Department of Open & Distance Learning

Punjabi University, Patiala

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         and Planning)

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Lesson No.

2.1 : Nature and Approaches to Educational Planning, Institutional Planning

2.2 : Educational Planning

2.3 : Five Year Plan: Historical background, features and impact on education

2.4 : Leadership: concept, Theories and Qualities of a Leader

2.5 : Performance appraisal in Educational Organizations at different levels

Department website : www.pbidde.org

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Nature and Approaches to Educational Planning, Institutional Planning

Structure of the lesson

2.1.1   Objectives of the lesson:

After going through the lesson, the students will be able to :

- Explain the meaning and nature of Educational Planning.

- Discuss various approaches to Educational Planning.

- Describe the meaning of Institutional Planning.

- List various benefits of Institutional Planning.

- Explain the procedure of Institutional Planning.

2.1.2   Meaning and Nature of Educational Planning :

To understand the meaning and nature of educational planning, let us consider the following meanings of educational planning.

- **Educational Planning has been considered as forecasting :** It means that educational planning describes, defines and determines the events, conditions and needs of educational institutions in the times to come. It forecasts or highlights the crucial elements in educational institutions like number and types of students, levels and types of courses and expansion of facilities required for these.

- **Educational Planning is interpretation :** Educational planning requires future data interpretation, converts the interpreted future data into competencies or operational capabilities which are must for effective maintenance under the expected circumstances.

- **Educational Planning fixes goals and objectives :** It is through Educational Planning that relevant present and future goals and objectives of any organizations are generated.

- **Educational Planning is decision making :** Institutional planning is a pre-stage or preparation in the decision making process. It helps in determining the most useful choices available.

- **Educational Planning is operations optimization :** Educational planning is concerned is concerned with operations optimization or improving the performance by progression of the present conditions. Educational planning guides the actions of operations. It gives standard operating procedures, operating manuals, administrative guidelines or system policies.

- **Educational planning is problem prevention:** Educational planning lessens the chances of educational problems to be encountered in future. In this manner, educational planning is to pre-plan the procedures to be taken up in case of some emergencies which may occur in future.

- **Educational planning is organizational renewal:** To achieve the specific objectives of an organization, educational planning is concerned with providing a mechanism, a model or a system for it. Nature of Educational planning, therefore, can be taken up as renewing an organization.

- **Educational planning is resolution of complexities:** Educational planning has been considered as a process for co-ordination and controls. Educational planning provides a means for coping with complexity of projects by providing a pre-determined strategy for realization of goals of these projects.

2.1.3 Approaches of Educational Planning

Planning means to plan or make and adopt a strategy for reaching a goal. In planning, the target is set, choices and assumptions are made, things are prioritized, and last but not the least, an elaborate plan or programme of action is prepared with planning. There is always a specific view point, model or approach on which planning is based. Planning in the field of education is based on several view points. No single model or approach is sufficient to prepare an educational plan, rather it should be blending of various models or approaches. Different approaches to educational planning are described below:-

a) 'Intra-Educational" Extrapolation Model.

b) Demographic projection Model or School Mapping.

c) Man Power or Human Resource Development Approach or Model.

d) Social demand approach or Model.

e) Rate of Return Approach or Model.

f) Social Justice Approach or Model.

The above approaches are discussed below in detail.

(a) Intra-Educational Extrapolation Model

The Intra-Educational extrapolation model is the simplest model to educational planning. In this model, planning is based on the available data and focuses on one aspect of one program at the time. It estimates the time and funding needed keeping in view the demands for a particular aspect of a specific program and promotes workshops to involve members of the institution in decision making activities.

(b) Demographic Projection Model

Demographic development has become a source of planning. Demographic projections constitute a component of all models of educational planning in one

way or the other. The reason for it is that demographic projections provide estimates about size, growth, structure and distribution. Therefore, these form the basis for estimation of population that a future education system is to serve. This type of planning is useful to take decision on permissions to opening new schools and colleges. Reliable estimation about the size of age which is likely to enter the formal, secondary and tertiary education can be done much prior by estimation of these demographic projections. The point to take care is about the choices which the members of a particular age group can make. To avoid any kind of mismatch, one can consider the past pattern of choice as approximate basis of extrapolation.

School mapping is a broader model of demographic projection model, as it takes into consideration demographic, geographic, and social and transportation also, while identifying physical locations for school that can provide maximum access for a given population. It is actually considered as "micro planning" because it takes into account more regional and local conditions and hurdles that can occur in development.

(c)   Manpower or Human Resource Development Approach

The basis of Man power approach is that:

i)   Educated and well trained people possessing well defined knowledge, attitudes and skills are must for a social system for its efficient functioning and operation.

ii)   Demand for manpower is variable. Technical, economic and social developments bring changes in demand for manpower.

These human resources or man-power need to be Educated, trained and developed so that social, economic and political systems of a country can be well-maintained and well-developed. In other words, Man power needs to be developed for the development and improvement of socio-economic and political systems of the society. When Educational planning is done with a focus on development of

Man power is called Manpower development approach. This approach helps into plan over education system in such a manner that we are able to educate and train the required number of people with required skills so that there are no mismatches between the employable persons and employment opportunities. It will help to do away with unemployment and skill shortage. This approach pre assumes that there is a balance between education system and economy of a country.

(d)   Social Demand Approach

The present scenario has increased the social demand for education due to population exposure and aspirations of parents and children. Social Demand approach is based on the society's demand for education. It can be known from the number of students who wish to go to schools and continue their education. Social Demand approach and man power-development approach differ from each other as social demand approach can grow faster than man power requirement and sometimes lead to unemployment. A balance should be maintained between need based (i.e. man power planning) and demand based approaches to planning in education.

If education is made available to everyone for the time as per one's wish, may lead to over-crowded classes and decrease in quality of education .But, the opportunity for higher education is provided only to those individuals who perform their best in academics and thereby producing the 'educated elite' people to serve the nation as leaders. Therefore, a balance is to be maintained in strategies of educational planning. Social demand approach, if followed alone in educational planning, may create problems like unemployment and under employment.

(e)   The Rate of Return Approach

The rate of return approach, cost-benefit or cost-effectiveness approach is based on the assumption that the money spent on education is considered as national

investment to get more earnings or productivity by the educated. The investment in Education is done on the basis of return from it.

Investment in education is considered important to produce human resources, so as to use those for economic growth of the country. It treats education as a commodity in which investment is done. This investment is positive for the individual and the country, if it is fulfilling the manpower requirements of the country and does not lead to any unemployment. Sometimes, return from investment in education is negative. It is the situation when a qualified person earns less than semi skilled person. In such a case, Education system needs to incorporate changes which can increase the productivity. Therefore, the education planning should be done in such a manner that more education leads to more earnings of the individual and increase in socio- economic growth of the nation as well.

(f) Social Justice Approach/planning for social development

Education and social development of a country has a very close connect. Education takes its shape according to social goals of a nation. In turn, many of the goals of social and national development are achieved through education. Therefore, educational planning should be such that it takes care of goals to be achieved through education for social development and thus to do social justice. Social justice approach will provide equal opportunities and facilities to every citizen of the nation. Social justice approach includes providing equal opportunities as well as special provisions for weaker sections for balanced development of the society. Social justice approach is one of the aspects of "social development" approach to educational planning which brings improvement in the quality of human life.

All the approaches discussed above have their own unique features. It can be generalized that each of these approaches is good in itself but none alone is sufficient. A combination of all these approaches in balance can be utilized to make best

educational plan. Moreover, it is the social-political set-up of a country which can decide the best approach for it.

2.1.4   Institutional planning : Meaning, Benefits and its procedure

A.   Meaning of Institutional planning

Institutional planning means the planning (Long term as well as short term) prepared by an institution at institutional level. Institutional Planning is one of the lowest levels of educational planning. It is the grass root level planning which can support an institution in ensuring better and more fruitful use of resources possessed by an institution. Institutional planning is considered best for its progress and development as the needs, requirements and problems of the institution can be taken care of.

B.   Benefits of institutional planning

Institutional planning has following benefits

1.   Autonomy to Institution is Ensured

Institutional Planning provides freedom to educational Institution to plan its progress as per the requirements and available resources of the institution so as to achieve its self-decided goals in a successful manner.

2.   It provides stability to the institution

Institutional planning facilitates an institution to do things in a planned and systematic way. Thus, it is ensured that policies, programmes and procedures of an institution are improving. This helps in smooth working of an institution and thus provides stability to the institution.

3.   **Solutions of the institutional problems are done**

Smooth functioning of educational institutions needs to solve problems occurring in the institution at individual level as well as in common with other institutions. Institutional problems may occur due to individual differences of the staff and

students as well as every day changing scenario. Institutional planning provides solutions to these problems.

4.   **It makes the institution better**

Institutional planning deals with the changing needs and problems of the institution. Hereby, it strives for upgrading the institution and providing the conducive environment for working. It helps in improving the institution day by day.

5.   **It helps the institution to attain continuous progress in future**

Institutional planning supports the institution to attain continuous progress in future and earn a name for itself by helping itself and making own efforts.

6.   **It supports the institution to make proper use of resources**

Limited resources and funds are a block in the progress of an institution. We find that resources like libraries, Labs and equipments are underutilized or one not utilized to their full capacity. Institutional planning provides capability in the staff and students to have optimal use of these resources.

7.   **Institutional Planning can benefit the Local Community**

An Institute through institutional can become famous and trust worthy in the local community by making its own plans and programmes for the welfare of the Local community.

8.   **Institutional Planning plays its role in General Planning**

A good and effective institutional plan may be integrated with plans at higher levels i.e. Local district, state and national. Thus, institutional planning improves the institution as well as may improve other institutions also.

C.   **Procedure of Institutional Planning:-**

Two broad steps of institutional planning include

(1)   Formulation and implementation

(2)   Evaluation and modification

(1)   **Formulation and implementation**

Institutional plan should be initiated by analyzing the present needs and aims of the institution and the community in the light of current national policies, educational aims and objectives so as to lead to improvement of the staff, students, teaching-learning processes and resources survey of the existing resources available (human and non-human) should be done before planning. Priorities should be set in the light of importance of things along with space for flexibility and modification in the plan. The planning should involve the views and co-operation of all the stakeholders including staff, students, local social workers, parents and public. Staff-meeting for reviewing the short-comings of the institution during the last session at the end of session should be held. It should be followed by another staff meeting before starting the next session for discussing and finalizing the action-plans.

(2)   Evaluation and modification

Evaluation of the implemented plan is necessary at periodical intervals so as to find out the limitations and to find solutions for there and modify the plan accordingly. This will also help to know the positive things about the planning. Thus, evaluation and modification can help in improving the institution.

2.1.5 Summary

It can be concluded that Educational planning describes, defines and determiners the events, conditions and needs of educational institutions in the times to comes and leads to better educational institutions. Approaches to educational planning include 'Intra-Educational' Extrapolation Approach, Demographic Projection Approach or school Mapping, Man Power or Human Resource Development Approach, Social Demand Approach, Rate of Return Approach and Social Justice Approach. Institutional planning is Educational planning at the level of institute and it has various own benefits e.g. Autonomy, improvement, full utilization of resources, solutions to institutional problems, continuous future programs and so

on. The procedure of institutional planning includes formulation, implementation, evaluation and modification of institutional plans.

2.1.6   Self- Check Exercises

(1) Give the meaning of Educational Planning?

(2) What is the nature of Educational Planning?

(3) Name various approaches to Educational Planning?

(4) What is the base of Man Power Development Approach?

(5) Write the meaning of Institutional Planning?

(6) List the benefits of Institutional planning.

(7) Enumerate the steps in the procedure of Institutional Planning.

2.1.7   Suggested Readings and Web Sources

1.   Bhatnagar R.P. and Aggarwal, V., Educational Administration Supervision, Planning and Financing, 2012. R. Lall Book Depot, Meerut.

Web Sources :

1.   https://onlinenotebank-wordpress-com.cdn.ampproject.org/v/s/onlinenotebank.wordpress.com/2020/03/12/institutional-planning-meaning-characteristics-needs-purposes-scopes-procedures-of-institutional-planning/amp/?amp_js_v=a6&amp_gsa=1&usqp=mq331AQHKAFQArABIA%3D%3D#aoh=16134873808508&referrer=https%3A%2F%2Fwww.google.com&amp_tf=From%20%251%24s&ampshare=https%3A%2F%2Fonlinenotebank.wordpress.com%2F2020%2F03%2F12%2Finstitutional-planning-meaning-characteristics-needs-purposes-scopes-procedures-of-institutional-planning%2F

2.   https://www.shareyouressays.com/knowledge/4-major-approaches-to-educational-planning-explained/100976

3.   https://www.slideshare.net/mobile/watsontamil/approaches-to-educational-planning-16482708

EDUCATIONAL ADMINSTRATION

AND PLANNING

EDUCATIONAL PLANNING

Structure :

2.2.1 Objectives

2.2.2 Introduction

2.2.3 Meaning of Educational Planning

      2.2.3.1   Need of Planning

      2.2.3.2   Importance of Planning

      2.2.3.3   Priorities in Educational Planning

2.2.4 Summary

2.2.5 Questions for self-evaluation

2.2.6 Suggested Questions

2.2.7 Suggested Books

2.2.1 Objectives :

1.   To acquaint the students with the meaning of educational planning.

2.   To tell them the need and importance of educational planning.

3.   To describe priority areas of educational planning to the students.

2.2.2 Introduction:

Webster's International Dictionary defines planning as an act or process of making or carrying out plans. 'To plan' means to layout a method to achieve some goal. Planning focusses on 'What, 'Why' and 'How' of achieving goals. Planning is the process of preparing a set of decisions for actions in future directed towards realizing some specific goals by the best possible means.

Planning is the process of setting out in advance a pattern of actions to bring about policies, at the local, regional, national or international level. Planning is the function that determines in advance what should be done.

2.2.3 Meaning of Educational Planning :

Educational Planning is the process of designing and making available the educational administrator, the possible means of making the optimum use of available resources for the realization of the educational aims and objectives of his organization. Educational Planning is defining events, conditions and needs of some future point in time. It is also a means of generating relevant present or future goals and objectives for the organization. Educational Planning is considered a kind of contingency anticipation or problem prevention. It provides a tool for

achieving specific objectives of an organization educational planning emphasizes that only the top administrator or the govt. should be involved in planning. Modern educational planning emphasizes involvement of representatives of most of the concerned sectors of the society in the process of planning.

Educational Planning has 4 important characteristics :

1.   Future Orientation

2.   Goal Orientation

3.   Performance enhancement

4.   Goal achievement by optimal means.

Educational planning implies forecasting or projecting of important factors in education such as number and types of student, insufficiency of resources and facilities, modernization of facilities and expansion of facilities. Educational planning should also minimize the magnitude of an educational problem likely to be encountered at some future point of time. It must result into standard operating procedure, operating manuals, administrative guidelines or system policies.

Definitions :

According to C.E. Beety, *"Educational planning is exercise of foresight in determining the policy, priorities and costs of an educational system having due regard for economic and political realities, for the systems potential for growth, for the needs of the country and of pupils."*

According to UNESCO, *"Educational Planning is application to education itself of what real educators seek to instill in students are rational scientific approach to problems. Such an approach involves identifying objectives and available resources, examining the implications of alternative courses of action and choosing wisely among them, deciding on specific target to be met within specific time limits and finally developing the best means of systematically implementing the choice made."*

Elements of Planning :

1.   Pre-determined objectives

2.   Optimum use of resources

3.   Decision making

Thus in conclusion it can be said that educational planning is a process of drawing up the most realistic blueprint of educational developments for a country or area and for a specified period based on a scientific study of the existing situation within a broad perspective of educational development over a long time span keeping in view the priorities emerging from the socio-economic goal which a country or an area has set for itself and taking due note of the various constraints physical, financial and academic which have a bearing on the realization of targets contained in blueprint.

Educational planning is a continuous process involving a number of inter-

dependent steps which are as follows :

1. Determination of educational objectives and priorities.

2. Analysis of the recent trends and the present situation.

3. Consideration of possible alternative and deciding upon the one to be followed.

4. Preparation of plan.

5. Implementation of plan and its monitoring.

6. Evaluation and adjustment of the plan.

2.2.3.1 Need of Planning :

The need for planning exists at all levels. Following considerations give rise to the need for planning :

1. **Planning is needed to ensure success of the Enterprise :** It takes into consideration the important factors, issues and conditions in education. It requires future objectives, good vision and perception and ability to profit from theory in advance of action.

2. **It saves time, effort and money :** It increases the power of efficient accomplishment of the desired purposes. It is a basic part of successful administrative activity and a vital step in the educational enterprise.

3. **Planning is a good method of solving problems :** It eliminates the trial-and-error method of doing things. Therefore, it is needed for the best utilization of available resources. It checks wastage and failure & contributes to the smoothness, ease and efficiency of the administrative process.

4. **The need for planning arises from the two basic reasons :** First of all, education is the means by which society preserves and improves its future value system and way of life, its knowledge, skills and appreciations i.e. its culture. Secondly, the operation of the educational system utilizes a large proportion of the country's educated, talent and a major part of public expenditure. The educational system, its nature and its end and means are determined by these things. Hence arises the need for planning.

5. **It is needed to keep pace with the time :** Rapid and far-reaching changes are going-on in economy, industry, commerce, educational moral values. Educational process has to keep abreast of these changes and shape itself accordingly. Therefore, planning is needed to keep pace with the time.

2.2.3.2 Importance of Educational Planning

Following points show the importance of planning :

1. **Plan or Perish :** In this world of competition, the smaller systems and institutions plan to keep themselves going. With the shrinking budgets and increasing demands on educational instructions, planning can be the only key to survival.

2. **The crisis in education :** Education today is faced with many crises, which need immediate attention and solution through careful planning. Some of them are listed below :

(i) Inadequate finances

(ii) Vague, not clearly defined objective

(iii) Confused and hostile public, including student's faculty, allowance, parents and community groups.

(iv) Anachromistic curricular

(v) Inefficient and outdated teaching techniques

(vi) Lack of expert teachers and administrators

(vii) Disagreements about top priorities

(viii) Inefficient use of plan and facilities.

An unplanned system of education cannot meet these problems efficiently.

3. **Pressure of Change :** Economists and planners believe that increased tempo of change makes it all the more important to plan for a short term.

4. **Assessment of the validity of the prior decisions :** A plan provides guidelines measuring the validity of prior decisions, rectify error through corrective actions in the future and slows down the on rushing future.

5. **Planning keeps the system on track :** A plan keeps the programme on track by providing guidelines from one milestone to the other. Without plan the whole thing would mean groping in the dark.

6. **Help decision makers and policy makers :** Planners are of greatest help to decision makers and policy makers because they identify the issues that may become difficult to handle.

7. **Imperative for efficient development :** The most efficient and optimum use of resources - both physical and human requires proper planning to cut down duplication, wastage and inefficiency etc. which is a part and parcel of planning.

8. **Cutting down the dead wood and introduction of innovative practices :** Modern nations, with the help of newly developed technologies, want to go forward at a sufficiently good pace. Planning helps in cutting down the dysfunctional mechanisms and practices and introduction of new more efficient innovative practices for faster development.

9. **Complexities of social structure :** The complexities of modern technology and social structure can't be tackled without thorough and continuous planning. The problems such as increasing population, manpower, needs, ecology, diminishing natural resources, haptiazard industrial expansion and unforeseen scientific developments all look towards educational institutions for solution.

10. **To Revamp the deteriorating situation of education :** Unplanned, haphazard and politically motivated expansion in education has resulted into resources crunch and sub-standard facilities. It is important to have intensive educational planning in order to reverse the trend and reshape or revamp the deteriorating situation.

11. **To keep pace with other aspects of developments :** Importance of planning at national level has been recognized. It is reflected in the form of 5-year plans. Parallel educational planning is equally important to ensure development amidst development of different types. When we demand institutional planning at the level of every institution, overall educational planning becomes imperative. The overall educational planning is important to provide basis and guidelines for state level educational planning and institutional plans.

2.2.3.3 Priorities in Educational Planning :

While planning for education, the most important thing to be decided is priorities to be given to the different aspects of education et al. Priorities give preference or precedence or order of importance of various aspects of education. There are conflicting claims of various sectors of life and priorities tell which of these will receive first emphasis in the development and allocation of finances. In deciding priorities for education, two major questions arise, which are as follows :

1. What percent of national income should be allocated to education.

Decision of this percentage is generally a political one based on recommendations of economic and educational planners.

2. How should amount allotted to education be divided among the various branches and types of education that claim precedence and come-up for decision. These are as follows :

(i) Primary education V/s. secondary and higher education.

(ii) Primary education V/s. adult and social education.

(iii) General education V/s. vocational education

(iv) Liberal education V/s. technical education

(v) Rural education V/s. urban education

(vi) Education of privileged V/s. education of under priviledged

(vii) Compulsory education V/s. voluntary education.

Some of the various aspects of education that have to be considered while deciding priorities are :

1. Quality V/s. Quantity in all matters of instruction, students, teachers, buildings etc.

2.   Classical school programmes in training sessions

3.   Formal material V/s. indigenous systems

4.   Mass media V/s. individual instructions

5.   Education as means of production v/s. consumption

Priorities differ from country to country. But it is generally accepted that poorer countries should concentrate their resources on expanding primary education.

(1)   Primary Education : India is a developing country and we all understand that education is an important instrument of social change. Therefore, every person should get at least primary education and therefore it should be given priority over secondary education.

(2)   Universalization of Elementary Education : The founder father of our constitution cherished the hope that independent India would be able to achieve universal elementary education by 1960. Then, it was advanced to 1990. Now it has been advanced to 2010. Therefore, the need of the country is that there should be universal compulsory primary education. Thus plans for making education compulsory and universal should get top priority

(3)   Quality of Education or Proper Planning of Important Aspects of Education : For universal education, opening of new primary schools only will not bring universal education. Side by side it should also be planned as to how these schools can give good education, how the wastage and stagnation can be avoided. Thus importance should be given to quality of education not only to quantity.

(4)   Adult Education : To remove illeteracy completely various programmes of adult education should be developed. The UNESCO studies have shown that removal of illiteracy is necessary pre-condition for the success of universalization of elementary education. Adult literacy creates demand for education of children.

(5)   Vocalization of Secondary Education : Next on the list of priorities should be emphasis on secondary education and this secondary education should be related to employment opportunities. Thus vocationalization of secondary education should be emphasized.

(6)   University and other institutions of higher education : University and other institutions of higher education should be regarded as luxurious use of resources and they can be taken up in the end of the priority list.

(7)   Health of new generation : Educational planning should also pay attention to the priority area of health of the new generation. The evils like drug abuse among the youth and student community are very serious problems. Educational planning must plan and propose remedial measures and coordinate with other agencies for strengthening health of the people.

(8)   **Optimum development of human resources :** The optimum development of human resource and their most productive placement is a no less priority in educational planning. The human material is our most precious asset. There should be no laxity in its development and no wastage at the time of its utilization. There is dearth of devoted, committed, hardworking and selfless people for handling precious assignments. Educational planning should stress for moulding the people towards "work is worship".

Thus priorities should be well thought out. It is of no use having a "comprehensive plan" for the expansion of educational facilities. It should rather be selective. For instance all the sections of education can't get our full attention in planning. We have to see which needs more care and nourishment and which should be given top priority and which should be given low priority.

2.2.4 Summary :

Planning may be described as the process of preparing a set of decisions directed at achieving by optimum means the predetermined goals. Planning includes predetermined objectives, optimum use of resources and decision making.

Educational planning is making optimum use of resources for the realization of educational aims and objectives. It is needed at all levels. It is needed to ensure success of the enterprise. It saves time, effort and money. It is needed to keep pace with the time. In this world of competition, it is needed for survival. It helps decision makers and policy makers. It is very significant for efficient development. It reduces complexities of social structure.

While planning for education the most important thing to be decided is priorities to be given to the different aspects of education. Top priority should be given to the primary education and universalization of elementary education. Then quality of education should be emphasized. Adult education should also be given due importance. Secondary education should be vocationalized. Health of new generator should also be paid attention. Human resources should be fully developed.

2.2.5 Questions for Self-Evaluation :

1.   To plan is to lay out a method to achieve some goal.   (Yes/No)

2.   Educational planning gives equal importance to all aspects of education.

(Yes/No)

3.   Planning is wastage of time, effort and money.   (Yes/No)

4.   Planning does not try emphasis on optimum utilization of resources.

(Yes/No)

5.   Objectives are never pre-determined in planning.   (Yes/No)

6.   Planning is a good method of solving problems.   (Yes/No)

7.   Planning helps in keeping pace with time.   (Yes/No)

8.   Planning reduces complexities of social structure.   (Yes/No)

9.   Top most priority should be assigned to vocationalization of secondary education.   (Yes/No)

10.   Educational planning should have a comprehensive plan.   (Yes/No)

Answers : (1) yes (2) No (3) No (4) No (5) No (6) Yes (7) Yes (8) Yes (9) No (10) No

2.2.6 Suggested Questions :

1.   What do you understand by educational planning? Discuss its need and importance?

2.   Define educational planning. Explain the priorities of educational planning.

2.2.7 Suggested Books :

1.   Educational Administration   :   Dr. R.P. Bhatnagar
                                            Dr. Vidya Agrawal
2.   Educational Management   :   Y.P. Aggarwal
      Planing and Administration   M.S. Sachdeva
                                            Manjeet Kaur
3.   Educational Planning in India   :   J.P. Nayak
4.   Education Development Strategy :   Sansul Huck
5.   Education Planning in District :   J.P. Nayak

Lesson No. 2.3

Five year plan: Historical background, features and impact on education

Structure of the Lesson:
2.3.1   Objectives
2.3.2   Introduction
2.3.3   Historical background
2.3.4   Different five year plan
        2.3.4.1 First five year plan (1951- 56)
        2.3.4.2 Second five year plan (1956- 61)
        2.3.4.3 Third five year plan (1961- 66)
        2.3.4.4 Fourth five year plan (1969-74)
        2.3.4.5 Fifth five year plan (1974- 79)
        2.3.4.6 Sixth five year plan (1980- 85)
        2.3.4.7 Seventh five year plan (1985- 90)
        2.3.4.8 Eighth five year plan (1992 – 97)
        2.3.4.9 Ninth five year plan (1997 – 2002)
        2.3.4.10 Tenth five year plan (2002 – 07)
        2.3.4.11 Eleventh five year plan (2007- 12)
        2.3.4.12 Twelfth five year plan (2012-17)
2.3.5   Features
2.3.6   Impact on education
2.3.7   Summary
2.3.8   Suggested Questions
2.3.9   Suggested Readings

2.3.1   Objectives
        After going through this lesson learners will be able to:
  I.   Recall the term five year plan.
 II.   Recall the historical background of five year plan
III.   Explain the features of five year plan.
IV.   Explain the impact on education of five year plan.
 V.   Explain the features of five year plan for different years.
2.3.2   Introduction
        After Independence, Indian economy was in a poor condition. For a new nation,
every sector was to be strengthened from the base thereby strengthening the economy. For

all this to happen a consolidated planning was required. So, the government of India constituted an institution called planning commission in 1950 (Planning commission was replaced by NITI AAYOG in 2014).

The duty of this planning commission is to formulate plans for the effective utilization of country's resources and it started implementing five year plan from 1951. The planning commission from its inception in 1951 till its end in 2014 had formulated 12 five year plans.

2.3.3 Historical background

The first Five-year Plan was launched in 1951 and two subsequent five-year plans were formulated till 1965, when there was a break because of the Indo-Pakistan Conflict. Two successive years of drought, devaluation of the currency, a general rise in prices and erosion of resources disrupted the planning process and after three Annual Plans between 1966 and 1969, the fourth Five-year plan was started in 1969.

The Eighth Plan could not take off in 1990 due to the fast changing political situation at the Centre and the years 1990-91 and 1991-92 were treated as Annual Plans. The Eighth Plan was finally launched in 1992 after the initiation of structural adjustment policies.

For the first eight Plans the emphasis was on a growing public sector with massive investments in basic and heavy industries, but since the launch of the Ninth Plan in 1997, the emphasis on the public sector has become less pronounced and the current thinking on planning in the country, in general, is that it should increasingly be of an indicative nature.

2.3.4 Different five year plans

The five year plans were the set of programmes to be implemented in a five year term focussing on the problems the sector which needed attention at that time.

2.3.4.1 First five year plan (1951- 56)

First five year plan was based on Harrod- Domar Model. In the first five year plan, Government emphasised mainly on agricultural sector. It was a successful plan primarily because of good harvest in the last two years of the plan.

2.3.4.2 Second five year plan (1956- 61)

Second five year plan also called Mahalanobis Plan named after the well known economist. In the second five year plan, government emphasised promotion of heavy industries and generated revenue will be used for agriculture. During this plan, prices increased by 30%, against a decline of 13% during the First Plan.

2.3.4.3 Third five year plan (1961- 66)

At a conception, it was felt that Indian economy has entered a take-off stage. Therefore, its aim was to make India a 'self-reliant' and 'self-generating' economy. Based on the experience of first two plans, agriculture was given top priority to support the exports and industry.

2.3.4.4 Fourth five year plan (1969-74)

The fourth five year plan emphasised on agriculture and food security was its primary goal. First two years of the plan saw record production. The last

three years did not measure up due to poor monsoon. It also emphasised on social justice by providing education and employment to under privileged classes.

2.3.4.5 Fifth five year plan (1974- 79)

The fifth plan was prepared and launched by D.D.Dhar. In the fifth year plan, the government recognised the failure of the previous plans and this time the main focus was on anti- poverty and minimum need programmes. The plan was terminated in 1978(instead of 1979) when Janta Party Govt. Rose to power.

2.3.4.6 Sixth five year plan (1980- 85)

The sixth five year plan marked a shift in the industrialization pattern from heavy industries to infrastructure development. Anti – poverty programmes and rural employment programmes were also launched during this period.

2.3.4.7 Seventh five year plan (1985- 90)

In the seventh five year plan outward looking policy began with exports receiving priority. From this five year plan Liberalisation of Indian economy began. The plan was very successful, the economy recorded 6% growth rate against the targeted 5%.

2.3.4.8 Eighth five year plan (1992 – 97)

The eighth plan was postponed by two years because of political uncertainty at the centre. The eighth five year plan completely changed the face of Indian economy. The role of the government is minimized and private sector was given priority. India became a market oriented economy from this period.

2.3.4.9 Ninth five year plan (1997 – 2002)

It was developed in the context of four important dimensions: Quality of life, generation of productive employment, regional balance and self reliance.

2.3.4.10 Tenth five year plan (2002 – 07)

Tenth five year plan focussed more on services and IT sector and was able to achieve expected growth rate. But the growth rate in the agriculture sector dropped down.

2.3.4.11 Eleventh five year plan (2007- 12)

It emphasised more on agriculture and social sector and environmental sustainability and achieved agricultural growth rate of 4%. Eleventh five year plan ensure that at least 33 percent of the direct and indirect beneficiaries of all government schemes are women and girl children. It also increase forest and tree cover by 5 percentage points, attain WHO standards of air quality in all major cities by 2011-12, treat all urban waste by 2011-12 to clean river waters and increase energy efficiency by 20% point by 2016-17.

2.3.4.12 Twelfth five year plan (2012-17)

It is the five year plan with the target of achieving faster, more inclusive and sustainable growth with development of all sectors and also decided to achieve growth rate of 8%.

Inclusiveness is a multidimensional concept. This includes following attributes:
   i)   Reduce poverty
   ii)   Improve regional equality across states and within states
   iii)   Improve conditions of SCs, STs, OBCs and minorities
   iv)   Generate attractive employment for youths
   v)   Close gender gap

In the field of education the twelfth five year plan has following monitorable indicators:
   i)   Mean years of schooling to increase to 7 years.
   ii)   20 lakh seats for each age bracket in higher education.
   iii)   End gender gap and social gap in school enrolment

Thus, the five year plans had been playing a major role in the consolidation of Indian economy since independence.

2.3.5   Features

a)   Democratic:

The first and foremost important feature of Indian planning is that it is totally democratic. India being the largest democratic country in the world has been maintaining such a planning set up where every basic issue related to its Five Year Plan is determined by a democratically elected Government. Moreover, while formulating a Five Year Plan, opinions of various tiers of Government, various organizations, institutions, experts etc. are being given due considerations.

b)   Decentralized Planning:

Decentralized planning is another feature of Indian planning which aims at achieving active people's participation in the planning process, but the real introduction of decentralized planning was made in India for the first time during the Seventh Plan.

Thus decentralized planning is a kind of planning at the grass root level or planning from below. Under decentralized planning in India, emphasis has been given on the introduction of district planning, sub-divisional planning and block-level planning so as to reach finally the village level planning successfully.

c)   Regulatory Mechanism:

Another important feature of Indian planning is that a central planning authority directs it, i.e., the Planning Commission of India which plays the role of regulatory mechanism, so as to provide necessary direction and regulation over the planning process. Thus

under the present regulatory mechanism, every planning decision in India originates from the planning commission and being finally approved by the national development council. Moreover, the planning commission of India is also having adequate regulatory mechanism over the successful implementation of planning.

d)   Existence of central plan and state plan

Another important feature of Indian planning is that there is the co- existence of both the central plan and state plan. Central plan is under the exclusive control of the planning commission and the central government, whereas the state plan is under the exclusive control of state planning board and state government which also requires usual approval from the planning commission.

e)   Public sector and Private sector plan:

Another feature of India's five year plan is that in each plan, a separate outlay is earmarked both of public sector and private sector. In each five year plan of the country, public sector investment and private sector investment amount is separately fixed, which comprises the total investment in each plan.

f)   Periodic Plan

Another important feature of Indian planning is the adoption of a periodic plan of five year period having five separate annual plan components. This type of periodic plan approach is quite suitable for realizing its definite targets.

g)   Guided by basic objectives

One of the important features of Indian planning is that each and every plan is guided by basic objectives, which are almost common in most of our plans.

h)   Balanced regional development

Another silent feature of India's five year plan is that it constantly attaches much importance on balanced regional development. Development of backward regions is one of the important objectives of Indian planning. India's planning system has even isolated some states under 'special category states' so as to channelize additional resources to these backward states for their rapid development.

i)   Perspective planning

Indian planning has adopted the system of perspective planning for some basic issues or problems of the country, for a period of 15 to 20 years on the basis of necessary projections.

j)   Programme implementation and evaluation

Indian planning system is broadly supported by programme implementation and evaluation machinery, which used to play a very important role. Programme implementation machinery includes various Government departments which are usually involved for the implementation of the plan.
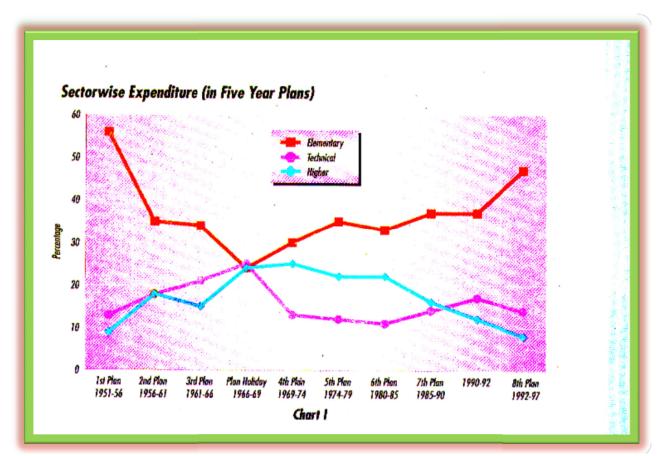
k)   Shortfalls in target realization

Another important feature of Indian Five year plan is its shortfalls in target realization, leads to the problem of spill over the projects into next five years plan.

Although targets are fixed for every plans in respect of rate of growth of national income, employment, population, production of some important items etc.

2.3.6 Impact on educational

An intra sectoral analysis of Plan expenditure on education sharply brings into focus three distinct period since planning began in 1951, with the plan holiday (1966- 69) and the year 1986-87 as two dividing lines (Chart).

Chart I

In the first phase (First Plan to Plan Holiday) higher and technical education received a higher intra sectoral priority compared to elementary education. Traditionally, universal elementary education was perceived as social consumption while skilled manpower supplied by higher and technical education was considered a critical factor of economic development which obviously contributed to the human capital formation. By the beginning of the IV Plan,.i.e., just after the Plan Holiday, with the realisation that the network of technical institutions created was sufficient to meet the anticipated manpower demands, investments in technical education were curtailed. At the same time universal elementary education was recognized as a minimum need programme for which more public resources were diverted for elementary education during the second phase extending from IV

Five Year Plan to 1986 i.e. the beginning of the VII Five Year Plan. During the third phase (1987 onwards) with the introduction of NPE-1986 a sharp rise in the share of elementary education in total plan expenditure of education is being witnessed.

Some impact on education of five year plan:

i) Enrolment : enrolment rate increases during five year plan in primary and upper primary mainly in Jharkhand, Jammu & Kashmir, Utter Pradesh, Madhya Pradesh and Arunachal Pradesh

ii) Out of school children has decreased from 32 million in 2001-02 to 7.1 million in 2005-06. Number of district having out of school children of more than 50,000 each has reduced from 48 to 29.

iii) Dropout rate at primary has decreased from 39.03% in 2001-02 to 29% in 2004-05. Dropout rate at elementary level has remained very high at 50.8%.

iv) Reduction in gender gap and social category gap.

2.3.7 Summary

The planning commission has set the goal of constructing a long term strategic vision for the future. It plays an integrative role in the development of a holistic approach to the formulation of policies in critical areas of human and economic development. The commission is seeing to maximize the output with minimum resources with the changing time.

2.3.8 Suggested Questions

Q1. Define the term five year plan.

Q2. Write about the historical background of five year plan.

Q3. Explain the features of five year plan.

Q4. Explain the impact on education of five year plan.

Q5 Explain the features of five year plan for different years.

2.3.9 Suggested Readings and Web Resources

1.	Development of Education in India : Select Documents	S.P. Aggarwal and J.C. Aggarwal
2.	Educational Planning in India	J.P. Nayak
3.	Educational Administration	Dr. R.P. Bhatnagar Dr. Vidya Aggarwal

Web Resources

1. http://mospi.nic.in/sites/default/files/Statistical_year_book_india_chapters/Five%20Year%20Plan%20writeup_0.pdf

2. https://www.jagranjosh.com/general-knowledge/list-of-all-five-year-plans-of-india-1468309723-1

3. https://www.toppr.com/guides/business-economics-cs/overview-of-indian-economy/five-year-plans-of-india/

Lesson . No. 2.4

Leadership: Concept, Theories and Qualities of a Leader

2.4.1   Objectives
2.4.2   Definition of a leader
2.4.3   Great leadership quotes and inspirational quotes
2.4.4   Leadership qualities
2.4.5   Theories of leadership
2.4.6   Suggested questions
2.4.7   Suggested books and web sources

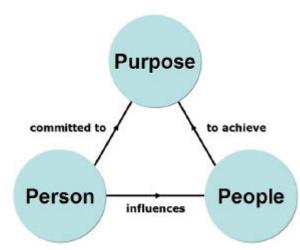**2.4.1   Objectives :**
       After reading this lesson students will be able to:
1.   Define "Leadership"
2.   Explain the theories of a leadership in detail.
3.   Describe the qualities of a good leader.

2.4.2   Definition of a Leader

A leader is "a person who influences a group of people towards the achievement of a goal". A mnemonic for this definition would be 3P's - Person, People and Purpose as illustrated by the following diagram.

(a)Person

Is leadership a position of office or authority? Or, is leadership an ability in the sense that he is a leader because he leads? We all may know or hear of people who are in positions of leadership but who are not providing leadership. A position of office is no guarantee of leadership but it helps in the sense that a leadership position usually commands a listening ear from its people and that is a good starting point for anyone who desires to be a leader.

A leader by its meaning is one who goes first and leads by example, so that others are motivated to follow him. This is a basic requirement. To be a leader, a person must have a deep-rooted commitment to the goal that he will strive to achieve it even if nobody follows him!

(b) Purpose

A requirement for leadership is personal vision - the ability to visualize your goal as an accomplished fact; a thing already achieved.

"The very essence of leadership is that you have to have vision. You can't blow an uncertain trumpet."

The next requirement is the realization that the goal cannot be achieved alone, without the help of others. Is there a natural grouping of people from whom you can elicit help? Or do you have to recruit your followers? In the latter, you face a greater challenge. But whatever the situation, the leader must integrate his (or the organization's) goal with his followers' personal goals and then communicates this goal in such a way that they embrace it too and the goal becomes a common goal.

In communicating your goal, bear in mind that it should meet the following criteria:

Achievable ... realistic yet faith stretching

Inspiring ... challenging your people to give of their best

Measurable ... quantifiable

Shared ... declaring your conviction in and commitment to the goal

(c) People

To be a leader, one must have followers. To have followers, one must have their trust. How do you win their trust? Why would others trust you? Most important, are you worthy of their trust?

Why are some individuals more effective than others at influencing people? Effectiveness in leadership has been attributed to (1) persuasion skills, (2) leadership styles and (3) personal attributes of the leader.

When people are convinced of your love for them and that you always have their interests upon your heart, they trust you and they will follow you up the highest mountain and into the deepest sea.

Leaders are made not born. If you have the desire and willpower, you can become an effective leader. Good leaders develop through a never ending process of self-study, education, training, and experience.

To inspire your workers into higher levels of teamwork, there are certain things you must be, know, and, do. These do not come naturally, but are acquired through continual work and study. Good leaders are continually working and studying to improve their leadership skills; they are NOT resting on their laurels.

Leadership is a process by which a person influences others to accomplish an objective and directs the organization in a way that makes it more cohesive and coherent. Leaders carry out this process by applying their leadership attributes, such as beliefs, values, ethics, character, knowledge, and skills.

Although your position as a manager, supervisor, lead, etc. gives you the authority to accomplish certain tasks and objectives in the organization, this power does not make

you a leader, it simply makes you the boss. Leadership differs in that it makes the followers want to achieve high goals, rather than simply bossing people around.

Bass' (1989 & 1990) theory of leadership states that there are three basic ways to explain how people become leaders. The first two explain the leadership development for a small number of people. These theories are:

Some personality traits may lead people naturally into leadership roles. This is the Trait Theory. A crisis or important event may cause a person to rise to the occasion, which brings out extraordinary leadership qualities in an ordinary person. This is the Great Events Theory.

People can choose to become leaders. People can learn leadership skills. This is the Transformational Leadership Theory. It is the most widely accepted theory today.

The basis of good leadership is honorable character and selfless service to your organization. In your employees' eyes, your leadership is everything you do that effects the organization's objectives and their well-being. Respected leaders concentrate on what they are [be] (such as beliefs and character), what they know (such as job, tasks, and human nature), and what they do (such as implementing, motivating, and providing direction).

2.4.3 Great leadership quotes and inspirational quotes

- "People ask the difference between a leader and a boss.... The leader works in the open, and the boss in covert. The leader leads and the boss drives." (Theodore Roosevelt)
- "No man is fit to command another that cannot command himself." (William Penn)
- "Ideas are like rabbits. You get a couple, learn how to look after them, and pretty soon you have a dozen." (John Steinbeck)
- "I keep six honest serving-men, they taught me all I knew; Their names are What and Why and
- "The most important thing in life is not to capitalise on your successes - any fool can do that. The really important thing is to profit from your mistakes." (William Bolitho, from 'Twelve against the Gods')
- "Everybody can get angry - that's easy. But getting angry at the right person, with the right intensity, at the right time, for the right reason and in the right way - that's hard." (Aristotle)
- "Management means helping people to get the best out of themselves, not organising things." (Lauren Appley)
- "Behind an able man there are always other able men." (Chinese Proverb.)
- "I praise loudly. I blame softly." (Catherine the Great, 1729-1796.)
- "Any one, who acts as a model of others is often called a leader."(Sprott's)
- "Leader is the one who succeeds in getting others to follow him."(Cowley's)
- "Leadership is the exercise of authority and the making of decision."(Dubin's)
- "Leadership is activity of influencing people to co-operate towards some goal which they find desirable."

2.4.4 Leadership Qualities & Attributes of Great Leaders
2.4.4.1 Vision
Great leaders have vision… They can see into the future.
They have a clear, exciting idea of where they are going and what they are trying to accomplish and are excellent at strategic planning.
This quality separates them from managers. Having a clear vision turns the individual into a special type of person.
2.4.4.2 Courage
"Courage is rightly considered the foremost of the virtues, for upon it, all others depend."– Winston Churchill
The quality of courage means that you are willing to take risks in the achievement of your goals with no assurance of success. Because there is no certainty in life or business, every commitment you make and every action you take entails a risk of some kind.
2.4.4.3 Integrity
The core of integrity is truthfulness.
Integrity requires that you always tell the truth, to all people, in every situation. Truthfulness is the foundation quality of the trust that is necessary for the success of any business or organization.
2.4.4.4 Humility
Great leaders are those who are strong and decisive but also humble.
Humility doesn't mean that you're weak or unsure of yourself. It means that you have the self-confidence and self-awareness to recognize the value of others without feeling threatened.
It means that you are willing to admit you could be wrong, that you recognize you may not have all the answers. And it means that you give credit where credit is due.
Humility gets results. Larry Bossidy, the former CEO of Honeywell and author of the book *Execution*, explained why humility makes you a more effective leader:
"The more you can contain your ego, the more realistic you are about your problems. You learn how to listen, and admit that you don't know all the answers. You exhibit the attitude that you can learn from anyone at any time. Your pride doesn't get in the way of gathering the information you need to achieve the best results. It doesn't keep you from sharing the credit that needs to be shared. Humility allows you to acknowledge your mistakes."
2.4.4.5 Strategic Planning
Great leaders are outstanding at strategic planning. Leaders have the ability to anticipate trends, well in advance of their competitors. They continually ask, *"Based on what is happening today, where is the market going? Where is it likely to be in three months, six months, one year, and two years?"* They do this through thoughtful strategic planning.
Because of increasing competitiveness, only the leaders and organizations that can accurately anticipate future markets can possibly survive. Only leaders with foresight can gain the *"first mover advantage."*

2.4.4.6 Focus

Leaders always focus on the needs of the organisation and the situation. Leaders focus on results, on what must be achieved by themselves, by others, and by the organisation. Great leaders focus on strengths, in themselves and in others.

They focus on the strengths of the organization, on the things that the company does best in satisfying demanding customers in a competitive marketplace.

Your ability as a leader to call the shots and make sure that everyone is focused and concentrated on the most valuable use of their time is essential to the excellent performance of the enterprise.

2.4.4.7 Cooperation

Your ability to get everyone working and pulling together is essential to your success. Leadership is the ability to get people to work for you because they want to.

2.4.4.8 Communication

Without clear communication, your employees won't understand your mission, goals, and vision. Employees want to work toward something they believe in, so it's important they understand that they are working toward the same goals you are. Communication should also be consistent in establishing work expectations, giving constructive feedback, and in training new employees. With great communication, your employees will know exactly what they are working for, will rely on you, and will give their best effort for you.

2.4.4.9 Confidence

When things go wrong, employees look to you for the answers and judge the situation based upon your reaction. Even if the company is experiencing a major downturn, it's important to always be confident, calm, and set a good example. If you aren't confident with the organization in a situation, then be confident in your own leadership skills. Your job is to maintain the happy work environment, and continue leading the team in their daily work.

2.4.4.10 Inspiration

Though inspiration often looks forward to the future, it's also important for the present; it gives employees a reason to work, to succeed, and to do their best in everything they do. Make them feel invested in the organisation through inspiration and they'll be loyal, hard-working employees.

2.4.4.11 Positivity

Regardless of the situation, always stay positive. Positivity is essential to productivity, employee happiness, and work environment. When mistakes are made- even if they are serious, it's important to look at the bright side of things. You are setting the tone for the work day, and your attitude directly affects those under your leadership. Bringing snacks, giving compliments, and even showing an appropriate interest in an employee's personal life can have a significant impact on their work day.

2.4.4.12 Humor

Although not a requirement, a sense of humor goes a long way in leadership. It helps create a positive work environment and enhances the feeling of camaraderie. Warren

Buffett, for example, once said, "I buy expensive suits. They just look cheap on me." Your unique personality and sense of humor shows your employees that you are more than a leader, and that you aren't a machine, which encourages them to feel comfortable around you.

2.4.4.13 Creativity

Some decisions have to be made quickly, and catch us by surprise. In times like these, it's up to you to think outside the box to find a solution. Your team will be looking to you in these situations for guidance, so a quick decision must also be a good decision. Henry Ford faced a situation like this when demand for his vehicles was so high he couldn't possibly keep up. Instead of making the obvious decision to hire more people, he thought with creativity and developed the assembly line. You may even brainstorm with your team to build upon some of your ideas. When your employees are involved in a decision or idea, they often feel more invested, respected, and important. When you are in a situation where creativity is necessary, your creativity level and experience can either gain your employees' loyalty and respect, or damage it.

2.4.5 Theories of Leadership

2.4.5.1 Great Man Theory

Assumptions

Leaders are born and not made.

Great leaders will arise when there is a great need.

Description

Early research on leadership was based on the study of people who were already great leaders. These people were often from the aristocracy, as few from lower classes had the opportunity to lead. This contributed to the notion that leadership had something to do with breeding.

The idea of the Great Man also strayed into the mythic domain, with notions that in times of need, a Great Man would arise, almost by magic. This was easy to verify, by pointing to people such as Eisenhower and Churchill, let alone those further back along the timeline, even to Jesus, Moses, Mohammed and the Buddah.

2.4.5.2 Trait Theory

Assumptions

People are born with inherited traits.

Some traits are particularly suited to leadership.

People who make good leaders have the right (or sufficient) combination of traits.

Description

Early research on leadership was based on the psychological focus of the day, which was of people having inherited characteristics or traits. Attention was thus put on discovering these traits, often by studying successful leaders, but with the underlying assumption that if other people could also be found with these traits, then they, too, could also become great leaders.

Stogdil (1974) identified the following traits and skills as critical to leaders.

Traits	Skills
• Adaptable to situations • Alert to social environment • Ambitious and achievement-orientated • Assertive • Cooperative • Decisive • Dependable • Dominant (desire to influence others) • Energetic (high activity level) • Persistent4 • Self-confident • Tolerant of stress • Willing to assume responsibility	• Clever (intelligent) • Conceptually skilled • Creative • Diplomatic and tactful • Fluent in speaking • Knowledgeable about group task • Organised (administrative ability) • Persuasive • Socially skilled

McCall and Lombardo (1983) researched both success and failure identified four primary traits by which leaders could succeed or 'derail':

- *Emotional stability and composure*: Calm, confident and predictable, particularly when under stress.
- *Admitting error*: Owning up to mistakes, rather than putting energy into covering up.
- *Good interpersonal skills*: Able to communicate and persuade others without resort to negative or coercive tactics.
- *Intellectual breadth*: Able to understand a wide range of areas, rather than having a narrow (and narrow-minded) area of expertise.

2.4.5.3 Behavioral Theory

Assumptions

Leaders can be made, rather than are born.

Successful leadership is based in definable, learnable behavior.

Description

Behavioral theories of leadership do not seek inborn traits or capabilities. Rather, they look at what leaders actually *do*.

If success can be defined in terms of describable actions, then it should be relatively easy for other people to act in the same way. This is easier to teach and learn then to adopt the more ephemeral 'traits' or 'capabilities'.

It assumes that leadership capability can be learned, rather than being inherent. This opens the floodgates to leadership development, as opposed to simple psychometric assessment that sorts those with leadership potential from those who will never have the chance.

2.4.5.4 Participative Leadership

Assumptions

Involvement in decision-making improves the understanding of the issues involved by those who must carry out the decisions.

People are more committed to actions where they have involved in the relevant decision-making.

People are less competitive and more collaborative when they are working on joint goals.

When people make decisions together, the social commitment to one another is greater and thus increases their commitment to the decision.

Several people deciding together make better decisions than one person alone.

Style

A Participative Leader, rather than taking autocratic decisions, seeks to involve other people in the process, possibly including subordinates, peers, superiors and other stakeholders. Often, however, as it is within the managers' whim to give or deny control to his or her subordinates, most participative activity is within the immediate team. The question of how much influence others are given thus may vary on the manager's preferences and beliefs.

There are many varieties on this spectrum, including stages where the leader sells the idea to the team. Another variant is for the leader to describe the 'what' of objectives or goals and let the team or individuals decide the 'how' of the process by which the 'how'

will be achieved (this is often called 'Management by Objectives').

There are many potential benefits of participative leadership.

This approach is also known as consultation, empowerment, joint decision-making, democratic leadership, Management By Objective (MBO) and power-sharing.

2.4.5.5 Situational Leadership

Assumptions

The best action of the leader depends on a range of situational factors.

Style

When a decision is needed, an effective leader does not just fall into a single preferred style, such as using transactional or transformational methods. In practice, as they say, things are not that simple.

Factors that affect situational decisions include motivation and capability of followers. This, in turn, is affected by factors within the particular situation. The relationship between followers and the leader may be another factor that affects leader behavior as much as it does follower behavior.

The leaders' perception of the follower and the situation will affect what they do rather than the truth of the situation. The leader's perception of themselves and other factors such as stress and mood will also modify the leaders' behavior.

Yukl (1989) seeks to combine other approaches and identifies six variables:

- *Subordinate effort*: the motivation and actual effort expended.
- *Subordinate ability* and *role clarity*: followers knowing what to do and how to do it.
- *Organization of the work*: the structure of the work and utilization of resources.
- *Cooperation and cohesiveness*: of the group in working together.
- *Resources and support*: the availability of tools, materials, people, etc.
- *External coordination*: the need to collaborate with other groups.

Leaders here work on such factors as external relationships, acquisition of resources, managing demands on the group and managing the structures and culture of the group.

2.4.5.6 Contingency Theory

Assumptions

The leader's ability to lead is contingent upon various situational factors, including the leader's preferred style, the capabilities and behaviors of followers and also various other situational factors.

Description

Contingency theories are a class of behavioral theory that contend that there is no one best way of leading and that a leadership style that is effective in some situations may not be successful in others.

An effect of this is that leaders who are very effective at one place and time may become unsuccessful either when transplanted to another situation or when the factors around them change.

This helps to explain how some leaders who seem for a while to have the 'Midas touch' suddenly appear to go off the boil and make very unsuccessful decisions.

Discussion

Contingency theory is similar to [situational](#) theory in that there is an assumption of no simple one right way. The main difference is that situational theory tends to focus more on the behaviors that the leader should adopt, given situational factors (often about follower behavior), whereas contingency theory takes a broader view that includes contingent factors about leader capability and other variables within the situation.

2.4.5.7 Transactional Leadership

Assumptions

People are motivated by reward and punishment.

Social systems work best with a clear chain of command.

When people have agreed to do a job, a part of the deal is that they cede all authority to their manager.

The prime purpose of a subordinate is to do what their manager tells them to do.

Style

The transactional leader works through creating clear structures whereby it is clear what is required of their subordinates, and the rewards that they get for following orders. Punishments are not always mentioned, but they are also well-understood and formal systems of discipline are usually in place.

The early stage of Transactional Leadership is in negotiating the contract whereby the subordinate is given a salary and other benefits, and the company (and by implication the subordinate's manager) gets authority over the subordinate.

When the Transactional Leader allocates work to a subordinate, they are considered to be fully responsible for it, whether or not they have the resources or capability to carry it out. When things go wrong, then the subordinate is considered to be personally at fault, and is punished for their failure (just as they are rewarded for succeeding).

2.4.5.8 Transformational Leadership

Assumptions

People will follow a person who inspires them.

A person with vision and passion can achieve great things.

The way to get things done is by injecting enthusiasm and energy.

Style

Working for a Transformational Leader can be a wonderful and uplifting experience. They put passion and energy into everything. They care about you and want you to succeed.

Developing the vision

Transformational Leadership starts with the development of a vision, a view of the future that will excite and convert potential followers. This vision may be developed by the leader, by the senior team or may emerge from a broad series of discussions.

One of the methods the Transformational Leader uses to sustain motivation is in the use of ceremonies, rituals and other cultural symbolism. Small changes get big hurrahs, pumping up their significance as indicators of real progress.

Overall, they balance their attention between action that creates progress and the mental state of their followers. Perhaps more than other approaches, they are people-oriented and believe that success comes first and last through deep and sustained commitment.

Discussion

Whilst the Transformational Leader seeks overtly to transform the organization, there is also a tacit promise to followers that they also will be transformed in some way, perhaps to be more like this amazing leader. In some respects, then, the followers are the *product* of the transformation.

One of the traps of Transformational Leadership is that passion and confidence can easily be mistaken for truth and reality. Whilst it is true that great things have been achieved through enthusiastic leadership, it is also true that many passionate people have led the charge right over the cliff and into a bottomless chasm. Just because someone *believes* they are right, it does not mean they *are* right.

Paradoxically, the energy that gets people going can also cause them to give up. Transformational Leaders often have large amounts of enthusiasm which, if relentlessly applied, can wear out their followers.

Finally, Transformational Leaders, by definition, seek to transform. When the organization does not need transforming and people are happy as they are, then such a leader will be frustrated.

2.4.6 Suggested Questions:

Q1. Explain the concept of leadership.

Q2. What are the qualities of a leader?

Q3. Discuss in detail the theories of a leadership.

2.4.7 Suggested books and web sources:

1. https://en.wikipedia.org/wiki//Leadership
2. www.businessdictionary.com/definition/leadership.html
3. www.businessballs.com>leadership/management
4. www.notredameonline.com>Resources>Leadersip and Management
5. Leadershiptheories-changingMinds
6. nwlink.com/~donclark/leader/leadercon.html

Lesson No. 2.5   **Author: Nipunta Kaur**

Performance Appraisal in Educational Organizations at Different Levels

Structure of the lesson

2.5.1   Objectives

2.5.2   Introduction

2.5.3   Concept and Definition

2.5.4   Aims of Performance Appraisal

2.5.5   Purpose of Performance Appraisal

2.5.6   Objectives of Performance Appraisal

2.5.7   Benefits of Performance Appraisal

2.5.8   Performance Appraisal in Government Organizations

2.5.9   Performance Appraisal in higher educational institution

2.5.10 Performance Appraisal in School Education

2.5.11 Suggested Questions

2.5.12 Reading Material

2.5.1   Objectives :

After going through the lesson, the students will be able to :

- Concept of performance appraisal

- Aims and purpose of performance appraisal

- Performance Appraisal at different levels

2.5.2   Introduction :

After reading this chapter the students will be able to understand :

1.   concept of performance appraisal

2.   aims and purpose of performance appraisal

3.   performance appraisal at different levels

2.5.2   Introduction :

Performance appraisal is an essential component of organizational life. From the organization's viewpoint, an important reason for performance appraisal is the principle of accountability of its employees. Responsibility and accountability must be aligned at every level of the organization and performance appraisal encourages this behaviour. An important goal for organizations is the improvement of employee job performance. It is believed that performance appraisal is essential to improve the performance of the employees. It allows organizations to inform their employees about their growth rate, their abilities and their potentials. It helps the employees to be intentional in creating their individual developmental goals to help in their personal growth. The performance appraisal (PA) is one of the performance management tools that are widely used to evaluate the productivity of staff members.

2.5.3   Concept and Definition :

Performance appraisal refers to the evaluation of individual employees to make a judgement about his abilities and performance and/or to provide feedback to bring change in their practice. Countries use enormous number different approaches for the appraisal, among which the most frequent are : (1) appraisal for the completion of a probationary period; (2) appraisal as part of performance management, which may include registration processes, regular appraisal and appraisal for promotion; and (3) reward schemes.

According to Flippo, a prominent personality in the field of Human resources, "performance appraisal is the systematic, periodic and an impartial rating of an employee's excellence in the matters pertaining to his present job and his potential for a better job."

The process of interaction, written documentation, formal interview and follow up that occurs between managers and their employees in order to give feedback make decisions and cover fair employment practice law-Eleanor J Sullivan

2.5.4   Aims of Performance Appraisal : The performance appraisal is done by the organization to fulfill the aims of the organization.

- provide feedback to employees.

- recognize the training needs of employees

- document criteria.

- set up conditions for staff; salary hike, promotions, disciplinary actions, incentives etc.

- provide the opportunity for organizational diagnosis and development

- to make communication easy.

- establish validity of human resource policies and techniques of selection.

2.5.5   Purpose of Performance Appraisal :

Performance appraisal is a term which is used for a range of activities which gives an opportunity to the employer to evaluate staff members and help them to develop their skills, improve performance and give reward to boost their confidence. Grote (2002) identified the following purposes of performance appraisal :

1.   increase employee performance by giving them feedback

2.   facilitating decisions related to pay increases, promotions, layoffs.

3.   to foster improvement in performance.

4.   set up goals to achieve.

5.   identifying developmental and training needs of employees as well as individuals

6.   to make sure that good decisions are made while writing employees.

7.   give legal assistance to employees.

8.   improve organizational performance as a whole.

9.   to evaluate the employee performance.

10.   to evaluate the difference between the actual and desired performance.

11.   to identify the training and developmental needs of time which is yet to come.

2.5.6   Objectives of Performance Appraisal :

Work Related Objectives : To provide a control for work done-To strengthen efficiency-provide assistance in assigning work and plan future work assignment; and-to execute job evaluation.

Objectives related to career development : diagnose strengths and weaknesses and encourage to find out remedies for weakness through training - To figure out career potential; - To plan developmental projects; and - To design career aims.

Objectives related to Communication : To give sufficient feedback on performance; To clearly set up aims, i.e. what is desired from the staff members in terms of performance and future work assignments; To plan open discussion on performance so as to provide counseling and job satisfaction. To give opportunity to staff members to evaluate themselves with regard to their performance.

Administrative Objectives : To serve as a basis for promotion or demotion; To serve as a basis for allocating incentives; To serve as a basis for determining transfers; and To serve as a basis for termination in case of reduction of staff.

Objectives of Performance Appraisal in Educational Institution :

i.   help teachers to plan about their career and their professional development.

ii.   provide assistance to those who make decisions related to the teacher management.

iii.   to improve the quality of education for students.

iv.   provide assistance to the teachers to realize their competencies and to perform their duties more effectively.

v.   to give judgement to support promotions, demotions, transfers, confirmation or termination.

vi.   give feedback to the teachers related to behavior, attitudes, abilities and subject matter.

vii.   To have clarity of institutional goals and objectives, requirements of a job and how a job is related to the aims and needs of the institution.

viii.   provide help to the teachers to know their strengths and weaknesses related to teaching.

ix.   To acknowledge the achievements of teachers and assist them to figure out ways to improve their knowledge, skills, attitudes and ultimately performance.

x.   To assist educational managers and teachers to understand whether a change of duties would help professional growth of teachers and improve their career prospects.

xi.   To identify appropriate staff development programmes.

xii.   To provide guidance, counseling and training to teachers in need.

xiii.   To provide a data-base for the school.

xiv.   To improve administration of schools.

xv.   To establish validity of selection techniques.

xvi.   To evaluate the staff developmental programs organized in the past.

xvii.   To provide an opportunity to teachers to tell management whether its their performance or the system of itself creates obstacles in good classroom and/or institutional performance.

2.5.7   Benefits of Performance Appraisal :

1.   **Benefit for the individual :** Understanding their role in better way to know how better performance is evaluated and monitored. Getting an insight realize their strengths and weaknesses and developmental needs. Identifying various ways to improve performance giving an opportunity to discuss and understand developmental and training needs. Understanding and coming to an agreement for the future. A platform to discuss career direction and prospects.

2.   **Benefit to the Principal/Leader :** Opportunities to know and exchange views and opinions in a friendly manner-to diagnose any potential difficulties or weaknesses. An improved understanding of the resources available-to plan for and set objectives for the next period-to think about and clarity their own role-to plan for

achieving improved performance-to plan for further delegation and coaching-to motivate members of the team.

3.   **Benefits for the Organization :** A structured means of identifying and assessing potential. Up-to-date information regarding the expectations and aspirations of employees. Information on which to base decisions about promotions and motivation. An opportunity to review succession planning.

2.5.8   Performance Appraisal in Government Organizations : The frequently used method of Performance Appraisal in government organizations is Confidential report (popularly known as CR) which is written by the principal or higher authority.

1.   In government organizations majority of the objectives are not reviewed and updated time to time.

2.   It is difficult to evaluate the performance of the government employees.

3.   He approaches used in the government organizations is unprofessional and unstructured.

4.   The rating done by the supervisors is often biased and involves subjectivity.

5.   The appraisal forms often lack in complete information because of expertise and relevant training; often, the appraisals are not conducted on a regular basis.

6.   Team appraisals often not possible in government organizations.

2.5.9   Performance appraisal in higher educational institution :

The HEI's educational leaders appraise the performance of their academic and administrative staff members on yearly basis to motivate self-reflection and development. The staff members in educational institutions are assessed on three areas of performance, which include: (i) lecturing, mentoring and tutoring, (ii) research, and (iii) administration. Therefore, the educational leaders utilize both qualitative and quantitative measures to evaluate the performance of their employees on their teaching, publications and administrative tasks. Every HEI department provide support to it employees in identifying

their personal and professional development needs by providing them a supportive HRM framework and performance management criteria.

2.5.10 Performance appraisal in School Education : Various commissions and educational committees have expressed a need for an effective system of teacher appraisal. Government regulation necessitates teacher performance evaluation in schools; yet, it is still a passive exercise, e.g. an annual confidential report in majority of schools. Very few schools have progressed beyond this reality. Only few schools have a full-fledged performance evaluation system in place. It should be noted that the evaluation criteria is not identified or clearly defined. Moreover, the subjective approach is used while doing evaluation.

The Role of Education Authorities : Education authorities (i.e. the public educational administrations at the national, state or provincial level) has a crucial role in the conception and application of teachers appraisal. Many countries set student learning objectives, agree on standards for the teaching profession and establish the norms that regulate teacher appraisal. Educational authorities play a direct role in the implementation and monitoring of teacher appraisal procedures. This might include the design of specific appraisal tools and instruments, the determination of appraisal criteria, the distribution of appraisal duties, and the follow-up on appraisal results.

The Role of Inspectorates : The role of inspectorates in determining the procedures for the appraisal of individual teachers is typically limited. Most of the time, the inspectorate does not take responsibility for individual teacher appraisals but, instead, has an important role in stimulating both the quality of school leadership and the quality of teaching. This is typically done through feeding back the results of external school evaluation, mostly consisting of feedback on leadership and management, feedback on the quality of the teaching and learning processes, and feedback on school climate.

The Role of Teacher Professional Organizations : In some countries, teacher professional organizations take a lead role in determining procedures for teacher appraisal

and participating in teacher appraisal processes. Such involvement of teacher professional organizations or teaching councils is essential to ensure that appraisal processes are relevant for the teaching profession and to create ownership of such processes by the profession.

The Role of Schools and School Leadership : The role of schools leaders in teacher appraisal differs across countries. Strong pedagogical leadership is necessary to use the teacher appraisal process developmentally and avoid the image of a bureaucratic device. In other countries, school leaders take full responsibility for setting teacher appraisal processes.

2.5.11 Suggested Questions :

      1.   Discuss the concept of performance appraisal in detail.

      2.   Elaborate the role of performance appraisal at different organizations.

      3.   What are the objectives of performance appraisal at school level?

Fill in the blanks :

1.   _____is the assessment of individual's performance in a systematic way.

2.   Employee_____describes the overall satisfaction that employees feel at work.

3.   _____is an important part to our career success.

4.   _____ is the process of stimulating people to actions to accomplish the goals.

5.   _____main purpose of employee assessment.

Answer Key :

 1. Performance appraisal 2. Attitude 3. Human relation 4. Performance 5. Feedback

2.5.12 Reading Material :

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DOI : https:/doi.org/10.1787/9789264190658-9en

Virani, F. (2015, March). A Performance Evaluation Model for School Teachers : An Indian Perspective. In Second 21st Century Academic Forum Conference at Harvard (p. 495).

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