Punctuality & Attendance:
   (Consider percentage of late attendance, unauthorised absence and sick leave in excess of what he is entitled)
1. Over 30% .......................................0
2. 21% to 30% .....................................1
3. 11% to 20% ....................................2 ( )
4. 6% to 10% ......................................3
5. 0 to 5% ........................................4
D. Health:
1. Very run down. Incapable of handling work adequately.
   Falls ill constantly..........................0
2. Run down. Recovering from Sickness.........1
3. Not very healthy. Prone to Sickness........2 ( )
   Falls sick only occasionally................3
   Strong constitution...........................4

E. Job Knowledge:
1. The job is beyond his capacity.
   Cannot improve adequately......................0
2. Inadequate. Can improve if coached constantly.........................1
3. Fairly well informed. Requires guidance on non-routine matters........2 ( )
4. Good training and experience.
   Needs little assistance..........................3
5. Exceptionally well informed. Can guide and advice his colleague.........4

F. Quantity of work:
1. Very low output. Is a shirker...................0
2. Hard worker but is a plodder...................1
3. Handles his share of work adequately........2
4. Disposes of his work very quickly............3 (  )
5. Extremely fast worker. Works hard
   and handles more than his share..........4

G. Attitude :
1. Obstructionist/Trouble maker. Quarrels
   constantly. Causes discord among
   colleagues........................................0
2. Unsatisfactory, Is moody and quarrel-
   some. Difficult to work with..............1
   Gets along adequately with others.........2 (  )
   Is well liked....................................3
5. Exceptional. Very popular. Very
   congenial and co-operative................4

H. Upkeep of Tool/Machinery/Work place :
1. Want only abuse his equipment.
   Extremely untidy work place...............0
2. Careless about equipment and
   work place.....................................1
3. Adequate. Needs some supervisions.........2 (  )
4. Maintains his equipment and
   work place well................................3
5. Very conscious of the upkeep of
   equipment and work place etc.............4
I. Dependability and Senses of Responsibility:
1. Totally irresponsible and undependable........0
   Does not always double check.................1
3. Average, Makes occasional mistakes because he does not always double check........2 ( )
5. Highly responsible, dependable, trustworthy. Can give him a job and rest assured it will be done. Is cost conscious..4

J. Reaction to Criticisms:
   Make no efforts to improve....................0
2. Tries to justify faults and makes inadequate efforts to improve....................1
3. When criticised he argues but makes an effort to improve.........................2 ( )
4. Admits faults and never repeats mistake....3
5. Quick to admit faults. Accepts criticism very well. Makes concerted efforts to improve his short comings..................4

Assessed by Designation

Signature & date Name Department

N.B. Remarks if any :- Please enclose separate sheet for any other information.
Illustration:

Let X, Y, and Z are the three persons working in a manufacturing industry. Their performance appraisals are as follows:

For Mr. X

A. Educational Qualification:
   1. Cannot read or write English. ....................... 0

B. Total working experience:
   2. Up to 2 years. ........................................ 1

C. Lack of Punctuality & Attendance:
   3. 11% to 20% ........................................... 2

D. Health:
   4. Healthy, Strong constitution. Falls sick only occasionally. ......................... 3

E. Job Knowledge:
   2. Inadequate. Can improve if coached constantly. ........... 1

F. Quantity of work:
   1. Very low output. Is a shirker. ......................... 0

G. Attitude:
   2. Unsatisfactory. Is moody and quarrelsome. Difficult to work with. ................... 1

H. Upkeep of Tools/Machinery/Work place:
   2. Careless about equipment and work place. ................. 1

I. Dependability and sense of Responsibility:
   2. Clock watcher. Makes frequent mistakes. Does not always double check. ............ 1

J. Reaction to criticisms:
   1. Never admit faults. Blames others. Make no efforts to improve. ....................... 0

Mr. 'X's total score is ten (10) marks out of maximum score possible forty (40) and per cent of score ($\frac{10}{40} \times 100$) or 25%. Therefore Mr. X is not suitable for promotion as he is awarded below 50% marks.
For Mr. Y.

A. Educational Qualification:
   4. Matriculation/S.F.................................3

B. Total Working Experience:
   2. Upto 2 years......................................1

C. Lack of Punctuality & Attendance:
   4. 6% to 10% ...........................................3

D. Health:
   3. Not very healthy. Prone to Sickness.................2

E. Job Knowledge:
   4. Good training and experience. Needs little assistance ........................................3

F. Quantity of work:
   5. Extremely fast worker. Works hard and handles more than his share.................4

G. Attitude:
   Gets along adequately with others......................2

H. Upkeep of Tools/Machinery/Work place:
   4. Maintain his equipment and work place well........................3

I. Dependability and sense of Responsibility:
   Reliable................................................3

J. Reaction to criticism:
   3. When criticised he argues but makes an effort to improve..........................2

   26

Mr. Y's total score 26 marks out of maximum score possible 40 and per cent of score \( \frac{26}{40} \times 100 \) or 65%.

Mr. Y be promoted with trial period of six months.
A. Educational Qualification:
   4. Matriculation/S.F. ........................................... 3

B. Total working experience:
   4. Between 4 and 6 years. ................................. 3

C. Lack of Punctuality & Attendance:
   5. 0 to 5% .......................................................... 4

D. Health:
      Falls sick only occasionally .......................... 3

E. Job Knowledge:
   4. Good training and experience.
      Need little assistance ................................. 3

F. Quantity of work:
   5. Extremely fast worker. Works
      hard and handles more than his
      share ...................................................... 4

G. Attitude:
   4. Good handles people well.
      Is well liked ............................................ 3

H. Upkeep of Tools/Machinery/Work place:
   5. Very conscious of the upkeep
      of equipment an work place .......................... 4

I. Dependability and sense of Responsibility:
      Double checks. Reliable ............................. 3

J. Reaction to criticisms:
   5. Quick to admit faults.
      Accept criticism very well.
      Makes concerted efforts to improve his short coming .......................... 4

Mr. Z's total score 34 marks. Out of maximum score possible 40 marks and his per cent of score (\(\frac{34}{40} \times 100\)) or 85%.
Therefore Mr. Z's position - Immediately promotable. No trial period.
Form GSA 1/84

DUNLOP INDIA LIMITED

Staff Performance Review

From ................ To ..................

Name .................................. Date of Birth ..................

Division ............................... Date Joined Division ..........

Job Title ................................ Date Appointed .............

<table>
<thead>
<tr>
<th>A. Priority</th>
<th>Primary Objectives for the Period</th>
<th>Criterion of Achievement</th>
<th>*Level of Achievement for each objective</th>
<th>Comments on Achievement</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>A - Surpassed significantly</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>B - Achieved</td>
<td></td>
</tr>
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<td></td>
<td></td>
<td></td>
<td>C - Nearly Achieved</td>
<td></td>
</tr>
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<td></td>
<td></td>
<td></td>
<td>D - Failed to achieve through external factors</td>
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<td></td>
<td>E - Failed to achieve through internal factors</td>
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<td></td>
<td></td>
<td></td>
<td>F - Failed to achieve through personal factors</td>
<td></td>
</tr>
</tbody>
</table>

*Level of Achievement for each objective to be graded as follows:

A - Surpassed significantly
B - Achieved
C - Nearly Achieved
D - Failed to achieve through external factors
E - Failed to achieve through internal factors
F - Failed to achieve through personal factors
### B. Behaviour/Management Qualities
(a checklist for Individual's Development)

<table>
<thead>
<tr>
<th>Sr. No.</th>
<th>Factor</th>
<th>Outstanding Description</th>
<th>Very Good</th>
<th>Good</th>
<th>Satisfactory</th>
<th>Unsatisfactory</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Work Direction</td>
<td>Very high emotional identity with company, looks for and takes additional responsibility, dedication to job is very high, work given is work done, can be relied upon.</td>
<td></td>
<td></td>
<td></td>
<td>Very low commitment, shirks responsibility, unreliable, passes the buck very often, uninvolved.</td>
</tr>
<tr>
<td>2</td>
<td>Leadership</td>
<td>Informal/formal leader of work group, develops others and trains them with a personal commitment, spokesman for others, well accepted leader of task force.</td>
<td></td>
<td></td>
<td></td>
<td>‘Blind-Follower’</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>a ‘Passenger’</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Cannot command the respect of work group, a ‘loner’.</td>
</tr>
<tr>
<td>3</td>
<td>Activity</td>
<td>Self starter, calculated risk taker, starts action-processes, has proven capability to perceive a need for action and the urge to do it.</td>
<td></td>
<td></td>
<td></td>
<td>Sluggish-inert, awaits instructions, apathetic, highly dependent.</td>
</tr>
<tr>
<td>4</td>
<td>Social Nature</td>
<td>Sensitive to others, open but tactful, friendly, concerned, establishes trusting relationships, interacts very confidently with higher management and outsiders. Team worker.</td>
<td></td>
<td></td>
<td></td>
<td>Quarrelsome, distrusting, closed and suspicious in relationship, no respect for the other, avoids interaction with higher management and outsiders.</td>
</tr>
<tr>
<td>5</td>
<td>Work Style</td>
<td>Very cooperative, diligent, very positive outlook to work, keen ready helper, keen willingness to accept work.</td>
<td></td>
<td></td>
<td></td>
<td>Lazy, poor application, uninterested in work, chronic ‘time watcher’, unhelpful in urgent important crisis situations.</td>
</tr>
<tr>
<td>6</td>
<td>Decision and Judgement</td>
<td>Prompt, intelligent decision maker, mature analyst, takes long/short term into account, data based analysis.</td>
<td></td>
<td></td>
<td></td>
<td>Hasty, inconsistent highly impulsive, hesitant and highly vacillating, delays decisions.</td>
</tr>
<tr>
<td>7</td>
<td>Innovation and creativity</td>
<td>Surfaces creative options, implements new ways of working, takes little for granted, formulates new ideas, perceptive.</td>
<td></td>
<td></td>
<td></td>
<td>Highly ‘status quo’ oriented, follows established norms unquestioningly, limited view point, abhors new ideas.</td>
</tr>
<tr>
<td>8</td>
<td>Communication</td>
<td>Clarity of thought high, very cogent and concise, very confident and expressive, regular, periodic reporting is high, documentation excellent, written/oral presentation skills excellent.</td>
<td></td>
<td></td>
<td></td>
<td>Confused in thought incoherent and lengthy, nervous and unsure, reporting very poor, poor written/oral presentation.</td>
</tr>
<tr>
<td>9</td>
<td>Self development</td>
<td>Constant learner, demands opportunity to learn, committed to personal growth, not defensive, accepts feedback.</td>
<td></td>
<td></td>
<td></td>
<td>No interest in learning highly defensive, rejects feedback, does not acknowledge weakness in self.</td>
</tr>
<tr>
<td>10</td>
<td>Planning and attention to detail</td>
<td>Prepares excellent detailed work plans, has a sharp eye for the small details that affect quality of work, anticipates and provides for contingencies in area of work.</td>
<td></td>
<td></td>
<td></td>
<td>Always moves from crisis to crisis in work, oblivious to smaller details, quality of work poor does no contingency planning in area of work.</td>
</tr>
</tbody>
</table>
C. Performance, Training and Development
Areas for Improvement of Performance

(Identify three aspects of performance which could be improved with special attention, possibly with support from colleagues. Give target dates for improvements to be effected.)

<table>
<thead>
<tr>
<th>Target Date for Assessment of Improvement</th>
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D. Comments Arising from the Interview
(Include your comments and job-holder's comments)

Signature of job-holder................. Date of Interview...........
E. Summary Performance Assessment for the Period
(Please see note below and study carefully before ticking the appropriate box)

\[
\begin{align*}
X \square & \quad Y \square \quad Z \square \quad O \square \\
X & - \text{Substantially above average during the whole year.} \\
Y & - \text{Normal Performance} \\
Z & - \text{Below Normal} \\
O & - \text{Very disappointing or totally unsatisfactory}
\end{align*}
\]

Signature of Assessor

Appointment of Assessor

F. Comments by Superior two levels higher than Job-holder
(Tick appropriate statement)

I consider the objectives set were:

- Extremely demanding [ ]
- Sensibly demanding [ ]
- Relatively easy [ ]

Promotion Potential

Do not know the job-holder sufficiently to comment [ ]

Has reached ceiling [ ]

Has potential for one promotion [ ]

Has potential for more than one promotion [ ]

Potential Assessment

(a) Is his potential fully utilised on Present Job? If not, what needs to be done in this regard?

(b) Assess his readiness for holding next higher position in same functional area, should opportunity arise.

- Ready for promotion [ ]
- Not yet ready [ ]

Specify time scale

Signature................................................... Date..................................

Appointment..............................................
ANNUAL STAFF ASSESSMENT

A. Department_________  Code No._______  Period under review_____

Name___________________  Age_________  Date of joining_____

Present Appointment_________  Date of Present Appointment_____

B. Special tasks during the period

C. Personal targets for the period

D. Achievement in relation to B. and C.

E. Failures in relation to B. and C.

F. Summary of Performance (see overleaf)

G. General comment on performance under review

H. Prospects

Individual suitable
for promotion

Now  Within  Some-
2 years  time  Un-
likely

What should be the next appointment

Has the Individual (with training)
the capacity for even higher
appointments?

Definitely yes  Un-
proved  No

H. Development

What specific training do you recommend

(i) For Existing Appointment

(ii) For Future Development

I. Interview with Individual

Comment

Date_______________________

Assessment completed by:

Name___________________

Appointment______________

Date_______________________

Assessment confirmed by:

Name___________________

Appointment______________

Date_______________________
A - A performance which is constantly characterised by exceptionally high-quality work, intellectual ability and leadership, which leaves little or nothing to be desired. Very few should qualify.

B - High quality and quantity of work together with marked initiative and leadership. Sound judgement and mastery of appointment.

C - Such a performance is one which is in most respects better than average, requiring the minimum of supervision.

D - An average performance which meets the requirements of the position in a satisfactory manner, with responsibilities handled competently.

E - Where performance falls below the average requirement but does not call for the consideration of his removal from the appointment.

Z - Used where a man has only been in the appointment for a short time (e.g. six months) and has been unable to prove himself. A statement should be given to explain the necessity for using the grading.
Name of Employee

File No. of Employee

(198/8)
EMPLEYEE APPRAISAL (Section I)

Name........................................... Age...........................................

Location...................................... Years of Service..............

Department...................................

Educational Qualification..................

Other Special Qualification (if any)........

Positions held-

<table>
<thead>
<tr>
<th>Dept.</th>
<th>From</th>
<th>To</th>
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</tbody>
</table>

Present Position (with grade)...............(since.............)

Current Salary........................................

ASSESSMENT (in relation to work) (Section II)

This report is to be prepared by:

ASM in consultation with FO: for SS, Propagandist, LTS, LS, Driver & Depot Staff.

AM/CM/AO: for HO Clerical Staff & Sub-Staff

RM III in consultation with Office Superintendent: for Delhi Office Staff & Sub-Staff.

*Check-Mark

1. Job Knowledge (Understanding of all phases of his work and related matters)

2. Volume of Work (Quantity of acceptable work)

3. Quality of Work (Thoroughness, neatness and accuracy)

4. Achievement in Work (Completing the work in given time)

5. Efficiency and Drive (Speed and effectiveness in performing duty. Determination to overcome obstacles)
6. Initiative (Ability to originate or develop constructive ideas and to take necessary steps to get things done. Has he an enquiring mind?)

7. Personality (Whether commands respect at all levels)

8. Co-operativeness (Does he work in full cooperation with others, whether at his own level or at his senior/junior levels? Does he maintain communication and reporting upwards and downwards?)

9. Adaptability (Can he adapt himself to varying situations promptly?)

10. Responsibility (Does he accept responsibility? Is he loyal to his seniors and subordinates, i.e. is he inclined to blame them for his own mistakes?)

*Check-Mark-

- Outstanding (Exceptional ability) 9-10
- Very Satisfactory (Above average) 7-8
- Satisfactory (Average) 5-6
- Barely Satisfactory (Below Average) 3-4
- Poor (Very Unsatisfactory) 0-2

Health-Poor □ Average □ Good □
ASSESSMENT (General) (Section II)-Contd.

A. Is the man properly placed? If not, explain briefly.

B. Has he shown steady progress in the past?

C. Do you consider him ready for promotion? If so, what job or position?

D. Do you consider any training for him necessary? If so, what is your recommendation?

E. Recommendation and Special Remarks (if any)

Report prepared by. (Signature)
in consultation with. (Signature)

Date....

Remarks of the RM (Section III)

Date.

DECISION BY CE (Section IV)

Date.
**Performance Rating Sheet - Annual/Interim**

*Tick one*

<table>
<thead>
<tr>
<th>Period of Review: ___ TO ___</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name: _____________________</td>
</tr>
<tr>
<td>Code No.: __________________</td>
</tr>
<tr>
<td>Date of Joining Service: ___</td>
</tr>
<tr>
<td>Date of Birth: ___</td>
</tr>
<tr>
<td>Date of Retirement: ___</td>
</tr>
<tr>
<td>Current Job: __________________</td>
</tr>
</tbody>
</table>

**Item** | **Rating (Circle Appropriate Number)**
--- | ---
1. Attendance | Less than 190 days | 191-200 days | 201-220 days | More than 221 days
1. | 2 | 3 | 4
2. Job Related Skill/Knowledge | Poor | Adequate | Above Average | Outstanding
1 | 2 | 3 | 4
3. Result Achievement | Poor | Satisfactory | High | Excellent
1 | 2 | 3 | 4
4. Co-operation and Commitment | Poor | Willing | Eager | Whole Hearted
1 | 2 | 3 | 4
5. Ability to Lead a Work Group | Not Tested | Low | High | Outstanding
1 | 2 | 3 | 4

**Overall Total**

<table>
<thead>
<tr>
<th>Range</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-10</td>
<td>*</td>
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<tr>
<td>11-15</td>
<td>**</td>
</tr>
<tr>
<td>16-20</td>
<td>***</td>
</tr>
</tbody>
</table>

**Remarks/Special Contributions (With Examples)**

**Communicated to the Employee - Yes/No**

**Year in Which Promotion/Merit On:**

**Comments If Any:**

**Increment/Award, Last Received:**

**Assessing Member of Management**

**Date**

**Head of Department/Location**

**Date**

**Comments of Personnel Department:**
REFERENCES


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12. Mundaka Upanishad. II.2.6.


18. Dr. Bonhams Case, (1910)8 Co. Rep 107;77 ER 638.


20. Loga V Burlem (842) 4 Moo PC 284 : 13 ER 312.

21. Dey V Savadge (1614) 80 ER 235.

22. Labradors Co V R 1893 AC 104.

23. Local Govt Board V Alridge, 1915 AC 120, 150.


34. G.C. Sharma and Sons v R.K. Bawya Presiding Officer 1972 11 LLJ. 478 SC.


37. Khemchand v Union of India 1959 1 LLJ. 167.
1959 11 LLJ 663. 17 LLR. 9.


46. Sarda Industries V M.Elumalai and Others. 1973 1 LLJ 248 (H.C.); (1972) 42 FJR 64 (H.C.) also (1961) 20 FJR 424 & (1960) 18 FJR 124.


52. Hamdard Dawakhana Waqf V Their Workmen 1962 11 LLJ(S.C.)
54. Rangarajan V Sriramgam Janopakara Bank Ltd.
57. Ram Netra V DSP.
58. Workmen of Madura Co. V L.C.
64. Malwa Bus Service V Workmen.

65. Hussan Ali V St of Mysore.

66. Vishwanathan V Abdul Varid.


68. Bholanath V DTC.

69. Goswami V GMER.

70. Associated Cement Co. V Workmen.

71. C.D. Prabhu V D.C.

72. Pro Transport Service V IC.


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82. R.Wayne Monday and Robert M Noe II. Personnel- The Management of Human Resources.


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90. O.W. Phelps, Discipline and Discharge in the Unionized Firm (Berkeley, Calif: University of California Press, 1959-p-1.

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97. George S. Ordorine, Management by Objectives.