

# ***Principles of Management***



**Professor**

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# Principles of Management

## 1.1. An Introduction

Management is essential in all organized efforts, be it a business activity or any other activity. Principles of management are now universally used not for managing business organization, they are also applied to various other type of organizations, such as educational, social, military and Government.

Management is a critical element in the economic growth of a country. By bringing together the four factors of production management men, money, material, and machines enables a country to experience a level of economic development. Peter Drucker rightly observes that without management, a country's resources of production remains resources and never become production.

Management is the dynamic, life-giving element in every organization. It is the element that coordinates current organizational activities and plans future ones. In the words of Claude S. George, management is "the central core of our national as well as personal activities, and the way we manage ourselves and our institutions reflects with alarming clarity what we and our society will become."

## 1.2. What is Management?

Management has been defined by various authors/authorities in various ways. Following are few often-quoted definitions: Management guru, Peter Drucker, says the basic task of management includes both marketing and innovation. According to him, "Management is a multipurpose organ that manages a business and manages managers, and manages workers and work." Harold Koontz defined management as "the art of getting things done through and with people in formally organized groups."

All these definitions place an emphasis on the attainment of organizational goals/objectives through deployment of the management process (planning, organizing, directing, etc.) for the best use of organization's resources. Management makes human effort more fruitful thus effecting enhancements and development. see figure (1)

Management is the process of planning, organizing, leading, and controlling an organization's human, financial, physical, and information resources to achieve organizational goals in an efficient and effective manner.

**Figure(1) The process of management**

Functions Resources	Planning & decision making	Organizing	Directing	Controlling
Human	-	-	-	-
Physical	-	-	-	-
Financial	-	-	-	-
Information	-	-	-	-

Objectives

The principles of management are the means by which a manager actually manages, that is, get things done through others—individually, in groups, or in organizations.



### 1.2.1. Management Concept: points of view

- Management is a wide term. It is described as an “activity”, a “process”, and a “group of people” vested with the authority to make decisions.
- According to Mary Parker Follett, management is the “art of getting things done through people.”
- According to George R. Terry, management as a process “consist of planning, organizing, actuating and controlling, performed to determine and accomplish the objectives by the use of people and resources”.

- ✚ According to Louis Allen, "Management is what a manager does".
- ✚ According to Henry Fayol, "to manage is to forecast and plan, to organize, to command, to coordinate, and to control".
- ✚ According to James D. Mooney and Allan C. Reiley, "management is the art of directing and inspiring people".
- ✚ According to Harold Koontz, "Management is an art of getting things done through and with the people in formally organized groups. It is an art of creating an environment in which people can perform and individuals can co-operate towards attainment of group goals". Management is the process of reaching organizational goals by working with and through people and other organizational resources.

### **1.3. Is Management an Art or a Science?**

Like any other discipline such as law, medicine or engineering, managing is an art – at least that is what most people assume. Management concepts need to be artistically approached and practiced for its success. It is understood that managing is doing things artistically in the light of the realities of a situation. If we take a closer look at it, Management, when practiced, is definitely an art but its underlying applications, methods and principles are a science. It is also opined that management is an art struggling to become a science.

#### **1.3.1. Management as an Art**

The personal ingenious and imaginative power of the manager lends management the approach of an art. This creative power of the manager enriches his performance skill. In fact, the art of managing involves the conception of a vision of an orderly whole, created from chaotic parts and the communication and achievement of this vision. Managing can be called "art of arts" because it organizes and uses human talent, which is the basis of every artistic activity.

#### **1.3.2. Management as a Science**

Management is a body of systematized knowledge accumulated and established with reference to the practice and understanding of general truth concerning management. It is true that the science underlying managing is not as accurate or comprehensive as physical sciences (such as chemistry or biology) which deal with non-human entities. The involvement of the human angle makes management not only complex but also controversial as pure science. Nevertheless, the study of the scientific elements in management methodologies can certainly improve the practice of management.



### 1.3.3. Management as a Science and Art

Science urges us to observe and experiment a phenomenon, while art teaches us the application of human skill and imagination to the same. In order to be successful, every manager needs do things effectively and efficiently. This requires a unique combination of both science and art. We can say that the art of managing begins where the science of managing stops. As the science of managing is imperfect, the manager must turn to artistic managerial ability to perform a job satisfactorily.

## 2. Management – Roles of Manager

Every organization has ‘Managers’ who are entrusted with the responsibility of guiding and directing the organization to achieve its goal.



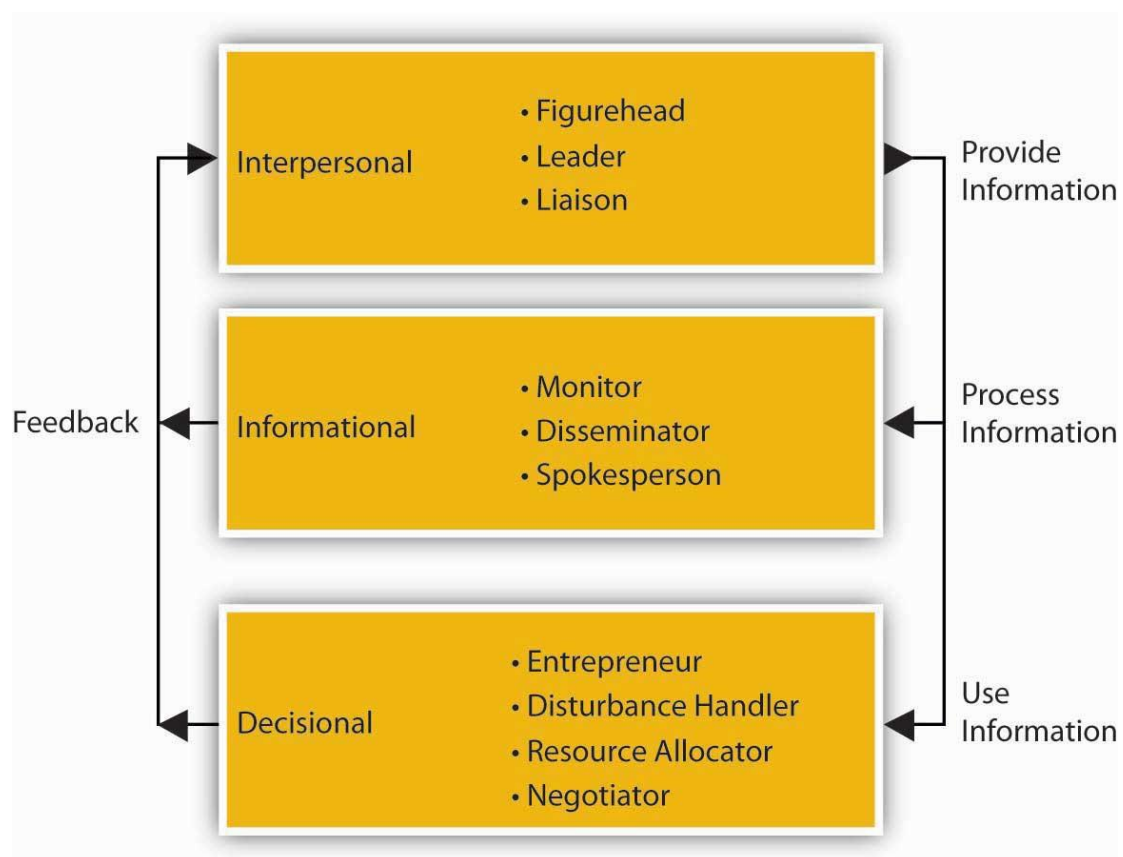
To meet the many demands of performing their functions, managers assume multiple roles. A role is an organized set of behaviors. Professor Henry Mintzberg, a great management researcher, after studying managers for several weeks concluded that, to meet the many demands of performing their functions, managers assume multiple roles. he identified ten roles common to the work of all managers. The ten roles are divided into three groups:



- ✓ Interpersonal
- ✓ Informational
- ✓ Decisional

The performance of managerial roles and the requirements of these roles can be played at different times by the same manager and to different degrees depending on the level and function of management. The ten roles are described individually, but they form an integrated whole.

**Figure (2) Manager roles**



### 2.1. Interpersonal Roles

The interpersonal roles link all managerial work together. The three interpersonal roles are primarily concerned with interpersonal relationships.

✓ **Figurehead Role:** The manager represents the organization in all matters of formality.

The top level manager represents the company legally and socially to those outside of

the organization. The supervisor represents the work group to higher management and

higher management to the work group.

✓ **Liaison Role:** The manager interacts with peers and people outside the organization.

The top level manager uses the liaison role to gain favours and information, while the

supervisor uses it to maintain the routine flow of work.

✓ **The leader Role:** It defines the relationships between the manager and employees.

## 2.2. Informational Roles

The informational roles ensure that information is provided. The three informational

roles are primarily concerned with the information aspects of managerial work.

✓ **Monitor Role:** The manager receives and collects information about the operation of an enterprise.

✓ **Disseminator Role:** The manager transmits special information into the organization.

The top level manager receives and transmits more information from people outside the organization than the supervisor.

✓ **Spokesperson Role:** The manager disseminates the organization's information into its environment. Thus, the top level manager is seen as an industry expert, while the supervisor is seen as a unit or departmental expert.

## 2.3. Decisional Roles

The decisional roles make significant use of the information and there are four decisional roles.

✓ **Entrepreneur Role:** The manager initiates change, new projects; identify new ideas, delegate idea responsibility to others.

✓ **Disturbance Handler Role:** The manager deals with threats to the organization. The manager takes corrective action during disputes or crises; resolve conflicts among subordinates; adapt to environmental crisis.

✓ **Resource Allocator Role:** The manager decides who gets resources; schedule, budget set priorities and chooses where the organization will apply its efforts.

✓ **Negotiator Role:** The manager negotiates on behalf of the organization.

The top level manager makes the decisions about the organization as a whole, while the supervisor makes decisions about his or her particular work unit.

#### 2.4. The Changing Roles of Management and Managers

Every organization has three primary interpersonal roles that are concerned with interpersonal relationships. The manager in the figurehead role represents the organization in all matters of formality. The top-level manager represents the company legally and socially to the outside world that the organization interacts with. In the supervisory role, the manager represents his team to the higher management. He acts as a liaison between the higher management and his team. He also maintains contact with his peers outside the organization.

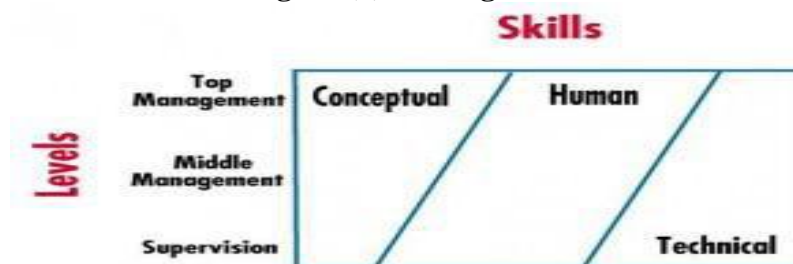
**Figure (3) Changing Roles of Management**



#### 3. Managerial skills

Managers at every level in the management hierarchy must exercise three basic types of skills: technical, human, and conceptual. All managers must acquire these skills in varying proportions, although the importance of each category of skill changes at different management levels.

**Figure (4) Managerial Skills**



**Skill Distribution at Various Management Levels**



### **3.1. Technical skills**

- ✓ Technical skills refer to the ability and knowledge in using the equipment, techniques and procedure involved in performing specific tasks.
- ✓ These skills require specialized knowledge and proficiency in the mechanics of a particular.
- ✓ Technical skills lose relative importance at higher levels of the management hierarchy, but most top executives started out as technical experts.

### **3.2. Human skills**

- ✓ Human skills refer to the ability of a manager to work effectively with other people both as individual and as members of a group.
- ✓ Human skills are concerned with understanding of people.
- ✓ These are required to win cooperation of others and to build effective work teams.

### **3.3. Conceptual skills.**

- ✓ Conceptual skills involve the ability to see the whole organization and the interrelationships between its parts.
- ✓ These skills refer to the ability to visualize the entire picture or to consider a situation in its totality.
- ✓ These skills help the managers to analyze the environment and to identify the opportunities.
- ✓ Conceptual skills are especially important for top-level managers, who must develop long-range plans for the future direction of their organization.

## **4. Evolution of Management Thought**

### **4.1. The Founders**

The beginning of the modern organization occurred primarily during the middle of the nineteenth century with the rise of the factory system, principally in the textile industry, where automation and mass production became the cornerstone of productivity. Management thinking, however, was slow to evolve during the century. The need existed to define what management was in the first instance as well as to operationalize it in meaningful terms for an organization. During this period two principal management theorists took up this challenge and emerged as the so-called Pre-Classicists of management thought.

### **4.2. Pre-Classicists**

In the nineteenth century, Robert Owen and Charles Babbage seriously addressed the quest for the development of management theory. Owen was an entrepreneur and social reformer while Babbage was a noted mathematician with a strong managerial interest.

#### **4.2.1. Robert Owen (1771-1858)**

Robert Owen's ideas stemmed from his ownership of a cotton mill in New Lanark, Scotland where he developed a strong interest in the welfare of the 400 to 500 child employees. Owen spearheaded a legislative movement to limit child employment to those over the age of ten while reducing the workday to 10 1/2 hours.

In 1813 Owen published a pamphlet, *A New View of Society*, where he described his vision of society. He also became active in improving living conditions of employees through the implementation of improvements in housing, sanitation, public works and establishing schools for the children. Owen strongly believes that character is a product of circumstances and that environment and early education is critical in forming good character.

While being extremely controversial during his lifetime, Owen is credited with being the forerunner of the modern human relations school of management.

#### **4.2.2. Charles Babbage (1792-1871)**

Charles Babbage, a noted English mathematician, is credited as being the "father of the modern computer" for performing the fundamental research for the first practical mechanical calculator as well as doing basic research and development on an "analytical engine" acknowledged to be the forerunner of today's modern computer.

His interest in management stemmed largely from his concerns with work specialization or the degree to which work is divided into its parts. This is

now recognized as being the forerunner of contemporary operations research.

Babbage's other major management contribution came from the development of a modern profit-sharing plan including an employee bonus for useful suggestions as well as a share of the company's profits.

While both Owen and Babbage were important nineteenth century management innovators, their efforts lacked the central tenets of a theory of management. Owen was primarily credited with making specific suggestions regarding management techniques in the areas of human relations while Babbage is credited with developing the concepts of specialization of labor and profit sharing. These pre-classicists paved the way for the theoretical ferment of the classical school of management.

### **4.3. Management – Classical Schools of Thought**

Management as a practice gained ground when the concept of working together in groups to achieve common objectives was realized by men. But the study of management as a systematic field of knowledge began at the advent of the Industrial Revolution, which ushered in a new era of serious thinking and theorizing on management.

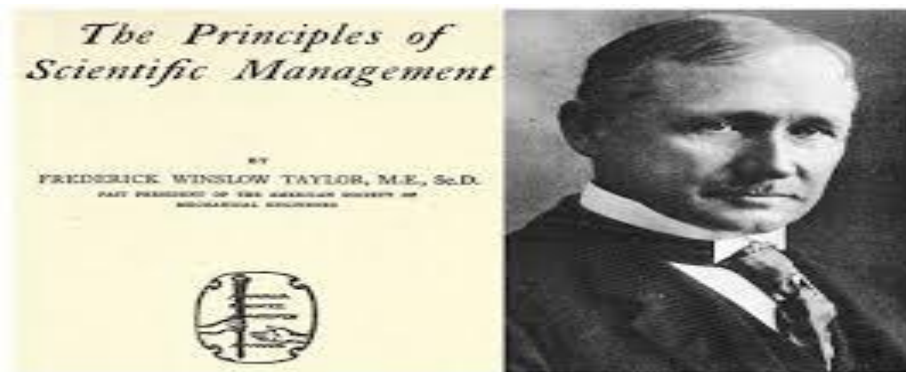
To begin with, there is no single universally accepted theory of management. "The wild array of management theories could even look like a jungle" says Harold Koontz. However, to help put the different theories in perspective, we shall discuss them as representing different schools of thought.

#### **4.3.1. Scientific Management and F. W. Taylor**

Scientific management, according to an early definition, refers to "that kind of management which conducts a business or affairs by standards established by facts or truths gained through systematic observation, experiment, or reasoning." Advocators of this school of thought attempted to raise labor efficiency primarily by managing the work of employees on the shop floor.

A member of the highest social class (Aristocratic) engineer, Frederick W. Taylor (1856–1915) of Midvale steel company in Philadelphia is generally acknowledged as "the father of scientific management" believed that organizations should study tasks and prepare precise procedures. His varied experience gave him ample opportunity to have firsthand knowledge and intimate insight into the problems and attitude of workers, and to explore great possibilities for improving the quality of management in the workplace. Formulating his theory based on firsthand

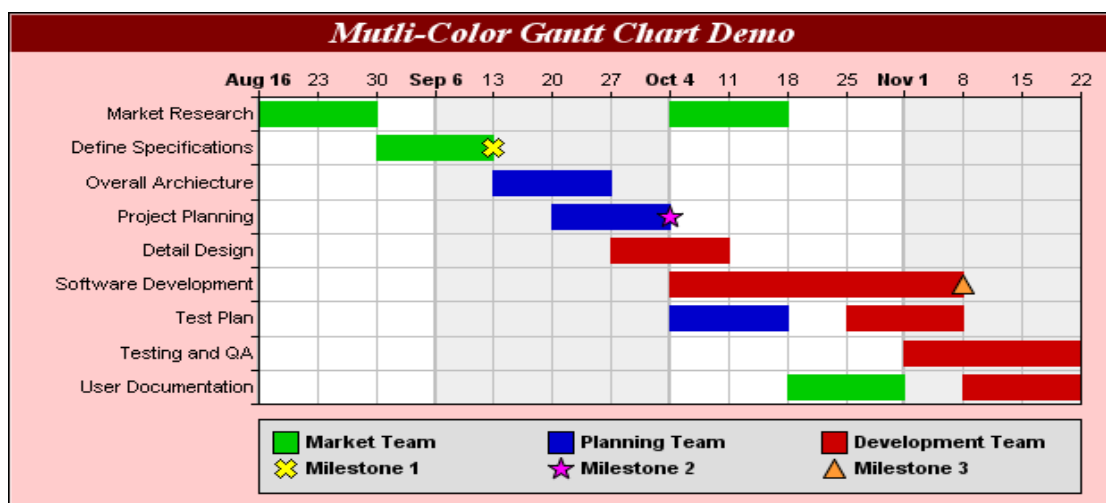
experience, Taylor's theory focused on ways to increase the efficiency of employees by molding their thought and scientific management.



**Frederick , W .Taylor**

2. Henry Gantt, an associate of Taylor, developed the Gantt Chart, a bar graph that measures planned and completed work along with each stage of production. This visual display chart has been a widely used control and planning tool since its development in 1910. Following is a sample of Gantt Chart.

**Figure (5) Gantt Chart**



3. **Frank Gilbreth (1868–1924) and his wife Lillian Gilbreth (1878–1972)** further improvised on Taylor's time studies, devising "motion studies" by photographing the individual movements of each worker. They carefully analyzed the motions and eliminated unnecessary ones. These motion studies were preceded by timing each task, so the studies were called "time and motion studies." Applying time and motion studies to bricklaying, the Gilbreth devised a way for workers to lay bricks that eliminated wasted motion and raised their productivity from 1,000 bricks per day to 2,700 bricks per day.

The Gilbreths often filmed a worker performing a particular task and then separated the task actions, frame by frame, into their component movements. Their goal was to maximize the efficiency with which each individual task was performed so that gains across tasks would add up to enormous savings of time and effort. Their attempts to develop improved management principles were captured—at times quite humorously—in the movie *Cheaper by the Dozen*, which depicts how the Gilbreths (with their 12 children) tried to live their own lives according to these efficiency principles and apply them to daily actions such as shaving, cooking, and even raising a family.



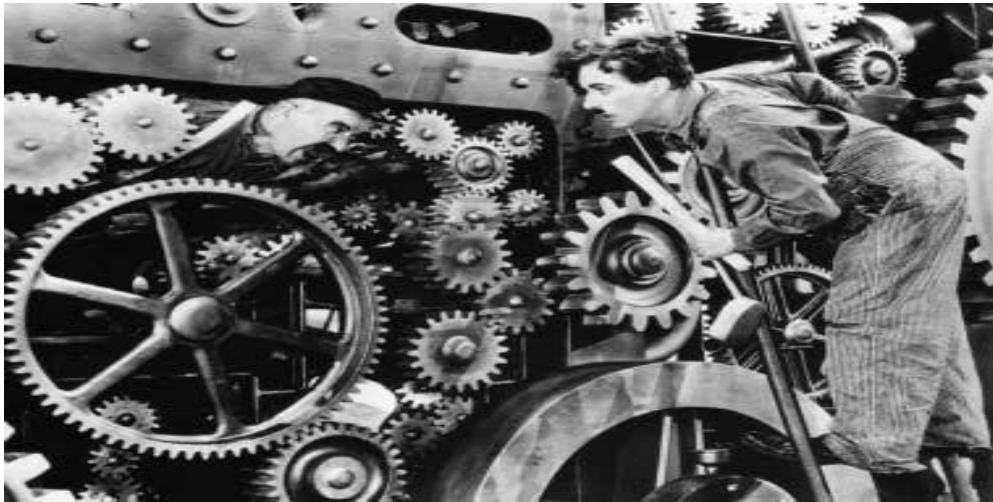
A scene from *Cheaper by the Dozen* illustrating how “efficient families,” such as the Gilbreths, use formal family courts to solve problems of assigning chores to different family members and to solve disputes when they arise.

## The Gilbreths

### The Basic Principles of Scientific Management

- Developing new standard method of doing each job.
- Selecting training and developing workers instead of allowing them to self-train and choose their own tasks.
- Develop cooperation between workers and management.
- Division of work on the basis of the group that is best fitted to do the job.





**Charlie Chaplin**

### **4.3.2. The Theory of Bureaucracy**

**Max Weber (1864–1920)** wrote at the turn of the twentieth century, when Germany was undergoing its industrial revolution.<sup>22</sup> To help Germany manage its growing industrial enterprises at a time when it was striving to become a world power, Weber developed the principles of bureaucracy—a formal system of organization and administration designed to ensure efficiency and effectiveness.



**Bureaucratic  
Theory  
Max Weber (1864-  
1920)**

A bureaucratic system of administration is based on five principles:

- **Principle 1:** In a bureaucracy, a manager's formal authority derives from the position he or she holds in the organization.

**Authority** is the power to hold people accountable for their actions and to make decisions concerning the use of organizational resources. Authority gives managers the right to direct and control their subordinates' behavior to achieve organizational goals. In a bureaucratic system of

administration, obedience is owed to a manager, not because of any personal qualities that he or she might possess— such as personality, wealth, or social status—but because the manager occupies a position that is associated with a certain level of authority and responsibility.

- **Principle 2:** In a bureaucracy, people should occupy positions because of their performance, not because of their social standing or personal contacts.

This principle was not always followed in Weber's time and is often ignored today. Some organizations and industries are still affected by social networks in which personal contacts and relations, not job-related skills, influence hiring and promotional decisions.

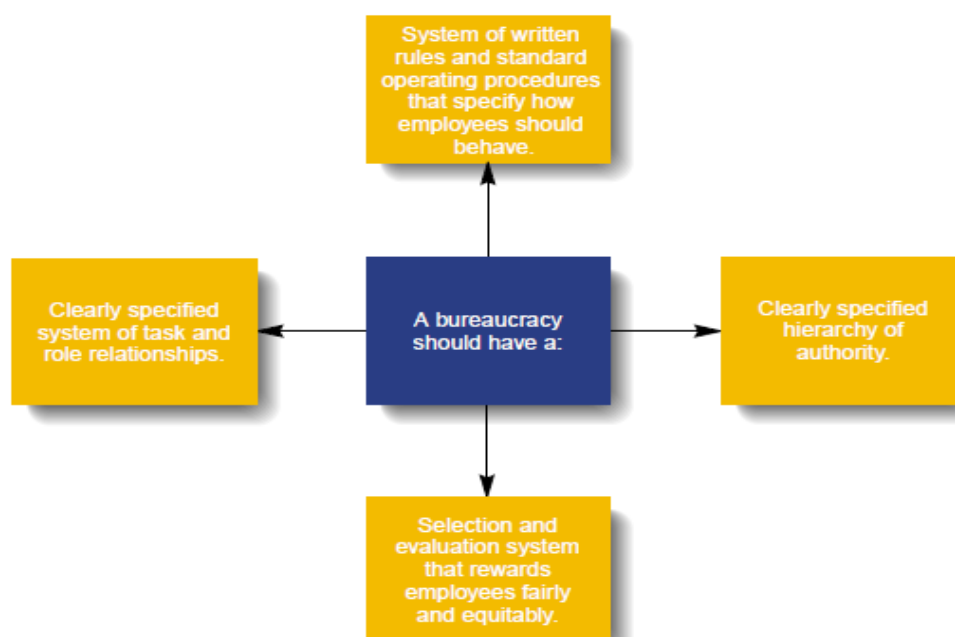
- **Principle 3:** The extent of each position's formal authority and task responsibilities, and its relationship to other positions in an organization, should be clearly specified.

When the tasks and authority associated with various positions in the organization are clearly specified, managers and workers know what is expected of them and what to expect from each other. Moreover, an organization can hold all its employees strictly accountable for their actions when each person is completely familiar with his or her responsibilities.

**Figure (6) Bureaucracy Principles**

**Weber's Principles of Bureaucracy**

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- **Principle 4:** So that authority can be exercised effectively in an organization, positions should be arranged hierarchically, so employees know whom to report to and who reports to them.

Managers must create an organizational hierarchy of authority that makes it clear who reports to whom and to whom managers and workers should go if conflicts or problems arise. This principle is especially important in the armed forces, CSIS, RCMP, and other organizations that deal with sensitive issues involving possible major repercussions. It is vital that managers at high levels of the hierarchy be able to hold subordinates accountable for their actions.

- **Principle 5:** Managers must create a well-defined system of rules, standard operating procedures, and norms so that they can effectively control behaviour within an organization.

Rules are formal written instructions that specify actions to be taken under different circumstances to achieve specific goals (for example, if A happens, do B ). Standard operating procedures (SOPs) are specific sets of written instructions about how to perform a certain aspect of a task. A rule might state that at the end of the workday employees are to leave their machines in good order, and a set of SOPs then specifies exactly how they should do so, itemizing which machine parts must be oiled or replaced. Norms are unwritten, informal codes of conduct that prescribe how people should act in particular situations. For example, an organizational norm in a restaurant might be that waiters should help each other if time permits.

Rules, SOPs, and norms provide behavioural guidelines that improve the performance of a bureaucratic system because they specify the best ways to accomplish organizational tasks. Companies such as McDonald's and Wal-Mart have developed extensive rules and procedures to specify the types of behaviours that are required of their employees, such as, "Always greet the customer with a smile."

Weber believed that organizations that implement all five principles will establish a bureaucratic system that will improve organizational performance. The specification of positions and the use of rules and SOPs to regulate how tasks are performed make it easier for managers to organize and control the work of subordinates. Similarly, fair and equitable selection and promotion systems improve managers' feelings of

security, reduce stress, and encourage organizational members to act ethically and further promote the interests of the organization. If bureaucracies are not managed well, however, many problems can result.

Sometimes, managers allow rules and SOPs—“bureaucratic red tape”—to become so cumbersome that decision making becomes slow and inefficient and organizations are unable to change. When managers rely too much on rules to solve problems and not enough on their own skills and judgment, their behaviour becomes inflexible. A key challenge for managers is to use bureaucratic principles to benefit, rather than harm, an organization.

#### **4.3.3. Departmentalization school : Henry Fayol’s Theory**

One of the oldest and most popular approaches Working at the same time as Weber but independently of him, Henri Fayol (1841–1925), the CEO of Comambault Mining , His theory holds that administration of all organizations – whether public or private, large or small – requires the same rational process or functions.



**Henry Fayol**

This school of thought is based on two assumptions:

- Although the objective of an organization may differ (for example, business, government, education, or religion), yet there is a core management process that remains the same for all institutions.
- Successful managers, therefore, are interchangeable among organizations of differing purposes. The universal management process can be reduced to a set of separate functions and related principles.

Fayol identifies fourteen universal principles of management, which are aimed at showing managers how to carry out their functional duties.

1. Specialization of labor	This improves the efficiency of labor through specialization, reducing labor time and increasing skill development.
2. Authority	This is the right to give orders which always carry responsibility commensurate with its privileges.
3. Discipline	It relies on respect for the rules, policies, and agreements that govern an organization. Fayol ordains that discipline requires good superiors at all levels.
4. Unity of command	This means that subordinates should receive orders from one superior only, thus avoiding confusion and conflict.
5. Unity of direction	This means that there should be unity in the directions given by a boss to his subordinates. There should not be any conflict in the directions given by a boss.
6. Subordination of individual interest to common good	According to this principle, the needs of individuals and groups within an organization should not take precedence over the needs of the organization as a whole.



7. Remuneration	Wages should be equitable and satisfactory to employees and superiors.
8. Centralization	Levels at which decisions are to be made should depend on the specific situation, no level of centralization or decentralization is ideal for all situations.
9. Scale of chain	The relationship among all levels in the organizational hierarchy and exact lines of authority should be unmistakably clear and usually followed at all times, excepting special circumstances when some departure might be necessary.
10. Order	There should be a place for everything, and everything should be in its place. This is essentially a principle of organization in the arrangement of things and people.
11. Equity	Employees should be treated equitably in order to elicit loyalty and devotion from personnel.
12. Personal tenure	Views unnecessary turnover to be both the cause and the effect of bad management; Fayol points out its danger and costs.
13. Initiative	Subordinates should be encouraged to conceive and carryout ideas.
14. Esprit de corps	Team work, a sense of unity and togetherness, should be fostered and maintained.

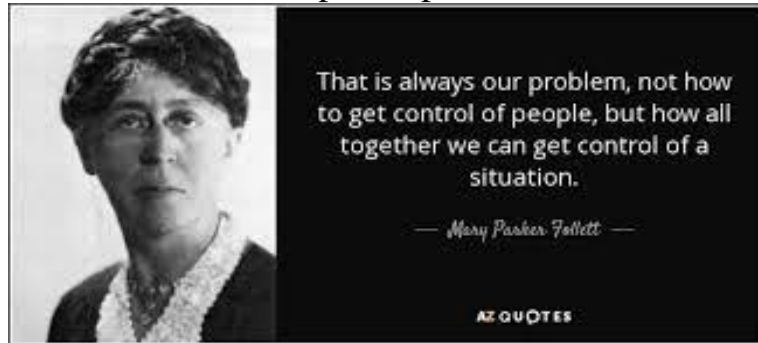
## 4.4. Behavioral Management Theory

The behavioural management theorists writing in the first half of the twentieth century all espoused a theme that focused on how managers should personally behave in order to motivate employees and encourage them to perform at high levels and be committed to the achievement of organizational goals. The “Management Insight” indicates how employees can become demoralized when managers do not treat their employees properly.

### 4.4.1. The Work of Mary Parker Follett

If F.W. Taylor is considered to be the father of management thought, Mary Parker Follett (1868–1933) serves as its mother. Much of her writing about management and about the way managers should behave toward workers was a response to her concern that Taylor was ignoring

the human side of the organization. She pointed out that management often overlooks the multitude of ways in which employees can contribute to the organization when managers allow them to participate and exercise initiative in their everyday work lives.<sup>29</sup> Taylor, for example, relied on time-and-motion experts to analyze workers' jobs for them. Follett, in contrast, argued that because workers know the most about their jobs, they should be involved in job analysis and managers should allow them to participate in the work development process.



### **Mary Parker Follett**

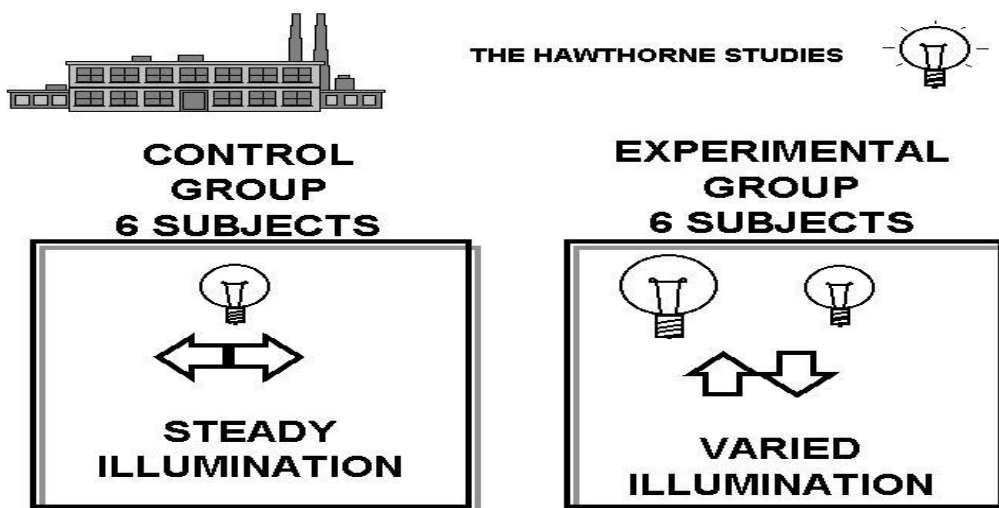
Follett proposed that, “Authority should go with knowledge ... whether it is up the line or down.” In other words, if workers have the relevant knowledge, then workers, rather than managers, should be in control of the work process itself, and managers should behave as coaches and facilitators—not as monitors and supervisors. In making this statement, Follett anticipated the current interest in self managed teams and empowerment. She also recognized the importance of having managers in different departments communicate directly with each other to speed decision making. She advocated what she called “cross-functioning”: members of different departments working together in cross-departmental teams to accomplish projects—an approach that is increasingly utilized today. Fayol also mentioned expertise and knowledge as important sources of managers’ authority, but Follett went further. She proposed that knowledge and expertise, and not managers’ formal authority deriving from their position in the hierarchy, should decide who would lead at any particular moment. She believed, as do many management theorists today, that power is fluid and should flow to the person who can best help the organization achieve its goals. Follett took a horizontal view of power and authority, in contrast to Fayol, who saw the formal line of authority and vertical chain of command as being most essential to effective management. Follett’s behavioural approach to management was very radical for its time.

#### **4.4.2. The Hawthorne Studies and Human Relations**

Probably because of its radical nature, Follett’s work was unappreciated by managers and researchers until quite recently. Instead, researchers

continued to follow in the footsteps of Taylor and the Gilbreths. One focus was on how efficiency might be increased through improving various characteristics of the work setting, such as job specialization or the kinds of tools workers used. One series of studies was conducted from 1924 to 1932 at the Hawthorne Works of the Western Electric Company. This research, now known as the Hawthorne studies, began as an attempt to investigate how characteristics of the work setting—specifically the level of lighting or illumination—affect worker fatigue and performance. The researchers conducted an experiment in which they systematically measured worker productivity at various levels of illumination.

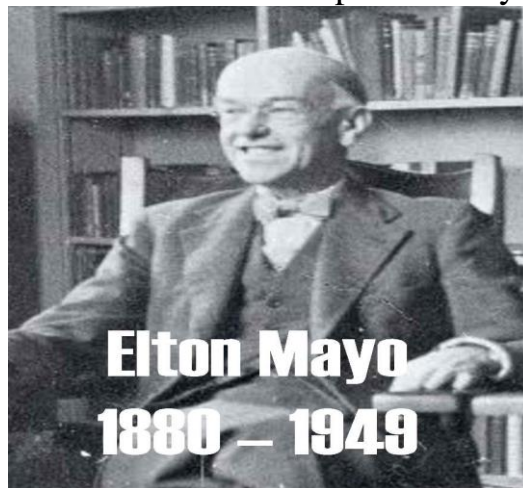
The experiment produced some unexpected results. The researchers found that regardless of whether they raised or lowered the level of illumination, productivity increased. In fact, productivity began to fall only when the level of illumination dropped to the level of moonlight, a level at which presumably workers could no longer see well enough to do their work efficiently.



### Hawthorne Studies

**Elton Mayo:** The researchers found these results puzzling and invited a noted Harvard psychologist, Elton Mayo, to help them. Subsequently, it was found that many other factors also influence worker behaviour, and it was not clear what was actually influencing the Hawthorne workers' behaviour. However, this particular effect—which became known as the Hawthorne effect—seemed to suggest that workers' attitudes toward their managers affect the level of workers' performance. In particular, the significant finding was that a manager's behaviour or leadership approach can affect performance. This finding led many researchers to turn their attention to managerial behaviour and leadership. If supervisors could be trained to behave in ways that would elicit cooperative behaviour from their subordinates, then productivity could be increased. From this view

emerged the human relations movement, which advocates that supervisors be behaviorally trained to manage subordinates in ways that elicit their cooperation and increase their productivity.



**Elton Mayo**

The importance of behavioural or human relations training became even clearer to its supporters after another series of experiments—the bank wiring room experiments. In a study of workers making telephone switching equipment, researchers Elton Mayo and F.J. Roethlisberger discovered that the workers, as a group, had deliberately adopted a norm of output restriction to protect their jobs.

Workers who violated this informal production norm were subjected to sanctions by other group members. Those who violated group performance norms and performed above the norm were called “ratebusters”; those who performed below the norm were called “chiselers.”

The experimenters concluded that both types of workers threatened the group as a whole. Ratebusters threatened group members because they revealed to managers how fast the work could be done. Chiselers were looked down on because they were not doing their share of the work. Work-group members disciplined both ratebusters and chiselers in order to create a pace of work that the workers (not the managers) thought was fair. Thus, a work group’s influence over output can be as great as the supervisors’ influence. Since the work group can influence the behavior of its members, some management theorists argue that supervisors should be trained to behave in ways that gain the goodwill and cooperation of workers so that supervisors, not workers, control the level of work-group performance.

One of the main implications of the Hawthorne studies was that the behavior of managers and workers in the work setting is as important in explaining the level of performance as the technical aspects of the task. Managers must understand the workings of the informal organization, the system of behavioural rules and norms that emerge in a group, when they try to manage or change behaviour in organizations.

Many studies have found that, as time passes, groups often develop elaborate procedures and norms that bond members together, allowing unified action either to cooperate with management in order to raise performance or to restrict output and thwart the attainment of organizational goals. The Hawthorne studies demonstrated the importance of understanding how the feelings, thoughts, and behaviour of work-group members and managers affect performance. It was becoming increasingly clear to researchers that understanding behaviour in organizations is a complex process that is critical to increasing performance. Indeed, the increasing interest in the area of management known as organizational behaviour, the study of the factors that have an impact on how individuals and groups respond to and act in organizations, dates from these early studies.

#### **4.4.3. Chester Barnard and Social Systems Theory**

One of the most important contributions to this school has been made by Chester I. Barnard. His classic treatise entitled "The Functions of the Executive", published in 1938, is considered by some management scholars as one of the most influential books published in the entire field of management. Like Fayol, Barnard based his theories and approach to management on the basis of his first-hand experience as a top-level executive.

#### **Fundamentals of System Approach:**

- ☐ All organizations are a co-operative system.
- ☐ As co-operative systems, organizations are a combination of complex physical, biological, personal and social components, which are in a specific systematic relationship by reason of the co-operation of two or more persons for at least one definite end.



□ An employee's role and his co-operation are a strategic factor in achieving organizational objectives.

## **4.5. Organizational Environment Theory**

An important milestone in the history of management thought occurred when researchers went beyond the study of how managers can influence behavior within organizations to consider how managers control the organization's relationship with its external environment, or organizational environment—the set of forces and conditions that operate beyond an organization's boundaries but affect a manager's ability to acquire and utilize resources. Resources in the organizational environment include the raw materials and skilled people that an organization requires to produce goods and services, as well as the support of groups including customers who buy these goods and services and provide the organization with financial resources. One way of determining the relative success of an organization is to consider how effective its managers are at obtaining scarce and valuable resources. The importance of studying the environment became clear after the development of open-systems theory and contingency theory during the 1960s.

### **4.5.1. The Open-Systems View**

One of the most influential views of how an organization is affected by its external environment was developed by Daniel Katz, Robert Kahn, and James Thompson in the 1960s.<sup>38</sup> These theorists viewed the organization as an open system—a system that takes in resources from its external environment and converts or transforms them into goods and services that are then sent back to that environment, where they are bought by customers (see Figure below).

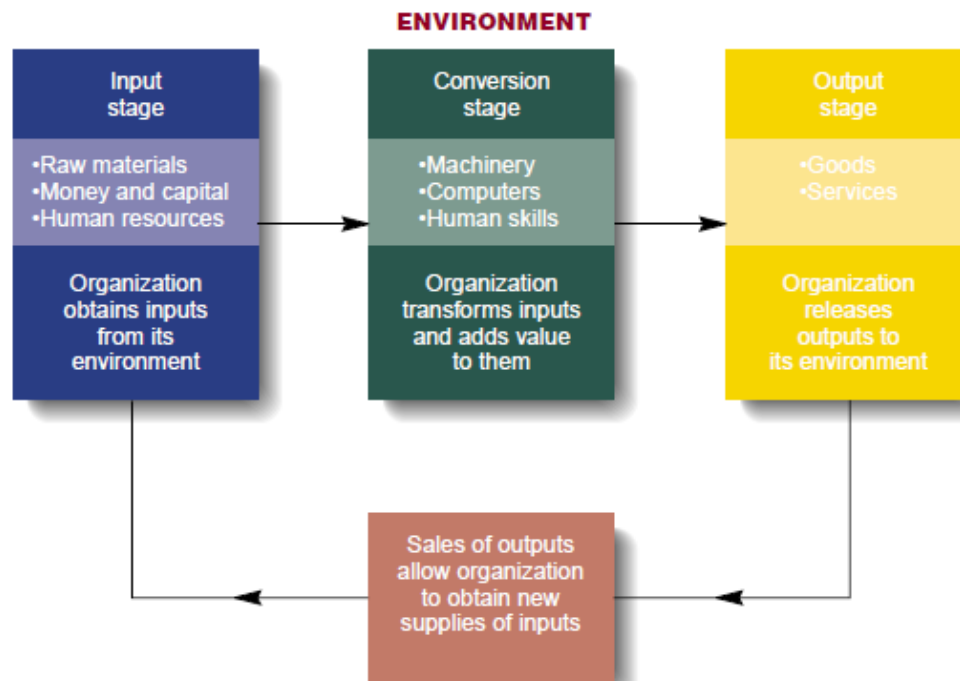
At the input stage, an organization acquires resources such as raw materials, money, and skilled workers to produce goods and services. Once the organization has gathered the necessary resources, conversion begins. At the conversion stage, the organization's workforce, using appropriate tools, techniques, and machinery, transforms the inputs into outputs of finished goods and services such as cars, hamburgers, or flights to Hawaii. At the output stage, the organization releases finished goods and services to its external environment, where customers purchase and use them to satisfy their needs. The money the organization obtains

from the sales of its outputs allows the organization to acquire more resources so that the cycle can begin again.

The system just described is said to be “open” because the organization draws from and interacts with the external environment in order to survive; in other words, the organization is open to its environment. A closed system, in contrast, is a self-contained system that is not affected by changes that occur in its external environment. Organizations that operate as closed systems, that ignore the external environment and that fail to acquire inputs, are likely to experience entropy, the tendency of a system to lose its ability to control itself and thus to dissolve and disintegrate.

**Figure (7) Open System**

**The Organization as an Open System**



Management theorists can model the activities of most organizations by using the open-systems view. Manufacturing companies like Ford and General Electric, for example, buy inputs such as component parts, skilled and semiskilled labour, and robots and computer-controlled manufacturing equipment; then, at the conversion stage, they use their manufacturing skills to assemble inputs into outputs of cars and computers. As we discuss in later chapters, competition between organizations for resources is one of several major challenges to managing the organizational environment.

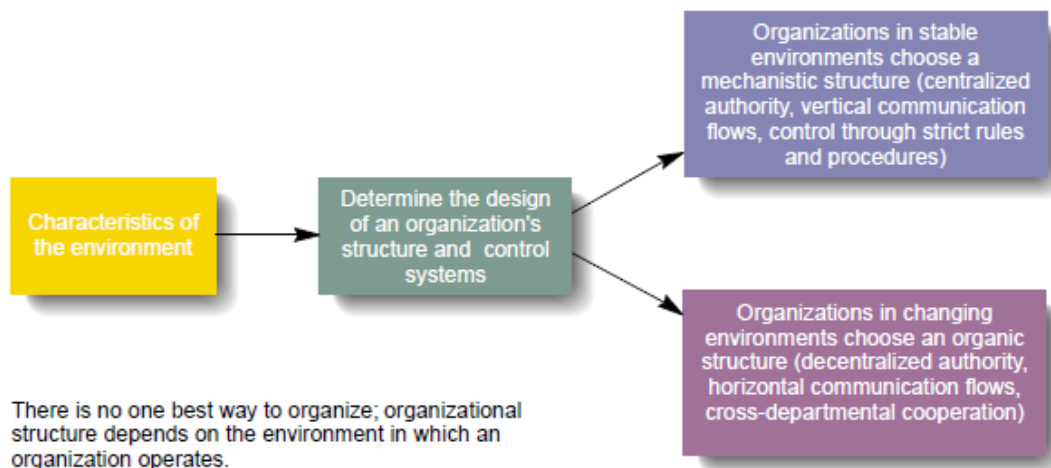
Researchers using the open-systems view are also interested in how the various parts of a system work together to promote efficiency and effectiveness. Systems theorists like to argue that “the parts are more than the sum of the whole”; they mean that an organization performs at a higher level when its departments work together rather than separately. Synergy, the performance gains that result when individuals and departments coordinate their actions, is possible only in an organized system. The recent interest in using teams comprising people from different departments reflects systems theorists’ interest in designing organizational systems to create synergy and thus increase efficiency and effectiveness.

#### **4.6. Contingency Theory**

Another milestone in management theory was the development of contingency theory in the 1960s by Tom Burns and G.M. Stalker in the United Kingdom and Paul Lawrence and Jay Lorsch in the United States.<sup>39</sup> The crucial message of contingency theory is that there is no one best way to organize: The organizational structures and the control systems that managers choose depend on—are contingent on—characteristics of the external environment in which the organization operates.

According to contingency theory, the characteristics of the environment affect an organization’s ability to obtain resources. To maximize the likelihood of gaining access to resources, managers must allow an organization’s departments to organize and control their activities in ways most likely to allow them to obtain resources, given the constraints of the particular environment they face. In other words, how managers design the organizational hierarchy, choose a control system, and lead and motivate their employees is contingent on the characteristics of the organizational environment (see Figure below).

**Figure (8) Contingency Theory**



An important characteristic of the external environment that affects an organization's ability to obtain resources is the degree to which the environment is changing. Changes in the organizational environment include: changes in technology, which can lead to the creation of new products (such as compact discs) and result in the obsolescence of existing products (eight-track tapes); the entry of new competitors (such as foreign organizations that compete for available resources); and unstable economic conditions. In general, the more quickly the organizational environment is changing, the greater are the problems associated with gaining access to resources and the greater is the manager's need to find ways to coordinate the activities of people in different departments in order to respond to the environment quickly and effectively.

The basic idea behind contingency theory—that there is no one best way to design or lead an organization—has been incorporated into other areas of management theory, including leadership theories.

#### **4.6.1. MECHANISTIC AND ORGANIC STRUCTURES**

Drawing on Weber's and Fayol's principles of organization and management, Burns and Stalker proposed two basic ways in which managers can organize and control an organization's activities to respond to characteristics of its external environment: They can use a mechanistic structure or an organic structure.<sup>40</sup> As you will see, a mechanistic structure typically rests on Theory X assumptions, and an organic structure typically rests on Theory Y assumptions.

When the environment surrounding an organization is stable, managers tend to choose a mechanistic structure to organize and control activities and make employee behaviour predictable. In a mechanistic structure, authority is centralized at the top of the managerial hierarchy, and the vertical hierarchy of authority is the main means used to control subordinates' behaviour. Tasks and roles are clearly specified, subordinates are closely supervised, and the emphasis is on strict discipline and order. Everyone knows his or her place, and there is a place for everyone. A mechanistic structure provides the most efficient way to operate in a stable environment because it allows managers to obtain inputs at the lowest cost, giving an organization the most control over its conversion processes and enabling the most efficient production of goods and services with the smallest expenditure of resources. McDonald's restaurants operate with a mechanistic structure. Supervisors make all important decisions; employees are closely supervised and follow well-defined rules and standard operating procedures.

In contrast, when the environment is changing rapidly, it is difficult to obtain access to resources, and managers need to organize their activities in a way that allows them to cooperate, to act quickly to acquire resources (such as new types of inputs to produce new kinds of products), and to respond effectively to the unexpected.

In an organic structure, authority is decentralized to middle and first-line managers to encourage them to take responsibility and act quickly to pursue scarce resources. Departments are encouraged to take a cross-departmental or functional perspective, and, as in Mary Parker Follett's model, authority rests with the individuals and departments best positioned to control the current problems the organization is facing. In an organic structure, control is much looser than it is in a mechanistic structure, and reliance on shared norms to guide organizational activities is greater.

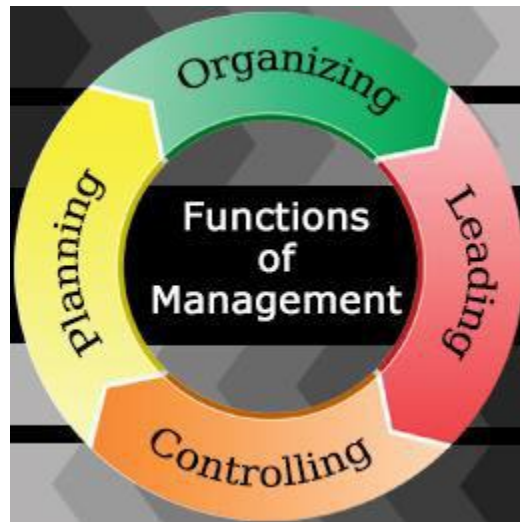
Managers in an organic structure can react more quickly to a changing environment than can managers in a mechanistic structure. However, an organic structure is generally more expensive to operate, so it is used only when needed—when the organizational environment is unstable and rapidly changing. To facilitate global expansion, managers at Philips (a Dutch electronics company) were forced to change from a mechanistic to



an organic structure, and their experience illustrates the different properties of these structures.

## CHAPTER II

### Managerial Functions



## 2.1. Planning

### 2.1.1. Introduction

Every organization as part of its life cycle constantly engages in the four essential functions of management – planning, leading, organizing and controlling. The foremost of this is planning. It is the part of management concerned with creating procedures, rules and guidelines for achieving a stated objective. All other managerial functions must be planned if they are to be effective. Managers at all levels engage in planning as objectives and goals have to be set up for the day to-day activities as well as the broader long-term initiatives.



### 2.1.2. What is Planning?

Planning is the most basic of all managerial functions which involves establishing goals, setting out objectives and defining the methods by which these goals and objectives are to be attained. It is, therefore, a rational approach to achieving pre-selected objectives.

Planning involves selecting missions and objectives and the actions to achieve them. An important aspect of planning is decision making - that is, choosing the right alternatives for the future course of action.

### 2.1.3. Nature of Planning

A plan is like a map. When following a plan, you can always see how much you have progressed towards your project goal and how far you are from your destination. One more reason why you need planning is again the 80/20 Rule. It is well established that for unstructured activities 80 percent of the effort give less than 20 percent of the valuable outcome. It is much easier to adjust your plan to avoid or smoothen a coming crisis, rather than to deal with the crisis when it comes unexpected. the nature of planning can be highlighted by the following:

- ✓ **Planning is goal-oriented:** Every plan must contribute in some positive way towards the accomplishment of group objectives. Planning has no meaning without being related to goals.
- ✓ **Primacy of Planning:** Planning is the first of the managerial functions. It precedes all other management functions.
- ✓ **Pervasiveness of Planning:** Planning is found at all levels of management. **Top management** looks after strategic planning. **Middle management** is in charge of administrative planning. **Lower management** has to concentrate on operational planning.
- ✓ **Efficiency, Economy and Accuracy:** Efficiency of plan is measured by its contribution to the objectives as economically as possible. Planning also focuses on accurate forecasts.
- ✓ **Co-ordination:** Planning co-ordinates the what, who, how, where and why of planning. Without co-ordination of all activities, we cannot have united efforts.
- ✓ **Limiting Factors:** A planner must recognize the limiting factors (money, manpower etc) and formulate plans in the light of these critical factors.
- ✓ **Flexibility:** The process of planning should be adaptable to changing environmental conditions.
- ✓ **Planning is an intellectual process:** The quality of planning will vary according to the quality of the mind of the manager.

#### 2.1.4. Types of Plans

Plans commit the various resources in an organization to specific outcomes for the fulfillment of future goals. Many different types of plans are adopted by management to monitor and control organizational activities. Three such most commonly used plans are hierarchical, frequency-of-use (repetitiveness) and contingency plans.

**Figure (8) Types of Plans**



##### 2.1.4.1. Strategic Plans

Strategic plans define the framework of the organization's vision and how the organization intends to make its vision a reality.

- ☐ It is the determination of the long-term objectives of an enterprise, the action plan to be adopted and the resources to be mobilized to achieve these goals.
- ☐ Since it is planning the direction of the company's progress, it is done by the top management of an organization.
- ☐ It essentially focuses on planning for the coming years to take the organization from where it stands today to where it intends to be.
- ☐ The strategic plan must be forward looking, effective and flexible, with a focus on accommodating future growth.

##### 2.1.4.2. Tactical Plans

Tactical plans describe the tactics that the managers plan to adopt to achieve the objectives set in the strategic plan.

- Tactical plans span a short time frame (usually less than 3 years) and are usually developed by middle level managers.
- It details specific means or action plans to implement the strategic plan by units within each division.
- Tactical plans entail detailing resource and work allocation among the subunits within each division.

#### 2.1.4.3. Operational Plans

Operational plans are short-term (less than a year) plans developed to create specific action steps that support the strategic and tactical plans.

- They are usually developed by the manager to fulfill his or her job responsibilities.
- They are developed by supervisors, team leaders, and facilitators to support tactical plans.
- They govern the day-to-day operations of an organization.
- Operational plans can be:
  - **Standing plans** - Drawn to cover issues that managers face repeatedly, e.g. policies, procedures, rules.
  - **Ongoing plans** - Prepared for single or exceptional situations or problems and are normally discarded or replaced after one use, e.g. programs, projects, and budgets.



## **2.2 Decision Making**

The word decision has been derived from the Latin word "decidere" which means "cutting off". Thus, decision involves cutting off of alternatives between those that are desirable and those that are not desirable. In the words of George R. Terry, "Decision-making is the selection based on some criteria from two or more possible alternatives".

### **2.2.1. Characteristics of Decision Making**

- ✓ Decision making implies that there are various alternatives and the most desirable alternative is chosen to solve the problem or to arrive at expected results.
- ✓ The decision-maker has freedom to choose an alternative.
- ✓ Decision-making may not be completely rational but may be judgemental and emotional.
- ✓ Decision-making is goal-oriented.
- ✓ Decision-making is a mental or intellectual process because the final decision is made by the decision-maker.
- ✓ A decision may be expressed in words or may be implied from behaviour.
- ✓ Choosing from among the alternative courses of operation implies uncertainty about the final result of each possible course of operation.
- ✓ Decision making is rational. It is taken only after a thorough analysis and reasoning and weighing the consequences of the various alternatives.

## **2.10 Types of Decisions**

**2.10.1 Programmed decisions:** Programmed decisions are routine and repetitive and are made within the framework of organizational policies and rules. These policies and rules are established well in advance to solve recurring problems in the organization. Programmed decisions have short-run impact. They are, generally, taken at the lower level of management.

**2.10.2 Non-Programmed Decisions:** Non-programmed decisions are decisions taken to meet non-repetitive problems. Non-programmed decisions are relevant for solving unique/ unusual problems in which various alternatives cannot be decided in advance. A common feature of non-programmed decisions is that they are novel and non recurring and therefore, readymade solutions are not available. Since these decisions are of high importance and have long-term consequences, they are made by top level management.

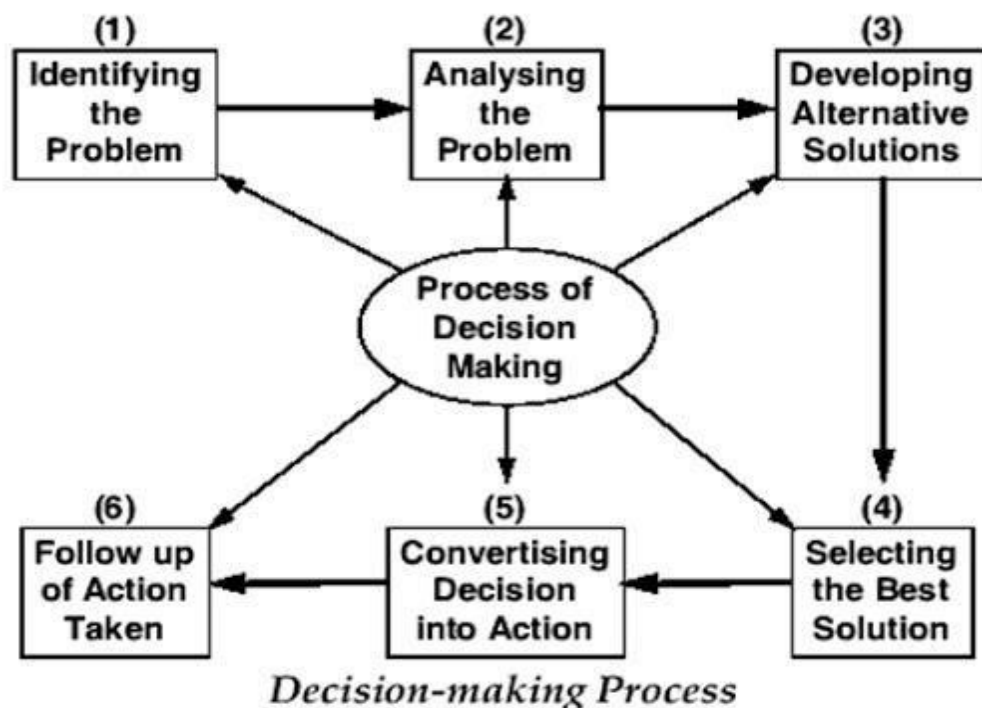


**2.10.3 Strategic and Tactical Decisions:** Organizational decisions may also be classified as strategic or tactical.

## 2.11 Decision Making Process

**2.11.1. Specific Objective:** The need for decision making arises in order to achieve certain specific objectives. The starting point in any analysis of decision making involves the determination of whether a decision needs to be made.

**Figure (9) Decision Making Process**



**2.11.2. Problem Identification:** A problem is a felt need, a question which needs a solution.

In the words of Joseph L Massie "A good decision is dependent upon the recognition of the right problem". The objective of problem identification is that if the problem is precisely and specifically identifies, it will provide a clue in finding a possible solution. A problem can be identified clearly, if managers go through diagnosis and analysis of the problem.

**Diagnosis:** Diagnosis is the process of identifying a problem from its signs and symptoms.

**2.11.3. Search for Alternatives:** A problem can be solved in several ways; however, all the ways cannot be equally satisfying. Therefore, the decision maker must try to find out the various alternatives available in order to get the most satisfactory result of a decision. A decision maker

**2.11.4. Evaluation of Alternatives:** After the various alternatives are identified, the next step is to evaluate them and select the one that will meet the choice criteria. /the decision maker must check proposed alternatives against limits, and if an alternative does not meet them, he can discard it. Having narrowed down the alternatives which require serious consideration, the decision maker will go for evaluating how each alternative may contribute towards the objective supposed to be achieved by implementing the decision.

**2.11.5. Choice of Alternative:** The evaluation of various alternatives presents a clear picture as to how each one of them contribute to the objectives under question. A comparison is made among the likely outcomes of various alternatives and the best one is chosen.

**2.11.6. Action:** Once the alternative is selected, it is put into action. The actual process of decision making ends with the choice of an alternative through which the objectives can be achieved.

**2.11.7. Results:** When the decision is put into action, it brings certain results. These results must correspond with objectives, the starting point of decision process, if good decision has been made and implemented properly. Thus, results provide indication whether decision making and its implementation is proper.

## **2.12. Decision Making Under Various Conditions**

Decisions are typically made under one of three conditions:

☐ Certainty ☐ Risk and ☐ Uncertainty

These conditions are based on the amount of knowledge the decision maker has regarding the final outcome of the decision. The manager's decision depends on a number of factors, like the manager's knowledge, experience, understanding and intuition.

### **2.12.1. Certainty**

☐ Decisions are made under conditions of certainty when the manager has enough information to know the outcome of the decision before it is made.

☐ The manager knows the available alternatives as well as the conditions and consequences of those actions.

☐ There is little ambiguity and hence relatively low possibility of making a bad decision.

### **2.12.2. Risk**

☐ Most managerial decisions are made under conditions of risk.

☐ Decisions are taken in risk when the manager has some information leading to the decision but does not know everything and is unsure or unaware of the consequences.

Under conditions of risk, the manager may find it helpful to use probability estimates. This is where the manager's experience and/or intelligence is of great help.

### **2.12.3. Uncertainty**

- ☐ Decisions are made under uncertainty when the probabilities of the results are unknown.
- ☐ There is no awareness of all the alternatives and also the outcomes, even for the known alternatives.

Under such conditions managers need to make certain assumptions about the situation in order to provide a reasonable framework for decision making. Intuition, judgment, and experience always play a major role in the decision making process under conditions of uncertainty.

The decision-making process involves the following steps:

- ☐ Define the problem
- ☐ Identify limiting factors
- ☐ Develop potential alternatives
- ☐ Analyze and select the best alternatives
- ☐ Implement the decision

### 3.ORGANIZING

#### 3.1.Introduction

Organizing is the function of management which follows planning. It is a function in which the synchronization and combination of human, physical and financial resources takes place. All the three resources are important to get results. Therefore, organizational function helps in achievement of results which in fact is important for the functioning of a concern.

According to *Chester Barnard*, “Organizing is a function by which the concern is able to define the role positions, the jobs related and the co-ordination between authority and responsibility. Hence, a manager always has to organize in order to get results.

#### 3.2.Principles of Organizing

The following illustration shows the five principles of Organizing:

**Figure (10) principles of Organizing**



##### 3.2.1. Work Specialization

Also called division of labor, work specialization is the degree to which organizational tasks are divided into separate jobs. Each employee is trained to perform specific tasks related to their specialized function.

Specialization is extensive, for example running a particular machine in a factory assembly line. The groups are structured based on similar skills.

Activities or jobs tend to be small, but workers can perform them efficiently as they are specialized in it.

In spite of the obvious benefits of specialization, many organizations are moving away from this principle as too much specialization isolates employees and narrows down their skills to perform routine tasks.

Also it makes the organization people dependent. Hence organizations are creating and expanding job processes to reduce dependency on particular skills in employees and are facilitating job rotation among them.

### **3.2.2. Authority**

Authority is the legitimate power assigned to a manager to make decisions, issue orders, and allocate resources on behalf of the organization to achieve organizational objectives.

Authority is within the framework of the organization structure and is an essential part of the manager's job role. Authority follows a top-down hierarchy. Roles or positions at the top of the hierarchy are vested with more formal authority than are positions at the bottom.

The extent and level of authority is defined by the job role of the manager. Subordinates comply with the manager's authority as it is a formal and legitimate right to issue orders.

### **3.2.3. Chain of Command**

The chain of command is an important concept to build a robust organization structure. It is the unbroken line of authority that ultimately links each individual with the top organizational position through a managerial position at each successive layer in between.

It is an effective business tool to maintain order and assign accountability even in the most casual working environments. A chain of command is established so that everyone knows whom they should report to and what responsibilities are expected at their level. A chain of command enforces responsibility and accountability. It is based on the two principles of **Unity of command** and **Scalar Principle**.

**Unity of command** states that an employee should have one and only one manager or supervisor or reporting authority to whom he is directly accountable to. This is done to ensure that the employee does not receive conflicting demands or priorities from several supervisors at once, placing him in a confused situation.

However, there are exceptions to the chain of command under special circumstances for specific tasks if required. But for the most part organizations to a large extent should adhere to this principle for effective outcomes.

**Scalar principle** states that there should exist a clear line of authority from the position of ultimate authority at the top to every individual in the organization, linking all the managers at all the levels. It involves a

concept called a "gang plank" using which a subordinate may contact a superior or his superior in case of an emergency, defying the hierarchy of control. However, the immediate superiors must be informed about the matter.

#### **3.2.4. Delegation**

Another important concept closely related to authority is delegation. It is the practice of turning over work-related tasks and/or authority to employees or subordinates. Without delegation, managers do all the work themselves and underutilize their workers. The ability to delegate is crucial to managerial success.

Authority is said to be delegated when discretion is vested in a subordinate by a superior. Delegation is the downward transfer of authority from a manager to a subordinate. Superiors or managers cannot delegate authority they do not have, however, high they may be in the organizational hierarchy.

Delegation as a process involves establishment of expected outcomes, task assignment, delegation of authority for accomplishing these tasks, and exaction of responsibility for their accomplishment. Delegation leads to empowerment, as employees have the freedom to contribute ideas and do their jobs in the best possible ways.

#### **3.2.5. Span of Control**

Span of control (also referred to as Span of Management) refers to the number of employees who report to one manager. It is the number of direct reportees that a manager has and whose results he is accountable for.

**Span of control** is critical in understanding organizational design and the group dynamics operating within an organization. Span of control may change from one department to another within the same organization.

The span may be wide or narrow. A wide span of control exists when a manager has a large number of employees reporting to him. Such a structure provides more autonomy. A narrow span of control exists when the number of direct reportees that a manager has is small. Narrow spans allow managers to have more time with direct reports, and they tend to spark professional growth and advancement.

### **3.3 Organizing Process**

Organization is the process of establishing relationship among the members of the enterprise. The relationships are created in terms of authority and responsibility. To organize is to harmonize, coordinate or arrange in a logical and orderly manner. Each member in the organization is assigned a specific responsibility or duty to perform and is granted the corresponding authority to perform his duty. The managerial function of organizing consists in making a rational division of work into groups of activities and tying together the positions representing grouping of

activities so as to achieve a rational, well coordinated and orderly structure for the accomplishment of work. According to Louis A Allen, "Organizing involves identification and grouping the activities to be performed and dividing them among the individuals and creating authority and responsibility relationships among them for the accomplishment of organizational objectives."

### **3.4. Formal and Informal Organization**

The formal organization refers to the structure of jobs and positions with clearly defined functions and relationships as prescribed by the top management. This type of organization is built by the management to realize objectives of an enterprise and is bound by rules, systems and procedures. Informal organization, which does not appear on the organization chart, supplements the formal organization in achieving organizational goals effectively and efficiently. The working of informal groups and leaders is not as simple as it may appear to be. Therefore, it is obligatory for every manager to study thoroughly the working pattern of informal relationships in the organization and to use them for achieving organizational objectives.

### **3.5. Formal Organization**

Chester I Bernard defines formal organization as -"a system of consciously coordinated activities or forces of two or more persons. It refers to the structure of well defined jobs, each bearing a definite measure of authority, responsibility and accountability."

- (i) Are able to communicate with each other
- (ii) Are willing to act and
- (iii) Share a purpose.

The formal organization is built around four key pillars. They are:

- ✓ Division of labour
- ✓ Scalar and functional processes
- ✓ Structure and
- ✓ Span of control

### **3.6. Informal Organization**

Informal organization refers to the relationship between people in the organization based on personal attitudes, emotions, prejudices, likes, dislikes etc. an informal organization is an organization which is not established by any formal authority, but arises from the personal and social relations of the people. These relations are not developed according to procedures and regulations laid down in the formal organization structure; generally large formal groups give rise to small informal or social groups.



### **3.7. Centralization and Decentralization**

#### **3.7.1. Centralization**

It is the process of transferring and assigning decision-making authority to higher levels of an organizational hierarchy. The span of control of top managers is relatively broad, and there are relatively many tiers in the organization.

#### **3.7.2. Decentralization:**

It is the process of transferring and assigning decision-making authority to lower levels of an organizational hierarchy. The span of control of top managers is relatively small, and there are relatively few tiers in the organization, because there is more autonomy in the lower ranks.

### **3.8. Delegation of Authority**

A manager alone cannot perform all the tasks assigned to him. In order to meet the targets, the manager should delegate authority. Delegation of Authority means division of authority and powers downwards to the subordinate. Delegation is about entrusting someone else to do parts of your job. Delegation of authority can be defined as subdivision and sub allocation of powers to the subordinates in order to achieve effective results.

#### **3.8.1. Delegation Process**

The steps involved in delegation:

1. **Allocation of duties** – The delegator first tries to define the task and duties to the subordinate. He also has to define the result expected from the subordinates. Clarity of duty as well as result expected has to be the first step in delegation.
2. **Granting of authority** – Subdivision of authority takes place when a superior divides and shares his authority with the subordinate. It is for this reason; every subordinate should be given enough independence to carry the task given to him by his superiors. The managers at all levels delegate authority and power which is attached to their job positions. The subdivision of powers is very important to get effective results.
3. **Assigning of Responsibility and Accountability** – The delegation process does not end once powers are granted to the subordinates. They at the same time have to be obligatory towards the duties assigned to them. Responsibility is said to be the factor or obligation of an individual to carry out his duties in best of his ability as per the directions of superior. Therefore, it is that which gives effectiveness to authority. At the same time, responsibility is absolute and cannot be shifted.
4. **Creation of accountability** – Accountability, on the other hand, is the obligation of the individual to carry out his duties as per the standards of performance. Therefore, it is said that authority is delegated,

responsibility is created and accountability is imposed. Accountability arises out of responsibility and responsibility arises out of authority. Therefore, it becomes important that with every authority position an equal and opposite responsibility should be attached. Therefore every manager, i.e., the delegator has to follow a system to finish up the delegation process. Equally important is the delegatee's role which means his responsibility and accountability is attached with the authority over to here.

## **4. DIRECTING**

### **4.1. Introduction**

Directing is said to be a process in which the managers instruct, guide and oversee the performance of the workers to achieve predetermined goals. Directing is said to be the heart of management process. Planning, organizing, staffing has got no importance if direction function does not take place.

In simple words, it can be described as providing guidance to workers is doing work. In field of management, direction is said to be all those activities which are designed to encourage the subordinates to work effectively and efficiently.

### **4.2. Definition**

"Activating deals with the steps a manager takes to get sub-ordinates and others to carry out plans" - Newman and Warren. It is the final action of a manager in getting others to act after all preparations have been completed.

### **4.3 Motivation**

According to Koontz and O'Donnell, "Motivation is a class of drives, needs, wishes and similar "Motivation" is a Latin word, meaning "to move". Human motives are internalized goals within individuals. Motivation may be defined as those forces that cause people to behave in certain ways. Motivation encompasses all those pressures and influences that trigger, channel, and sustain human behaviour. Most successful managers have learned to understand the concept of human motivation and are able to use that understanding to achieve higher standards of subordinate work performance. forces".

**Motivation** is defined as a set of energetic forces that originates both within and outside an employee, initiates work-related effort, and determines its direction, intensity, and persistence. Motivation is a critical consideration because effective job performance often requires high levels of both ability and motivation.

#### **4.3.1. The Importance of Motivation**

Managers strive to motivate people in the organization to perform at high levels. This means getting them to work hard, to come to work regularly, and to make positive contributions to the organization's mission. But job performance depends on ability and environment as well as motivation. This relationship can be stated as follows:

$$P = M + A + E$$

where

P = performance, M = motivation,  
A = ability, and E = environment.

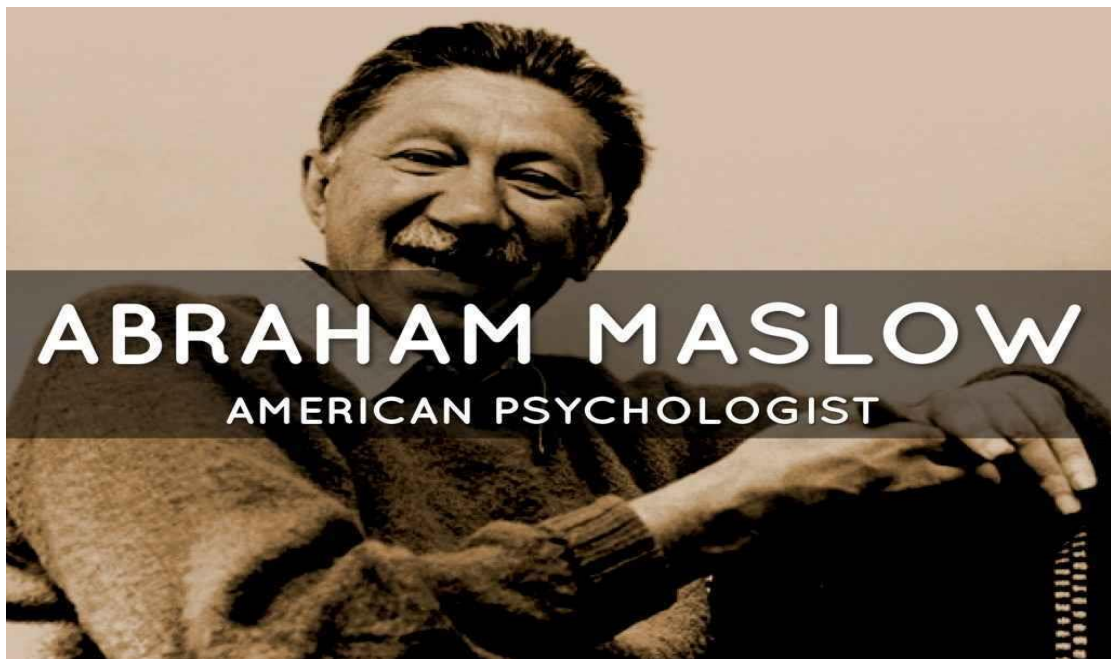
To reach high levels of performance, an employee must want to do the job well (motivation); must be able to do the job effectively (ability); and must have the materials, resources, equipment, and information required to do the job (environment). A deficiency in any one of these areas hurts performance. A manager should thus strive to ensure that all three conditions are met

#### 4.4. EARLY THEORIES OF MOTIVATION

Four theories of employee motivation formulated during the 1950s, although now of questionable validity, are probably still the best known. We will discuss more valid explanations later, but these four represent a foundation on which contemporary theories have grown, and practicing managers still use them and their terminology.

##### 4.4.1. Hierarchy of Needs Theory

The best-known theory of motivation is **Abraham Maslow**'s hierarchy of needs. Maslow hypothesized that within every human being, there exists a hierarchy of five needs:



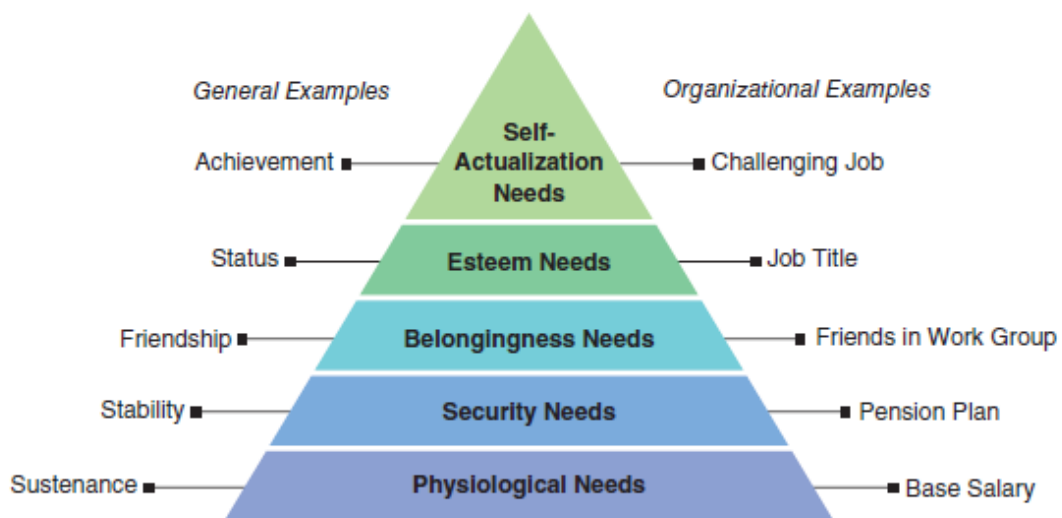
1. **Physiological.** Includes hunger, thirst, shelter, sex, and other bodily needs.
2. **Safety.** Security and protection from physical and emotional harm.

3. **Social.** Affection, belongingness, acceptance, and friendship.
4. **Esteem.** Internal factors such as self-respect, autonomy, and achievement, and External factors such as status, recognition, and attention.
5. **Self-actualization.** Drive to become what we are capable of becoming; includes growth, achieving our potential, and self-fulfillment.

Although no need is ever fully gratified, a substantially satisfied need no longer motivates. Thus as each becomes substantially satisfied, the next one becomes dominant. So if you want to motivate someone, according to Maslow, you need to understand what level of the hierarchy that person is currently on and focus on satisfying needs at or above that level, moving up the steps in figure (11).

Maslow separated the five needs into higher and lower orders. Physiological and safety needs, where the theory says people start, were **lower-order needs**, and social, esteem, and **self-actualization** were **higher-order needs**. Higher-order needs are satisfied internally (within the person), whereas lower-order needs are predominantly satisfied externally (by things such as pay, union contracts, and tenure). The hierarchy, if it applies at all, aligns with U.S. culture. In Japan, Greece, and Mexico, where uncertainty-avoidance characteristics are strong, security needs would be on top of the hierarchy, or first priority. Countries that score high on nurturing characteristics— Denmark, Sweden, Norway, the Netherlands, and Finland—would have social needs and self-actualization on top.<sup>6</sup> Group work will motivate employees more when the country's culture scores high on the nurturing criterion.

Figure (11) Needs Hierarchy



#### 4.4.2. Two-Factor Theory

Believing an individual's relationship to work is basic, and that attitude toward work can determine success or failure, psychologist **Frederick Herzberg** wondered, "What do people want from their jobs?" He asked people to describe, in detail, situations in which they felt exceptionally good or bad about their jobs. The responses differed significantly and led Herzberg to his two-factor theory—also called motivation-hygiene theory.

**FREDERICK HERZBERG**  
1923-2000



As shown in figure (12) intrinsic factors such as advancement, recognition, responsibility, and achievement seem related to job satisfaction. Respondents who felt good about their work tended to attribute these factors to themselves, while dissatisfied respondents tended to cite extrinsic factors, such as supervision, pay, company policies, and working conditions.

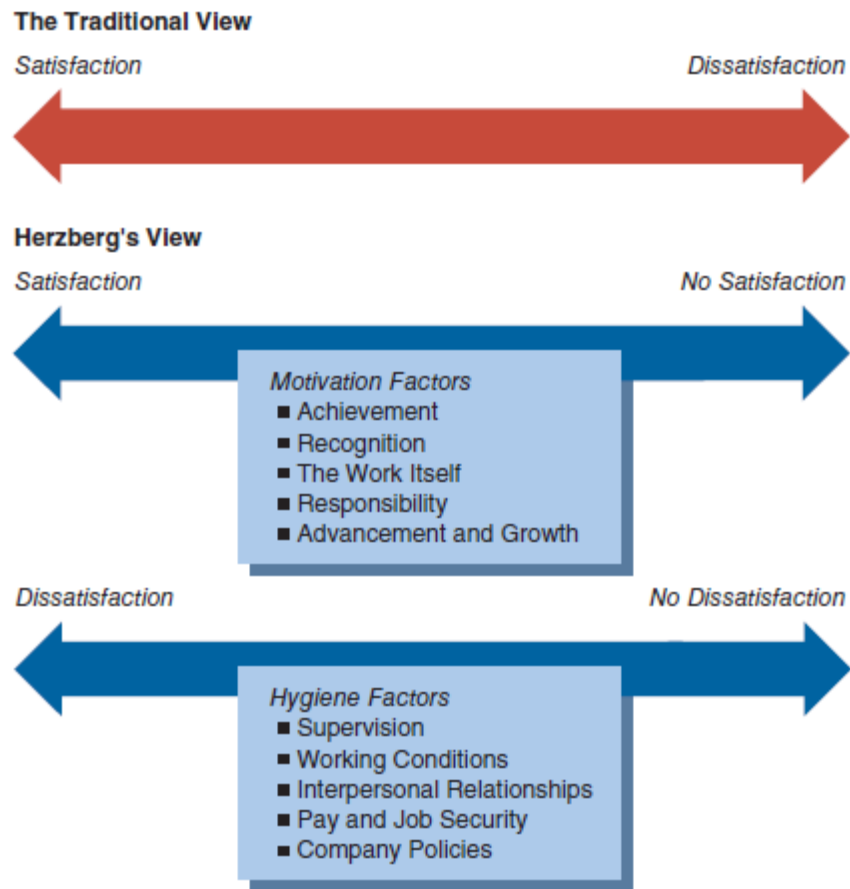
To Herzberg, the data suggest that the opposite of satisfaction is not dissatisfaction, as was traditionally believed. Removing dissatisfying characteristics from a job does not necessarily make the job satisfying. Herzberg proposed a dual continuum: The opposite of "satisfaction" is "no satisfaction," and the opposite of "dissatisfaction" is "no dissatisfaction."

According to Herzberg, the factors that lead to job satisfaction are separate and distinct from those that lead to job dissatisfaction. Therefore, managers who seek to Eliminate factors that can create job dissatisfaction may bring about peace, but not necessarily motivation. They will be placating rather than motivating their workers. As a result, Herzberg characterized conditions such as quality of supervision, pay, company policies, physical working conditions, relationships with others, and job security as

**Hygiene factors.** When they're adequate, people will not be dissatisfied; neither will they be satisfied. If we want to motivate people on their jobs, Herzberg suggested emphasizing factors associated with the work itself or with outcomes directly derived from it, such as promotional

opportunities, personal growth opportunities, recognition, responsibility, and achievement. These are the characteristics people find intrinsically rewarding.

**Figure (12) Two Factors Theory**



#### 4.4.3. Theory X and Theory Y

Several studies after the Second World War revealed how assumptions about workers' attitudes and behaviour affect managers' behaviour. Perhaps the most influential approach was developed by Douglas McGregor. He proposed that two different sets of assumptions about work attitudes and behaviours dominate the way managers think and affect how they behave in organizations. McGregor named these two contrasting sets of assumptions Theory X and Theory Y (see Figure below).

**THEORY X** According to the assumptions of Theory X, the average worker is lazy, dislikes work, and will try to do as little as possible. Moreover, workers have little ambition and wish to avoid responsibility. Thus, the manager's task is to counteract workers' natural tendencies to avoid work. To keep workers' performance at a high level, the manager



must supervise them closely and control their behaviour by means of “the carrot and stick”—rewards and punishments.

Managers who accept the assumptions of Theory X design and shape the work setting to maximize their control over workers’ behaviours and minimize workers’ control over the pace of work. These managers believe that workers must be made to do what is necessary for the success of the organization, and they focus on developing rules, SOPs, and a well-defined system of rewards and punishments to control behavior.

**Figure ( ) Theory X and Y**

**Theory X Versus Theory Y**

THEORY X	THEORY Y
The average employee is lazy, dislikes work, and will try to do as little as possible.	Employees are not inherently lazy. Given the chance, employees will do what is good for the organization.
To ensure that employees work hard, managers should closely supervise employees.	To allow employees to work in the organization's interest, managers must create a work setting that provides opportunities for workers to exercise initiative and self-direction.
Managers should create strict work rules and implement a well-defined system of rewards and punishments to control employees.	Managers should decentralize authority to employees and make sure employees have the resources necessary to achieve organizational goals.

They see little point in giving workers autonomy to solve their own problems because they think that the workforce neither expects nor desires cooperation. **Theory X** managers see their role as to closely monitor workers to ensure that they contribute to the production process and do not threaten product quality. Henry Ford, who closely supervised and managed his workforce, fits McGregor’s description of a manager who holds Theory X assumptions.

**THEORY Y** In contrast, assumes that workers are not inherently lazy, do not naturally dislike work, and, if given the opportunity, will do what is good for the organization. According to Theory Y, the characteristics of the work setting determine whether workers consider work to be a source of satisfaction or punishment; and managers do not need to control workers’ behavior closely in order to make them perform at a high level, because workers will exercise self control when they are committed to

organizational goals. The implication of Theory Y, according to McGregor, is that “the limits of collaboration in the organizational setting are not limits of human nature but of management’s ingenuity in discovering how to realize the potential represented by its human resources.” It is the manager’s task to create a work setting that encourages commitment to organizational goals and provides opportunities for workers to be imaginative and to exercise initiative and self-direction.

When managers design the organizational setting to reflect the assumptions about attitudes and behavior suggested by Theory Y, the characteristics of the organization are quite different from those of an organizational setting based on Theory X. Managers who believe that workers are motivated to help the organization reach its goals can decentralize authority and give more control over the job to workers, both as individuals and in groups. In this setting, individuals and groups are still accountable for their activities, but the manager’s role is not to control employees but to provide support and advice, to make sure employees have the resources they need to perform their jobs, and to evaluate them on their ability to help the organization meet its goals. Henri Fayol’s approach to administration more closely reflects the assumptions of Theory Y, rather than Theory X.

## **4.5 Leadership**

### **4.5.1 Definition**

Leadership is defined as influence, the art or process of influencing people so that they will strive willingly and enthusiastically toward the achievement of group goals.

Leaders act to help a group attain objectives through the maximum application of its capabilities. - Leaders must instill values – whether it be concern for quality, honesty and calculated risk taking or for employees and customers.

### **4.5.2 Importance of Leadership**

- ✓ Aid to authority
- ✓ Motive power to group efforts
- ✓ Basis for co operation
- ✓ Integration of Formal and Informal Organization.

## **4.6 Leadership Styles**

The leadership style we will discuss here are:

#### **4.6.1 Autocratic style**

Autocratic leadership is a classical leadership style with the following characteristics:

- ✓ Manager seeks to make as many decisions as possible.
- ✓ Manager seeks to have the most authority and control in decision making.
- ✓ Manager seeks to retain responsibility rather than utilize complete delegation
- ✓ Consultation with other colleagues in minimal and decision making becomes a solitary process.
- ✓ Managers are less concerned with investing their own leadership development, and prefer to simply work on the task at hand.

#### **4.6.2 Democratic Style**

Democratic Leadership is the leadership style that promotes the sharing of responsibility, the exercise of delegation and continual consultation.

#### **4.6.3 Laissez-Faire Style**

This French phrase means “leave it be” and is used to describe a leader who leaves his/her colleagues to get on with their work. The style is largely a "hands off" view that tends to minimize the amount of direction and face time required.

Autocratic leadership	Democratic leadership	Free-rein leadership
Use of coercive power to give order and expect compliance. Dogmatic and leads by the ability to withhold or give punishment or rewards, commands and expects compliance.	Participative leader who usually consults with subordinates on proposed actions and decisions, and encourages participation from them.	As opposed to autocratic leadership, this leadership style provides maximum freedom to subordinates.
Some autocratic leaders happen to be "benevolent autocrats", willing to hear and consider subordinates' ideas and suggestions but when a decision is to be made, they turn to be more autocratic than benevolent.	Ranges from the person who does not take action without subordinates' concurrence to the one who makes decisions but consults with sub-ordinates before doing so.	Favors autonomy and exercises minimal control. Gives workers a high degree of independence in their operations.

## **4.7 Leadership Theories**

The various leadership theories are:

### **4.7.1 Great Man Theory:**

#### **❖ Great man theory assumptions:**

- Leaders are born and not made.
- Great leaders will arise when there is a great need.

#### **❖ Great man theory description**

Gender issues were not on the table when the 'Great Man' theory was proposed. Most leaders were male and the thought of a Great Woman was generally in areas other than leadership. Most researchers were also male, and concerns about androcentric bias were a long way from being realized.

### **4.7.2 Trait Theory:**

#### **❖ 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.

#### **❖ Trait theory 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. 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.

### **4.7.3 Behavioral Theory:**

#### **❖ Behavioral theory assumptions:**

- Leaders can be made, rather than are born.
- Successful leadership is based in definable, learnable behavior.

#### **❖ Behavioral theory 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 than to adopt the more ephemeral 'traits' or 'capabilities'.

### **4.7.4 Participative Leadership:**

#### ❖ **Participative Leadership theory 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.

#### ❖ **Participative Leadership theory description**

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, and a whole spectrum of participation is possible.

### **4.7.5 Situational Leadership:**

#### ❖ **Situational Leadership assumptions**

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

#### ❖ **Situational Leadership theory description**

When a decision is needed, an effective leader does not just fall into a single preferred style. 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.

### **4.7.6 Contingency Theory:**

#### ❖ **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.

#### ❖ **Contingency Theory 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.

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.

## 4.8 Communication

Communication is the exchange of information using a shared set of symbols. It is the process that links group members and enables them to coordinate their activities. Therefore, when managers foster effective communication, they strengthen the connections between employees and build cooperation. Communication also functions to build and reinforce interdependence between various parts of the organization. As a linking mechanism among the different organizational subsystems, communication is a central feature of the structure of groups and organizations. It helps to coordinate tasks and activities within and between organizations.

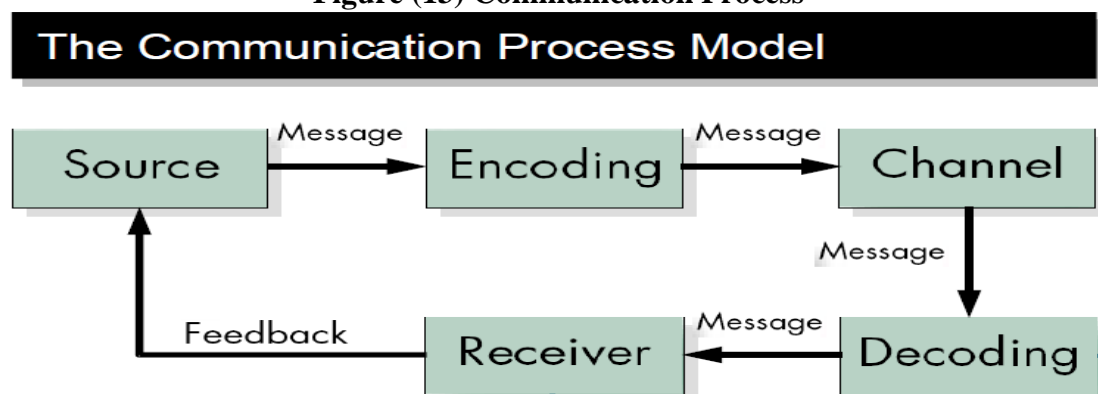
### 4.8.1 Definition

According to Koontz and O'Donnell, "Communication, is an intercourse by words, letters symbols or messages, and is a way that the organization members shares meaning and understanding with another".

### 4.8.2 The Communication Process

Communication is important in building and sustaining human relationships at work. Communication can be thought of as a process or flow. Before communication can take place, a purpose, expressed as a message to be conveyed is needed. It passes between the sender and the receiver. The result is transference of meaning from one person to another. See figure below.

Figure (13) Communication Process



communication process is made up of seven parts they are:

a) **Source:**

The source initiates a message. This is the origin of the communication and can be an individual, group or inanimate object. The effectiveness of a communication depends to a considerable degree on the characteristics of the source. The person who initiates the communication process is known as sender, source or communicator. In an organization, the sender will be a person who has a need or desire to send a message to others. The sender has some information which he wants to communicate to some other person to achieve some purpose. By initiating the message, the sender attempts to achieve understanding and change in the behavior of the receiver.

**b) Encoding:**

Once the source has decided what message to communicate, the content of the message must be put in a form the receiver can understand. As the background for encoding information, the sender uses his or her own frame of reference. It includes the individual's view of the organization or situation as a function of personal education, interpersonal relationships, attitudes, knowledge and experience. Three conditions are necessary for successful encoding the message.

**c) The Message:**

The message is the actual physical product from the source encoding. The message contains the thoughts and feelings that the communicator intends to evoke in the receiver.

**d) The Channel:**

The actual means by which the message is transmitted to the receiver (Visual, auditory, written or some combination of these three) is called the channel. The channel is the medium through which the message travels. The channel is the observable carrier of the message. Communication in which the sender's voice is used as the channel is called oral communication. When the channel involves written language, the sender is using written communication. The sender's choice of a channel conveys additional information beyond that contained in the message itself. For example, documenting an employee's poor performance in writing conveys that the manager has taken the problem seriously.

**f) Decoding:**

Decoding means interpreting what the message means. The extent to which the decoding by the receiver depends heavily on the individual characteristics of the sender and receiver. The greater the similarity in the background or status factors of the communicators, the greater the probability that a message will be perceived accurately. Most messages can be decoded in more than one way. Receiving and decoding a message are a type of perception. The decoding process is therefore subject to the perception biases.



**g) The Receiver:**

The receiver is the object to whom the message is directed. Receiving the message means one or more of the receiver's senses register the message - for example, hearing the sound of a supplier's voice over the telephone or seeing the boss give a thumbs-up signal. Like the sender, the receiver is subject to many influences that can affect the understanding of the message. Most important, the receiver will perceive a communication in a manner that is consistent with previous experiences. Communications that are not consistent with expectations is likely to be rejected.

**h) Feedback:**

The final link in the communication process is a feedback loop. Feedback, in effect, is communication travelling in the opposite direction. If the sender pays attention to the feedback and interprets it accurately, the feedback can help the sender learn whether the original communication was decoded accurately. Without feedback, one-way communication occurs between managers and their employees. Faced with differences in their power, lack of time, and a desire to save face by not passing on negative information, employees may be discouraged from providing the necessary feedback to their managers.

**4.8.3. Guidelines for effective Communication**

- ✓ Senders of message must clarify in their minds what they want to communicate. Purpose of the message and making a plan to achieve the intended end must be clarified.
- ✓ Encoding and decoding be done with symbols that are familiar to the sender and the receiver of the message.
- ✓ For the planning of the communication, other people should be consulted and encouraged to participate.
- ✓ It is important to consider the needs of the receivers of the information. Whenever appropriate, one should communicate something that is of value to them, in the short run as well as in the more distant future.
- ✓ In communication, tone of voice, the choice of language and the congruency between what is said and how it is said influence the reactions of the receiver of the message.
- ✓ Communication is complete only when the message is understood by the receiver. And one never knows whether communication is understood unless the sender gets a feedback.
- ✓ The function of communication is more than transmitting the information. It also deals with emotions that are very important in interpersonal relationships between superiors, subordinates and colleagues in an organization.
- ✓ Effective communicating is the responsibility not only of the sender but also of the receiver of the information.

## **5. CONTROLLING**

### **Introduction**

Controlling consists of verifying whether everything occurs in conformities with the plans adopted, instructions issued and principles established. Controlling ensures that there is effective and efficient utilization of organizational resources so as to achieve the planned goals. Controlling measures the deviation of actual performance from the standard performance, discovers the causes of such deviations and helps in taking corrective actions

### **5.1 Definition**

A process of monitoring the performance and taking action to ensure desired results. It sees to it that the right things happen, in the right ways, and at the right time.

#### **5.1.1. Nature & Purpose of Control**

- ✓ Control is an essential function of management.
- ✓ Control is an ongoing process.
- ✓ Control is forward – working because pas cannot be controlled.
- ✓ Control involves measurement.
- ✓ The essence of control is action.
- ✓ Control is an integrated system.

### **5.2. Control Process**

The basic control process involves mainly these steps as shown in Figure below.

#### **5.2.1 The Establishment of Standards:**

Because plans are the yardsticks against which controls must be revised, it follows logically that the first step in the control process would be to accomplish plans. Plans can be considered as the criterion or the standards against which we compare the actual performance in order to figure out the deviations.

#### **5.2.2 Measurement of Performance:**

The measurement of performance against standards should be on a forward looking basis so that deviations may be detected in advance by appropriate actions. The degree of difficulty in measuring various types of organizational performance, of course, is determined primarily by the activity being measured. For example, it is far more difficult to measure the performance of highway maintenance worker than to measure the performance of a student enrolled in a college level management course.

#### **5.2.3 Comparing Measured Performance to Stated Standards:**

When managers have taken a measure of organizational performance, their next step in controlling is to compare this measure against some standard. A standard is the level of activity established to serve as a model for evaluating organizational performance. The performance evaluated can be for the organization as a whole or for some individuals working within the organization. In essence, standards are the yardsticks that determine whether organizational performance is adequate or inadequate.

#### **5.2.4 Taking Corrective Actions:**

After actual performance has been measured compared with established performance standards, the next step in the controlling process is to take corrective action, if necessary. Corrective action is managerial activity aimed at bringing organizational performance up to the level of performance standards. In other words, corrective action focuses on correcting organizational mistakes that hinder organizational performance. Before taking any corrective action, however, managers should make sure that the standards they are using were properly established and that their measurements of organizational performance are valid and reliable.

### **5.3 Types Of Control Systems**

The control systems can be classified into three types namely feed forward, concurrent and feedback control systems.

#### **5.3.1 Feed forward controls:**

They are preventive controls that try to anticipate problems and take corrective action before they occur. Example – a team leader checks the quality, completeness and reliability of their tools prior to going to the site.

#### **5.3.2 Concurrent controls:**

They (sometimes called screening controls) occur while an activity is taking place. Example – the team leader checks the quality or performance of his members while performing.

#### **5.3.3 Feedback controls:**

They measure activities that have already been completed. Thus corrections can take place after performance is over. Example – feedback from facilities engineers regarding the completed job.

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