## COMPONENT-I PERSONAL DETAILS

<table>
<thead>
<tr>
<th>Role</th>
<th>Name</th>
<th>Affiliation</th>
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<tr>
<td>Subject Coordinator</td>
<td>Prof. I. Ramabrahmam</td>
<td>Central University Hyderabad</td>
</tr>
<tr>
<td>Paper Coordinator</td>
<td>Prof. A. S. Malik</td>
<td>Kurukshetra University Kurukshetra</td>
</tr>
<tr>
<td>Content Writer</td>
<td>Dr. CH.C. Prasad</td>
<td>Dr. B.R. Ambedkar Open University, Vijayawada</td>
</tr>
<tr>
<td>Content Reviewer</td>
<td></td>
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<td>Language Editor</td>
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## COMPONENT-II DESCRIPTION OF MODULE

<table>
<thead>
<tr>
<th>Items</th>
<th>Description of Module</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subject Name</td>
<td>Public Administration</td>
</tr>
<tr>
<td>Paper Name</td>
<td>Public Administration: An Introduction</td>
</tr>
<tr>
<td>Module Name/ Title</td>
<td>Delegation and Deconcentration</td>
</tr>
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<td>Module Id</td>
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<td>Pre-requisites</td>
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<tr>
<td>Objectives</td>
<td>The module intends to acquaint the readers with the concept, meaning, characteristics, principles and need of delegation and deconcentration. It also explains as how the decentralization and delegation is not a matter of dichotomy but rather a continuum.</td>
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<tr>
<td>Keywords</td>
<td>Decentralization, Deconcentration, Delegation, Devolution, Decentralized governance, Unitary and federal states, Democratic decentralization.</td>
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COMPONENT-III

Abstract

Delegation and Deconcentration have been prominent issues in the literature of public administration. These are significant principles of organizations. Delegation and deconcentration are different forms of decentralization. Delegation takes place both within an organization and from government agencies to outside agencies who may be assigned specific functions. Within an organization it involves transferring work to subordinates along with broad discretion to carry it out, but accountability remains with the delegating authority. The delegation has an advantage in terms of skill building and confidence boosting of subordinates. Deconcentration is a technique useful to lessen the workload of headquarters for better reaches for the sake of economy. It is also helpful in increasing morale and motivation of employee of regional and field offices. These principles are also considered to be essential attributes of good governance, in present context of governance.

1. Introduction

No organization can function without the provision of delegation and deconcentration. The authority needs to be delegated to the subordinate officials or agencies in order to make those functional in an effective manner and hold accountable to achieve organizational objectives. The experiences indicate that there should be some definite principles to make delegation more effective as the process usually found to be encountered with organizational and personal hindrances. The only way to meet these hindrances is to remove the bottlenecks as far as possible. It is worth to state that the delegation is not absolute rather a limited depending upon the need and circumstances of the organization.

Decentralization, another form of deconcentration has emerged as prominent issue in the literature of public administration. It is referred to as the transfer of powers from central government to lower levels in a political, administrative and territorial hierarchy. Deconcentration and decentralizations are the tools of central government to manage its territorial administration. Decentralization and de-concentration is not a matter of dichotomy, it is rather a continuum. Since the main objective of any state is to improve the quality of public services for the people, a right balance between decentralization and de-concentration is needed.

Globalization has resulted in greater delegation of authority to a great range of entities and decentralization has become global trends to improve the quality of governance. Decentralization through its forms of deconcentration, delegation and devolution devolve authority, responsibility and financial resources to lower levels of hierarchy to improve governance. Decentralized governance has become a global phenomenon to empower local people and achieve participatory democracy.

2. Decentralization

Deconcentration, delegation and devolution are forms of decentralization contribute to achieve decentralized governance as an alternative strategy of development, which is people-centered, participatory and bottom up development mechanism. Therefore various dimensions of the concept are presented here for the clear understanding.

(i) Decentralization: A Global phenomenon.
(ii) Decentralization forms: Conceptual clarity.
(iii) Delegation: Meaning, characteristics and need.
(iv) Delegation: Principles, hindrances and limitations
(v) Deconcentration and decentralization: A continuum.
(vi) Deconcentration in unitary and federal states
(vii) Delegation and Deconcentration: A means to achieve decentralized governance.

2.1 Decentralization: A Global Phenomenon

Decentralization is regarded as one of the most important social innovations of 21st century. It has been advocated as pertinent component of policy packages to improve governance in developing countries. Decentralization has become a major element in the administrative organization of governmental services as a result of enormous increase in the variety, number and complexity of functions of the modern state.

Decentralization is one of the most vigorous policy choices in creating a more democratic and responsible government. Decentralization wave around the world has offered many positive results such as combating corruption, reduction in poverty, improving service delivery, fortifying accountability, preventing conflicts, empowering community etc. On the other hand, decentralization may lead to soft-budget constraints, macro-economic instability, clientelism, and enlargement of bureaucracies. Therefore, decentralization may be a two-edged of sword.

In the present context of rapid social change and development activities, de-bureaucratization and decentralization have been found to be much more appropriate to deal with contemporary trends of globalization, liberalization and privatization. Different typology of decentralization has been developed by Smith (2001) and Ribot (2004). Smith divides decentralization into five basic forms, i.e. deconcentration, delegation, devolution, partnership, and privatization. Meanwhile, Ribot separates decentralization from not decentralization. Decentralization includes democratic decentralization and deconcentration, whereas not-decentralization comprises privatization and non-privatization. In this unit we will discuss the various dimensions of delegation and deconcentration as forms of decentralization to improve administrative efficiency in public governance.

2.2 Decentralization Forms: Conceptual Clarity

Decentralization with its various forms has been implemented in many countries, and the terms have been widely used. However, the same word is often used to describe different situations. Interpretations vary, and have led to different conceptual frameworks, programs, implementations and implications. Such differences call for debates and discussions. In this section and attempt is made to clarify the various terms used in decentralization of authority in different conditions.

2.2.1 Decentralization: It means transfer of planning, decision-making or administrative authority from the central government to its field organizations, local administrative units, semi-autonomous organizations, local governments or non-governmental organizations. In other words decentralization is usually referred to as the transfer of powers from central government to lower levels in a political-administrative and territorial hierarchy. This official power transfer can take two main forms i.e.
administrative decentralization and democratic decentralization. Administrative decentralization refers to a transfer to lower level central government authorities or to other local authorities who are upwardly accountable to the central government.

In contrast, democratic decentralization refers to the transfer of authority to representative and downwardly accountable actors, such as elected local government. The devolution of powers through 73rd and 74th Constitutional Amendment to rural and Urban Local Bodies in India is the best example for decentralization. Decentralization is the means to allow for the participation of people and local governments in development process. In terms of decentralization as a process of change, and according to the level of transfer of responsibilities, it is useful to distinguish between deconcentration, delegation and devolution.

2.2.2 Deconcentration:
Deconcentration is regarded as an essential nature of unitary state. Administrative decentralization is generally known as deconcentration. Deconcentration and decentralization are the tools of central governments to manage its territorial.

2.2.3 Devolution:
It is instrument of decentralization. In devolution, powers and functions are devolved on sub-national units of government, which could exist or are created at subsequent tiers to enable them to carry-out the enjoined tasks.

2.2.4 Delegation:
It takes place both within an organization and from government agencies to outside agencies who may be assigned specific functions. Delegation refers to transfer of managerial authority with regard to specifically defined functions to organizations that are outside the regular bureaucratic structure and that are only indirectly controlled by the government. Within an organization it involves transferring work to subordinates along with broad discretion to carry it out. Accountability remains with the Executive. Delegation has long been in use in administrative law.

Decentralization and deconcentration are not a matter of dichotomy As depicted by Cheema and Rondinelli (2007), the relationship between devolution and deconcentration delegation should not be seen as a dichotomy or as mutually exclusive but rather can best be understood as a matrix of relationships. Deconcentration and decentralization are far from replacing each other. They have always been considered as complimentary by political decision makers. Although deconcentration cannot be separately thought, however, the following table elaborates some distinctions among the two.
### Table-1: Definition of decentralization / devolution and de-concentration

<table>
<thead>
<tr>
<th>Source</th>
<th>Decentralization/Devolution</th>
<th>De-concentration</th>
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<tr>
<td>World Bank (1999, found in many internet sources)</td>
<td>Is the <em>transfer of authority and responsibility</em> for public functions from the central government to subordinate or quasi-independent government organizations and / or private sector.</td>
<td>Is the weakest form of decentralization – redistributes <em>decision making authority and financial responsibilities</em> among different levels of the national government.</td>
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<tr>
<td>UNDP (199:67)</td>
<td>Concerned with the <em>political</em> as well as the <em>economic</em> and <em>administrative</em> arguments.</td>
<td>Concerned mainly with the <em>administrative</em> rationale and to some extent with the <em>economic</em> arguments.</td>
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<tr>
<td>Hellmut Wollman (2007: 2-3)</td>
<td>Powers and functions (as well as resources) are assigned to <em>sub-national bodies and actors</em> that possess some political autonomy in their own right. It also known as <em>full municipalization</em>.</td>
<td>Administrative functions being done through the establishment of <em>regional or local “field offices”</em> (also known as <em>limited municipalization</em>).</td>
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<tr>
<td>Robertson Work (2002:6)</td>
<td>Refers to the <em>full transfer of responsibility, decision-making, resources and revenue generation</em> to a local level public authority that is autonomous and fully independent of the developing authority.</td>
<td>Can be seen as the <em>first step in a newly decentralizing government to improve service delivery</em>.</td>
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<tr>
<td>Hutchcroft (2001:30)</td>
<td>Involves a much more <em>extensive transfer of decision-making authority and responsibility to local government units</em> (commonly regions, provinces, and / or municipalities).</td>
<td>Involves an <em>intra-organizational transfer of particular functions and workloads from the central government to its regional or local offices</em>.</td>
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**Source:** Discussion Paper No. 174, by TriWidodo W. UTomo, Graduate School of International Development, Nagoya University, Japan, August, 2009.

### 2.3 Delegation: Meaning, Characteristics and Need

Delegation takes place both within an organization and from government agencies to outside agencies who may be assigned specific functions. In developing countries, responsibilities have been delegated to public corporations, regional development
agencies, specific function authorities, semi-autonomous project implementation units and a variety of parastatal organizations. Within organization delegation means grant or conferment of authority by a superior to a subordinate for the accomplishment of a particular assignment.

According to Mooney delegation means conferring of specified authority by a higher authority to lower authority. It is devolution of authority by a person to his agent or subordinate, subject to his right of supervision and control. It implies that legally delegated authority still belongs to the delegator or the person who delegates. Albert K. Wickesberg also acknowledged the same view. To him “the act or process of delegation is the assigning to subordinates of specified tasks of the organization and the granting to one or more persons the authority necessary for directing satisfactorily the activities and duties so assigned”. However, writers like George R. Terry do not agree with this interpretation of delegation. In the words of Terry, “Delegation means conferring authority from one executive or organization unit to another”. It implies delegation is not essentially a devolution of authority from higher to a lower authority or from superior to subordinate. In other words, delegation is not only devolution from higher to lower level and it can be from lower to a higher authority or between equal authorities. Therefore, delegation can be defined as the entrustment of a part of work or responsibility and authority to another and the creation of administrative accountability for performance.

2.3.1 Characteristics

1. Delegation being a process of devolution of authority, the delegate has to act within the limits prescribed by the delegator.
2. Delegation has a dual character. It means a superior delegates the authority to the subordinate but at the same time retains the authority.
3. Delegation is always partial. In other words no superior delegate his total authority to his subordinates. He always keeps the power to supervise and control with him. It means delegation is subject to specific or limited terms.
4. Delegated authority is subject to variance. It can be enhanced, reduced or withdrawn. It all depends upon the conditions of the time and accomplishment of the task.

2.3.2 Need for Delegation

No organization can work without the provision of delegation. The need of delegation is greatly felt with the growth of an organization. In the words of L.D. White, “Circumstances of magnitude and volume require some delegation of authority and the settlement of much business at the point where it arises. For example in normal time’s delegation of authority is nominal in administrative hierarchy, but in times of contingencies like natural disasters, calamities and epidemics delegation of more powers and functions are needed to local administration to combat the contingencies and to bring normalcy in situation. Delegation can be justified on the following grounds.

1. Increasing volume of work requires that there should be some sort of delegation to bring efficiency and economy.
2. Complexities of rules, operational procedures and techniques compels the line agencies to delegate the work of deliberations, thinking and formulation of plans to staff specialists, though the final authority to approve the plans lies with the line agencies.
3. Executive time is precious. He has to spend more and more time for planning and policy formulation rather than busy with minute details. Thus delegation helps the Chief Executive to devote his time and energy to important functions such as decision-making, policy formulation and planning to contribute for organizational efficiency.

4. Delegation has an educative value. It provides an opportunity to the subordinates to get training in the field of sharing responsibility. It raises their morale and develops a sense of belonging to the organization.

5. Delegation provides an ample scope to subordinates for self-advancement and self-expression. Thus, it is a cardinal step in management development.

6. Delegation removes rigidity and brings flexibility to adopt organization with environmental changes.

7. Large organizations have geographical dispersions. They have a network of branches, multiple units spread over a wide area. Effective delegation of authority helps to manage them effectively.

8. Delegation minimizes delays and makes the organization to act more efficiently and economically.

9. There is a great relation between delegation and succession. An administrator, by delegation can prepare the way for his successor. It means when an administrator quits, another should be able to succeed him. In the works of Schell, “Delegation is one of the most effective tools available to an executive in preparing the way for his successor. Indeed, it is the most important tool for selection and training successors”.

2.4 Delegation: Principles, Hindrances and Limitations

After discussing meaning and need of delegation of authority in an organization in earlier section, it is clear that delegation is a universal phenomenon. But delegation can be several types viz., permanent or temporary full or partially, conditional or unconditional, formal or informal and direct or indirect. In case of permanent delegation the powers are delegated forever subject to normal conditions. Only in extraordinary circumstances this kind of delegation might be revoked. Temporary delegation implies delegation of powers for a short period for the accomplishment of some task. Delegation is full when no conditions are attached to the delegation and the person, whom powers are delegated to make decision and take action. It is partial when the decision taken by him is to be approved by the delegation authority. Delegation is conditional when some conditions are imposed on the person on whom the delegation is conferred. It is unconditional when the subordinate is free to act without any reservation. Delegation is formal when embodied in written rules, by-laws or orders, on the other hand it is informal when based on customs, conventions and understanding, and delegation is direct when no intermediary is involved. But when a third person or party is involved it may be called indirect delegation. The type of delegation in an organization is influenced by different factors like nature of work, age of the organization, experience of personnel, size of the organization etc.

2.4.1 Principles

To make delegation more effective, it should be governed by the following principles.

I. Delegation should be done in a clear manner. No ambiguity about the authority that has been delegated.
II. The orders of delegation should be issued in written form to clear the limits of delegation.

III. The authority delegated to a subordinate should be adequate to assure his ability to accomplish the task assigned to him. The subordinates should be granted all the authority and responsibility they can handle.

IV. Total responsibility never be delegated by the superior to the subordinates.

V. Delegation is based on the principle of unity of command. This implies that a subordinate should be responsible to a single superior and should get the authority from him.

VI. The administrator should always be ready to guide the subordinate even after delegated assignment.

VII. Delegation should be succeeded by appraisal. When a delegated assignment is completed it should be followed by an appraisal of the subordinates’ performance.

VIII. Delegation should be properly planned and be systematic. Delegation should be made to a position rather than to an individual.

It should be observed that the above mentioned principles of delegation are simply to guide the administrators. But in fact delegation is a difficult process and above principles are not prescriptions for all situations.

2.4.2. Hindrances to Delegation

Though delegation is inevitable principle for all organization, but superiors hesitate to delegate authority to lower levels due to several hindrances in the process of delegation. The hindrances broadly can be divided into organizational and personal hindrances.

Lack of established methods and procedures, lack of coordination and communication, unstable and non-repetitive nature of work, size and location of an organization, and lack of clarity in delegation are some of the organizational hindrances. Egoism, fear of disloyalty on the part of the subordinates, lack of confidence in the capacity and competence of the subordinates, lack of emotional maturity on the part of the delegating authority, lack of knowledge of what and how to delegate, fear of accountability to the higher authorities are some of the human hindrances for the process of delegation.

As delegation is a must, the only way to meet these hindrances is to remove the bottlenecks as far as possible. Pfiffner has described the following techniques to make the delegation effective:

a) Select subordinates capable of shouldering responsibility.
b) Define such responsibility.
c) Train them to carry it.
d) Establish general policies and disseminate them throughout the organization.
e) Strive towards maximum standardization of both functional and housekeeping procedures.
f) Carry on perpetual management planning consisting of job analysis, organization study, budget planning, work flow study and simplification of system and procedure.
g) Establish external checks which automatically show danger signals.
h) Assure the flow of information up, down and cross the hierarchy.

2.4.3 Limits to Delegation
The delegation of complete authority makes the executive superfluous. Though, the extent of delegation vary from case to case depending upon the nature of the case, circumstance and organization structure there are some well recognized limits to delegation. The following powers cannot be delegated according to M.P. Sharma:

(i) The supervision of work of the first line or immediate subordinates.
(ii) General financial supervision and the power to sanction expenditure above a specified amount.
(iii) Power to sanction new policies and plans and departures from established policy or precedent.
(iv) Rulemaking power where it is vested is the delegating officer.
(v) Making specified higher appointments.
(vi) Hearing of appeals from the decisions of at least the immediate subordinates.

Without retaining the above powers the chief executive cannot control the organization effectively.

2.5 Deconcentration and Decentralization: A Continuum

Deconcentration is relatively and widely applied in many developed and developing states as well, although the type and degree varied among individual countries. Deconcentration is a process by which the agents of central government control are relocated and geographically dispersed. Unfortunately, many scholars seem to have trivial attention on this issue. It is probably the reason why there are insufficient academic sources regarding solemn study of deconcentration. The studies of deconcentration, in short, are far lacking behind those of decentralization.

Deconcentration is essentially a nature of unitary state and used most frequently to devolution of authority. Decentralization and deconcentration is not a matter of dichotomy, it is rather a continuum. A good analogue is proposed by Work Robertson (2001, cited on Gera 2008) who mentions that decentralization is not an alternative to centralization. It implies that in any country, a certain degree or extent of decentralization and deconcentration are concurrently and simultaneously deployed in managing governmental affairs between central and local government. When the pendulum goes to the left side then it reflects a more centralized state, whereas decentralized state tends to occur when the pendulum moves to the right side. Although deconcentration is used in unitary states, but decentralization framework is actually much more observable. For instance, in the case of Indonesia as a unitary state, there are eight decentralization laws have been implemented. Ironically, there has been no single law concerning deconcentration. It is rather examined as a complementary component. There are only two government regulations on deconcentration. (Rondinelli 1999). Starting from 2001, when new decentralization laws of 1999 come into effect Indonesia moved to a more decentralized one.

Deconcentration is often considered to be the weakest form of decentralization, since it does not involve any transfer of real power to local governments. But Fesler (1968) believes that deconcentration is not a type of decentralization at all. In his view, deconcentration does not require any decentralization of power since it usually does not provide the opportunity to exercise substantial local discretion in decision-making. Therefore, he argues it should not be regarded as a form of decentralization.

2.6 Deconcentration in Unitary and Federal states
Centralism and decentralism are two different paradigms having shared objective, i.e. promoting good and democratic governance. According to the first paradigm, good governance arises within a democratic framework where power is effectively centralized in the hand of a single party, thus establishing a system of effectively accountability all levels of governance. On the contrary, according to the second paradigm, good governance arises from institutions that are diffuse and decentralized, where multiple veto points check the accrual of power in any single source (Gerring, Thacker, and Moreno, 2004).

There are two types of states in the modern world, i.e. Unitary and Federal states. In a unitary state, any sub-national government units can be created or abolished and have their authorities, all decided by the central government. The Centre can also broaden and narrow the functions of such devolved authorities without agreement from the affected bodies. In other words, decentralization is unambiguously promising to be applied to empower sub-national government, but it has to be treated within the framework of unitary state. At this point, decentralization of functions to regions may be done through deconcentration, devolution and delegation from the central authority. As a concept, unitary state is commonly differentiated from federal state. It is a type of sovereign state characterized by a union of partially self-governing status of the component states is constitutionally entrenched and may not be altered by a unilateral decision of the Central Government. In other words, lower levels of government in a federal system have a constitutional guarantee of sovereignty over specific matters. The degree of decentralization in federal states is commonly seen as bigger than that in unitary states. But Smith (1985 in Azfar 1999) argues that federal state is not necessarily more decentralized than a unitary state. Prasojo (2008) makes an elucidation by saying that it is impossible to find any country which is absolutely unitarian, or totally federalist. The relationship between central and local government in both countries reflects a poly-centric movement instead of mono-centric. To sum up the above discussion, Work, Robertson (2002) stated an interesting conclusion that about the correlation between federal or unitary states with the degree of decentralization and deconcentration. He said there is no broad-based generalization that can be made about the correlation of federal / unitary states and decentralization. Some federal states are highly centralized. Such as Malaysia while some unitary states have a high degree of decentralization such as China. In addressing dilemma, related to decentralization and deconcentration discourse, UNDP (1999) concludes that decentralization is not an alternative to centralization, both are needed. The most important thing in managing relationship between central and local government in a country is creating a sustainable equilibrium between centralizing and decentralizing forces. In short, even though decentralization is becoming much more preferable in the global political reform, extreme decentralization may generate a hazard, especially when local authorities are relatively incapable of managing and executing the functions devolved.

But, in the present global scenario there are at least five factors contributing to the increasing interest of decentralization, i.e. state withdrawal calls for alternative solutions, the advancement of democracy opens new doors, civil society is better prepared, the challenges of development are more complex, and technological development broadens new perspectives. As a result the unitary states like Myanmar in Asia, Vietnam, Cambodia in South-East Asian region, Indonesia and France are moving to more decentralized forms in their governance. Cross country experiences indicates that there is
no single model of decentralization or deconcentration, even in countries with the same political structure i.e. unitary or federal system. A more common condition is that while there are some variations of decentralization, they apply decentralization and deconcentration in a concurrent way. In order to make decentralization effective a balance between decentralization and deconcentration is needed. Since the main objective of any state is to improve the quality of public services for the people, a right balance between decentralization and deconcentration is need of the hour. Thus ever unitary states are experimenting with deconcentrated modes of governance in the contemporary scenario but experience of working of political institutions shows that there cannot be a single model of governance ever in same political structure. It depends on the needs and values of organization and people needs expectations from the concerned organization.

2.7 Delegation and Deconcentration

Globalization may lead to greater delegation of authority to a greater range of entities, but states may still retain the ability to revoke this authority at will. Decentralization has become global trends to improve the quality of governance. Yet many developing countries have resisted decentralization and maintained a powerful role of central government, like India. To provide public services by different levels of government, authority, responsibility and financial resources must be redistributed among them. It consists of three major forms, i.e. deconcentration, delegation, and devolution. Deconcentration is often considered to be the weakest form of decentralization as it fails to transfer real powers to local governments. Delegation is somewhat perceived as a more extensive form in transferring powers and authority to lower levels of administrative hierarchy. In other words, both deconcentration and delegation are the different forms of administrative decentralization that is intended to devolve powers and authority to lower levels of administration.

Deconcentration transfers authority and functions to field units within the central ministry. It is attempted for better reach and effectiveness of work of the organization and also for the sake of administrative economy since deconcentration has been, empirically established as being conducive to economy of administrative processes. In deconcentration, authority along with accountability is transferred to field units but higher level exercises supervision and control over them. But in delegation accountability remains with the delegating authority. In deconcentration and delegation powers and authorities are devolved to lower levels to achieve economy and efficiency at gross root administration. Hence authority is delegated, power is devolved and work is deconcentred. No doubt both deconcentration and delegation are forms of decentralization to enhance the level of efficiency at lower levels by transferring powers and functions. Both are administrative principles intended to devolve powers to improve service delivery at local level.

3. Summing Up:

Today decentralization and democracy are the most themes in the development discourse. Decentralized governance is a global phenomenon to empower local people and achieve participatory democracy. Deconcentration, delegation, devolution are forms of decentralization contributes to achieve decentralized governance, as an alternative strategy of development, which is people-centered, participatory and bottom up
development mechanism. In simple delegation and deconcentration principles are means to achieve decentralized governance.